

**COMMITTEE ON THE WELFARE OF  
SCHEDULED CASTES AND  
SCHEDULED TRIBES  
(2012-2013)**

**(FIFTEENTH LOK SABHA)**

**TWENTY SECOND REPORT**

**ON**

**MINISTRY OF SOCIAL JUSTICE & EMPOWERMENT  
AND PLANNING COMMISSION**

**Working of Scheduled Castes Sub Plan (SCSP)**

Presented to Lok Sabha on 26.11.2012

Laid in Rajya Sabha on 26.11.2012



**LOK SABHA SECRETARIAT  
NEW DELHI**

26 November , 2012 /5 Agrahayana, 1934(Saka)

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## COMPOSITION OF THE COMMITTEE ON THE WELFARE OF SCHEDULED CASTES AND SCHEDULED TRIBES (2012-2013)

Shri Gobinda Chandra Naskar - Chairman

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4. Smt. Santosh Chowdhary
5. Smt. Jyoti Dhurve
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### SECRETARIAT

- |    |                    |   |                     |
|----|--------------------|---|---------------------|
| 1. | Dr. R.K. Chadha    | - | Joint Secretary     |
| 2. | Shri Hardev Singh  | - | Director            |
| 3. | Shri S. Chatterjee | - | Additional Director |
| 4. | Smt. Sunita Sharma | - | Committee Officer   |

## INTRODUCTION

I, the Chairman, Committee on the Welfare of Scheduled Castes and Scheduled Tribes having been authorised by the Committee to finalise and submit the Report on their behalf, present this Twenty Second Report (Fifteenth Lok Sabha) on the Ministry of Social Justice & Empowerment and Planning Commission on the subject "Working of Scheduled Castes Sub Plan (SCSP)

2. The Committee took evidence of representatives of the Ministry of Social Justice & Empowerment and Planning Commission. The Committee wish to express their thanks to the officers of the Ministry of Social Justice & Empowerment and Planning Commission for placing before the Committee the material and information the Committee required in connection with the examination of the subject.

3. The Report was considered and adopted by the Committee on 3 September, 2012.

4. A summary of conclusions/recommendations contained in the Report is appended (Appendix\_\_\_\_\_).

New Delhi;  
26 November, 2012  
5 Agrahayana, 1934 (Saka)

**(GOBINDA CHANDRA NASKER)**  
**Chairman**  
**Committee on the Welfare of**  
**Scheduled Castes and**  
**Scheduled Tribes**

## CHAPTER - I

### SCHEDULED CASTES SUB PLAN

#### A. Background

1.1 The Scheduled Castes (SCs), as they came to be described in the Government of India Act, 1935, have suffered social, economic cultural and political inequalities for centuries due to the prevailing caste system in India. The consequences of the traditional restrictions in the past are noticed even today in the society. On attaining Independence, new strategies for accelerated development have been evolved and programmes implemented with a view to bring the Scheduled Castes in the mainstream of the Indian society. Efforts in this direction have aimed at the social, economic and political upliftment of this group to bring them at par with other sections of society through various safeguards and provisions.

1.2 In spite of the constitutional safeguards and developmental planning launched since 1951 through the First Five Year Plan (1951-1956), the SCs lagged behind the general population in various socio-economic indicators. The Sixth Plan had identified the lack of economic support as the main cause of extremely slow pace of development of Scheduled Castes during the earlier Plans. Though it was inherent in the earlier five years Plans that the benefits of economic development resulting from the investments in agriculture and industry in particular would, in course of time, trickle down to the poorest of the poor, the search of a new strategy began during the Sixth Five Year Plan. The new strategy so evolved is a combination of the following three instruments: (i) The Special Component Plan of the States and Central Ministries (SCP); (ii) The Special Central Assistance; and (iii) The Scheduled Castes Development Corporations in the States (SCDCs). The Sixth Plan (1980-1985) marked a shift in the approach to the development of SCs. Thus the concept of "Special Component Plan for SCs" was first introduced in 1979. Its nomenclature was changed to Scheduled Caste Sub Plan (SCSP) in 2006.

1.3 During evidence, the Secretary of the Ministry of Social Justice and Empowerment explained the basic characteristic of the Scheduled Caste Sub Plan as under:-

“..... First of all I would like to clarify that SC Sub Plan is not a scheme in itself, but it is an intervention and it applies to the plan allocation. It does not apply to non-Plan. That applies to Tribal Sub Plan also. So, both Tribal Sub Plan and Scheduled Caste Sub Plan are actually planning and monitoring level interventions to ensure that at least a proportionate amount of Plan allocation goes for the benefit of Scheduled Tribes and Scheduled Castes, respectively.”

1.4 The Secretary, further clarified:

“.....basic difference between the Tribal Sub-Plan and the Scheduled Caste Sub-Plan which is that the Tribal Sub-Plan is essentially an area concept because Scheduled Tribes are, to a large extent, concentrated in compact pockets in various States whereas the Scheduled Castes population is much more evenly distributed among States barring four or five States of the North-East and a couple of Union Territories. Therefore, the Scheduled Caste Sub-Plan is not so much an area concept as a beneficiary oriented concept.”

## **B. Objective and Strategy**

1.5 The Special Component Plan (SCP) for Scheduled Castes was first introduced in 1979 for the welfare and development of Scheduled Castes, in line with the Tribal Sub Plan (TSP) for Scheduled Tribes, to channelise the flow of benefits in physical and financial terms for Scheduled Castes from the general sectors in development Plans. SCP was envisaged to help poor Scheduled Castes families through composite income generating welfare and developmental schemes with the objective of overall development and bridging the gap in the socio-economic condition of the Scheduled Castes.

1.6 As per the guidelines regarding Scheduled Castes Sub Plan issued by the Planning Commission in October, 2005 and December, 2006 (**Appendix 'A'**) to State Governments and Central Ministries/Departments, respectively, the broad objectives of Scheduled Castes Sub Plan are:-



- (i) Substantial and rapid reduction in poverty and un-employment among the SCs.
- (ii) Creation of productive assets and other means of livelihood in favour of SCs to empower them to share gain of development equitably.
- (iii) Human resources development of the SCs by providing adequate educational and health service.
- (iv) Provision of Physical and Financial security against all types of exploitation and oppression.

1.7 In April 2006, the Special Component Plan was renamed by the Planning Commission as Scheduled Castes Sub Plan (SCSP), vide its OM dated 24.4.2006 as the term Special Component Plan did not clearly convey the fact that it was targetted at Scheduled Castes beneficiaries as the term Tribal Sub Plan did.

1.8 The strategy of Scheduled Castes Sub Plan since evolved in 1979 is aimed at:

- (a) Economic development through beneficiary oriented programmes for raising their income and creating assets;
- (b) Basti-oriented schemes for infrastructure development through provision of drinking water supply, link roads, house-sites, housing etc.
- (c) Educational and social development activities like establishment of primary schools, health centres, vocational centres, community halls, women work place, etc.

1.9 The strategy of Scheduled Castes Sub Plan envisages to channelize the flow of outlays and benefits from all the sectors of development in the Annual Plans of States/UT and Central Ministries at least in proportion to their population both in physical and financial terms. The implementation of SCSP and TSP is not being done uniformly in all States/UTs. Different States have adopted different mechanisms without exploring an effective mechanism which can ensure quantification of funds for SCSP and TSP, monitoring of expenditure, avert diversion of funds to unintended ventures etc. The State Governments exercise their quantification as 'Divisible' and 'Non-Divisible' components. Effective

quantification is made only from the 'Divisible' component scheme wise. As a result of this, the flow of funds to 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.

**1.10 The Committee are of the strong opinion that the programmes formulated for SCs and STs should be implemented in right earnest by the Ministries concerned in order to provide ample opportunities to the SCs and STs for creating a more balanced and equitable society for them. The Committee, therefore, suggest that SCSP should have statutory backing to ensure serious and effective implementation of the Plan thus enabling the concerned Ministries to plan, implement and monitor the SCSP in right earnest and spirit.**

**1.11 The Committee, further, recommend that the Ministries should review their monitoring mechanism to get adequate finance from the Planning Commission and there should be some foolproof mechanism to monitor the utilization of funds. Defaulter States who do not furnish the progress report or utilization certificate should be dealt with strongly by the Centre. The Committee further strongly recommend that the Ministries should present a clear picture about proper utilization of funds so as to get an adequate allocation from the Planning Commission.**

### **C Socio Economic Status of SCs**

1.12 At present the following 24 States and three UTs are formulating and implementing Scheduled Castes Sub Plan:

**States:**

Andhra Pradesh, Assam, Bihar, Chhattisgarh, Gujarat, Goa, Haryana, Himachal Pradesh, J&K, Jharkhand, Kerala, Madhya Pradesh, Maharashtra, Manipur, Orissa, Punjab, Rajasthan, Sikkim, Tamil Nadu, Tripura, Uttar Pradesh, Uttarakhand, West Bengal.

## Union Territories:

Delhi, Puducherry and Chandigarh

The major occupational groups of SCs can be categorized into:

1. Agricultural Labourers
  - a) Landless
  - b) those with petty extent of agricultural land
2. Marginal and small cultivators including share croppers and other tenants
3. Fishermen
4. Traditional Artisans
  - a) Leather workers
  - b) Weavers
  - c) Other Artisans
5. Civic Sanitations workers (scavengers and sweepers) and traditional Dais
6. Urban marginal labour
7. The educated

These occupational groups may be put into two broad categories, namely, (i) those engaged in land based activities and (ii) those engaged in non-land based activities.

1.13 The Committee have been provided with the information about the occupation-wise distribution of workers amongst Scheduled Castes and total population which is given in the table below:

Category	Occupation wise % of workers			
	Total		Scheduled Castes	
	1991	2001	1991	2001
Cultivators	39.7	33.1	25.4	22.1
Agricultural labourers	19.7	20.3	49.1	39.2
Household Industry	2.6	3.9	2.4	3.7
Other workers	38.0	42.7	23.1	35.05

Source: Census of India 1991 & 2001 RGI, New Delhi

1.14 During the evidence when asked about the hurdles to achieve the objective, Secretary, Planning Commission stated:

“.....from our appraisal, that just as many other Government schemes are being implemented with some success in some parts of the country but with very poor performance in certain other parts, I find the same patchy performance across the board.

.....many Ministries have not earmarked funds or specified allocations as such, there are certain Ministries which have actually done a pretty good amount of work. There are also situations where I would say that the failure rate is much higher.

.....There are many reasons for failure. Sometimes, the fund transfer does not take place on time. Sometimes, as is being revealed by the study that we have commissioned recently ..... there is a kind of a siphoning of. There is sometimes an attempt, there is sometimes a situation where the benefits, which are intended by way of subsidies or by way of earmarked allocations do not reach because of active attempts on part of certain people to appropriate those benefits even though they are not in the deserved categories.”

1.15 In a written reply to a query whether the objectives of SCSP have been achieved and if not, the hurdles coming in the way in achieving the same, the Ministry of Social Justice and Empowerment have stated that the initiatives of the Government through implementation of Scheduled Caste Sub Plan and other schemes for the economic, educational and social development of SCs have yielded positive outcomes, and resulted in narrowing the gap between the Scheduled Castes and rest of the population in terms of several indicators. The gap in development indicators is, however far from being bridged. The comparative status of SCs vis-à-vis the total population in terms of some of the important indicators of socio-economic development as furnished by both the Ministry of Social Justice & Empowerment and the Planning Commission is given below:

**(i) Incidence of Poverty:**

The percentage of persons below poverty line for SCs and overall population, separately for rural and urban areas, in 1993-94 and 2004-05 was as given below:

Category	Percentage of Persons below Poverty Line			
	1993-94		2004-05	
	Rural	Urban	Rural	Urban
All	37.3	32.4	28.3	25.7
SCs	48.1	49.5	36.8	39.9
<b>GAP (% points)</b>	<b>10.8</b>	<b>17.1</b>	<b>8.5</b>	<b>14.2</b>

(Planning Commission: XI Plan document)

Thus, while percentage of SCs below the poverty line is coming down, as is the gap between SCs and overall population, there continues to be higher prevalence of poverty amongst SCs compared to the population as a whole. Also, the gap between SCs and overall population is higher in urban than the rural areas.

**(ii) Literacy**

As per the last five Censuses, literacy rates separately for SCs and overall population, by sex, are presented below:

Census	Literacy Rates						Gap (All-SC)		
	All			SC			(% points)		
	Male	Female	Total	Male	Female	Total	Male	Female	Total
1981	46.9	24.8	36.2	31.1	10.9	21.4	15.8	13.9	14.8
1991	64.1	39.3	52.2	49.9	23.8	37.4	14.2	15.5	14.8
2001	75.3	53.7	64.8	66.6	41.9	54.7	8.7	11.8	10.1

(Census, 2001)

Both the Ministry of Social Justice & Empowerment and the Planning Commission have stated that the gap between SC and overall population in terms of literacy rate, which was 14.8 percentage points in 1981, has come down to 10.1 percentage points in 2001. During the same period there has also been considerable improvement in overall and female

literacy rates for SCs which have increased from 21.4% for all SCs and 10.9% for female SCs in 1981, to 54.7% for all SCs and 41.9% for SC females in 2001. Also, the gap between SC female and over all female literacy rates has declined from 15.5 percentage points in 1991 to 11.8 percentage points in 2001.

### (iii) Gross Enrollment Ratio (GER)

As per the Time Series data of the Ministry of Human Resource Development on Selected Educational Statistics, the GER for various age groups, separately for SCs and overall population is presented below:

Stage	Gross Enrollment Ratio				Gap (SC-All)	
	1990-91		2006-07		1990-91	2006-07
	SC	All	SC	All		
Primary	106.4	83.8	123.7	111.2	22.6	12.5
Upper Primary	52.7	66.7	75.6	73.6	- 4.0	2.0
Secondary	-	-	38.8	40.6	-	-
Higher Education	-	-	9.3	12.4	-	-

(Source: M/o Human Resource Development)

Thus, GER for SCs has been higher than for the overall population at the primary stage which may probably be due to higher proportion of under-age and over-age SC children enrolled in Classes I-V. Enrollment ratio among SCs has shown considerable improvement over years, especially at the upper primary stage.

The Planning Commission have furnished the following information in regard to Gross Enrolment ratio (GER):

Stage	Gross Enrolment Ratio							
	1986-87		1990-91		2005-06		2006-07	
	All	SC	All	SC	All	SC	All	SC
Class-I-V	95.3	84.8	83.8	106.4	109.4	118.4	111.2	123.7
Class-VI-VIII	48.2	40.4	66.7	52.7	71.2	73.4	73.6	75.7
Class-I-VIII	--	68.4	--	--	94.9	101.8	96.9	105.9

The Enrolment Ratio among SCs has shown considerable improvement over years at the primary stage which is higher than the overall population.

### (v) Mortality Rates

Infant Mortality Rate is defined as the number of deaths in the first year of life per thousand live births, while under five Mortality Rate is defined as the number of deaths in the first five years of life per thousand live births. Another important indicator of maternal and child health is percentage of institution deliveries and percentage of full immunization. These rates for SC and overall population as per the National Family Health Survey (NFHS), 1991-93 and 2005-06, carried out by the Ministry of Health and Family Welfare are given below:-

#### Maternal and Child Health Indicators

Social Group	Mortality Rates			Institutional Deliveries (%)	Full Immunization of Children (%)
	Infant Mortality	Under five Mortality	Maternal Mortality		
<b>1992-93</b>					
SCs	107	149	-	16	27
All	86	119		26	35
Gap (SCs-All)	21	30		10	8
<b>2005-06</b>					
SCs	50.7	66.4	Not Available	32.9	39.7
All	41.5	51.7	301*	51.0	53.8
Gap (SCs-All)	9.2	14.7		18.1	14.1
*Number of deaths per lakh live births for the period 2001-03 from Sample Registration System, Office of RGI, India. Information not available for SCs separately.					

(NFHS, 1992-93 and 2005-06)

These figures indicate higher risk to children born in SC families compared to others. Further, lower percentage of institutional deliveries and lower level of full immunization of children amongst SC families also indicate lower health status of SC families.

The Planning Commission have furnished the following additional details indicating Health Status in the country pertaining to the years 1998-99 and 2005-06:

Health Status	1998-99		2005-06	
	All	SCs	All	SCs
Infant Mortality	67.6	83.0	41.5	50.7
Neonatal Mortality	43.4	53.2	51.7	46.3
Child Mortality	29.3	39.5	--	23.2
Institutional Delivery	33.6	26.8	51.0	32.9
Full Immunization	42.0	40.2	53.8	39.7

**Source: NFHS (1998-99 to 2005-06)**

On health aspect the situation also include as reported in two surveys of NFHS (1998-99 to 2005-06) for SCs – Infant Mortality from 88.02 to 50.7, Neonatal Mortality from 53.2 to 46.3, Child Mortality from 39.5 to 23.2.

#### **(vi) Access to Safe Drinking Water and Electricity**

The information collected in this regard during Census, 1991 and 2001 separately for SC and overall population is presented below:

Household Amenity	Percentage of Households having Access to Household Amenities				Gap (Non SC/ST-SC) (% points)	
	1991		2001		1991	2001
	SC	Non SC/ST	SC	Non SC/ST		
Safe Drinking Water	63.6	64.1	81.1	79.2	0.5	-1.9
Electricity	28.1	48.1	44.3	61.4	20.0	17.1

**(Census 1991 and 2001)**

Thus, SC households had slightly better access to safe drinking water compared to others. But their access to electricity was considerably lower. However, the gap between SCs and non SC/ST even in respect of electricity has decreased.



**1.16 The Committee suggest that while making provisions, the Government should have considered that by tackling the problems of the economic development of Scheduled Castes and Scheduled Tribes they would be significantly solving the problem of removal of poverty in the country. They are of the view that the provisions of the Plan for the betterment of social and economic life of the SCs and STs should have some relation to their population in the country and their socio-economic position in the society. The Committee recommend that the most backward communities amongst SCs and STs should be identified urgently and specific schemes and programmes should be chalked out and implemented for the amelioration of their socio-economic conditions.**

1.17 In reply to the query whether any time target has been fixed by the Central Government to achieve the objectives of SCSP, the response of both the Ministry of Social Justice and Empowerment and the Planning Commission was negative stating that no specific time frame has been fixed to achieve the objectives of SCSP as the schemes under SCSP are mostly target oriented and yearly targets are fixed/planned to achieve the overall objectives.

## CHAPTER-II

### FORMULATION AND IMPLEMENTATION OF SCSP

#### A. Guidelines

2.1 Detailed guidelines for implementation of Scheduled Caste Sub Plan (SCSP) for welfare of Scheduled Castes have been issued by the Planning Commission from time to time for the formulation, implementation and monitoring of SCSP for Scheduled Castes by the Central Ministries/Departments and States/UTs. In this direction, the Planning Commission has brought out a compilation titled "Scheduled Caste Sub Plan – Guidelines for Implementation, 2006". The detailed guidelines *inter-alia* include the following:-

- (i) A note consolidating the guidelines already issued by the Government of India for the formulation, implementation and monitoring of Scheduled Caste Sub Plan for Scheduled Castes, issued to Planning Secretaries of all the States/UTs (except Arunachal Pradesh, Meghalaya, Mizoram and Nagaland) vide Planning Commission D.O. No. M-13011/3/2005-SP-Co dated 31<sup>st</sup> October, 2005 **(Appendix A)**.
- (ii) Additional Guidelines for preparing schemes/programmes under Scheduled Caste Sub Plan by the State Governments, issued to the Chief Secretaries of all States (except Mizoram, Nagaland, Meghalaya and Arunachal Pradesh) vide Planning Commission D.O. No. M-13054/2/2005-BC dated 12<sup>th</sup> January, 2006 **(Appendix A)**.
- (iii) Guidelines for formulation, implementation and monitoring of Scheduled Caste Sub Plan for Scheduled Castes issued to Secretaries of 62 Central Ministries/Departments vide Planning Commission D.O. No. M-11016/5(1)/2006-PC dated 13<sup>th</sup> December, 2006 **(Appendix A)**.

2.2 The guidelines issued by the Planning Commission to the Planning Secretaries of States enumerate the following components of Scheduled Caste Sub Plan:-

- (i) Only those schemes should be included under SCSP that ensure direct benefits to individuals or families belonging to the Scheduled Castes.
- (ii) Outlay for area-oriented schemes directly benefiting Scheduled Castes hamlets/villages having a majority of Scheduled Castes population and villages shall be included in SCSP.
- (iii) Priority should be given for providing basic minimum services like primary education, health, drinking water, nutrition, rural housing, rural electrification and rural link road.
- (iv) Wage component, especially under rural employment schemes, should not be included under SCSP
- (v) 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 population should be included.
- (vi) Innovative projects that draw upon institutional finance to supplement plan allocations may be drawn up.

2.3 The guidelines issued by the Planning Commission to Central Ministries enumerate the following components of Scheduled Caste Sub Plan:

- (i) Only those schemes should be included under SCSP/TSP that ensure direct benefits to individuals or families belonging to the Scheduled Castes.
- (ii) Outlay for area-oriented schemes directly benefiting Scheduled Castes hamlets/villages having a majority of Scheduled Castes population and villages shall be included in SCSP and TSP.

- (iii) Among the various programmes for the benefit of SCs, priority should be given for providing basic minimum services like primary education, health, drinking water, nutrition, rural housing, rural electrification and rural link road.
- (iv) 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 population should be included.
- (v) Innovative projects that draw upon institutional finance to supplement plan allocations may be drawn up.

## **B. Role of Central Government in formulation and implementation**

2.4 The Guidelines on Scheduled Caste Sub Plan, issued by Planning Commission from time to time, require State Governments/UT Administrations as well as the Central Ministries and Departments to earmark outlays out of their annual Plan in proportion to the SC population and implement schemes, which provide direct benefits to SCs. In addition, the Central Government provides Special Central Assistance (SCA) as an additive to Scheduled Caste Sub Plans of State Governments for implementing beneficiary oriented income-generating scheme for SCs. Objective of SCA is to give a thrust to the development programmes for Scheduled Castes and encourage State Governments to properly implement SCSP.

2.5 When asked about the exact role of the Ministry of Social Justice & Empowerment in implementation of Scheduled Caste Sub Plan, the Ministry have referred to the Guidelines of the Planning Commission on formulation and implementation of Scheduled Caste Sub Plan, issued to State Governments and Central Ministries in October, 2005 and December, 2006, respectively, which provide, under the heading Monitoring of SCP and TSP, as under:

### “Guidelines issued to State Governments in October, 2005 (Appendix - A)

“ 1. State and District/Block level Monitoring Committees should be constituted to monitor the implementation of various schemes under SCP and TSP of various development departments. The District/Block level committees may review the

progress of implementation of schemes and utilization of funds on monthly basis and State level committees may review the progress on quarterly basis.

2. District and Block level committees may be constituted on the pattern of District and Block level committee constituted by the Ministry of Rural Development by involving elected members (MPs, MLAs and Panchayat members, and other important leaders in the districts) or the same committees may be entrusted with the responsibilities for monitoring of these programmes.

.....

.....

**5. Ministries of Social Justice & Empowerment and Tribal Affairs** will be actively involved in the process of finalization of Annual Plans of the States/UTs.”

.....”

“Guidelines issued to Central Ministries in December, 2006 (Appendix - A)

“1. Central Ministries/Departments will be responsible for monitoring compliance with Scheduled Caste Sub Plan/TSP components of Centrally Sponsored Schemes. Appropriate arrangements should be made with the State Governments to ensure accurate and timely flow of information.

2. The Planning Commission shall monitor the progress of Scheduled Caste Sub Plan and TSP at the time of the half yearly and annual performance reviews of the Ministries/Deptts.

.....

**4. Ministries of Social Justice & Empowerment and Tribal Affairs** will be involved in the process of finalization of Annual Plans of the Central Ministries/departments.

.....”

2.6 When specifically asked whether the Ministry of Social Justice and Empowerment is the nodal Ministry for formulation and implementation of Scheduled Caste Sub Plan of other Ministries and earmark funds at their disposal, it was stated in their written reply that the Ministry of Social Justice and Empowerment do not have any role in earmarking of allocation under Scheduled Caste Sub Plan by other Ministries/Departments. However, as far as its own allocation and expenditure is concerned, about 75% of its plan outlay and expenditure are under schemes for SC development.

**2.7 The Committee feel that these Ministries should not confine themselves only to limited role in the formulation of Plans, as they are the nodal ministries and have to play a greater key role in the overall development of SCs and STs. The Committee are**

**strongly of opinion that the programmes formulated for SCs and STs should be mobilized in light of earnest through these Ministries.**

### **C Role of States/UTs in formulation and implementation**

2.8 As per the guidelines issued by the Planning Commission, State Governments/UT Administrations are required to formulate and implement Scheduled Castes Sub Plan as part of their Annual Plans by earmarking resources in proportion to SC population of the State. State Governments/UT Administrations are required to take into account certain points for formulating Scheduled Caste Sub Plan like earmarking of funds for Scheduled Caste Sub Plan from total State Plan outlay at least in proportion of SC population of the State, Scheduled Caste Sub Plan funds should be non divertible and non lapsable, making the Social Welfare Department/the Department concerned with welfare and development of SCs as nodal Department for formulation and implementation of Scheduled Castes Sub Plan, placing the earmarked funds at the disposal of the nodal department concerned which in turn will reallocate the funds to sectoral departments for implementing scheme directly relevant to SC development and placing the earmarked funds under separate budget head/sub head.

2.9 It has also been stated that most of the State Governments/UT Administrations are following the sectoral approach for earmarking State Plan funds for the Scheduled Caste Sub Plan based on the guidelines and formats prescribed by the Planning Commission for the formulation of Scheduled Caste Sub Plan. Scheduled Caste Sub Plan is being implemented through various Departments, Panchayati Raj institutions, Housing Boards, Corporations etc. for the socio-economic welfare of SCs.

2.10 When the Committee enquired whether Central Government is satisfied with the State Governments/UT Administrations following sectoral approach for earmarking funds, the Planning Commission replied that 24 States and 3 UTs are earmarking funds under Scheduled Caste Sub Plan. The sectoral approach for earmarking of funds varies from

sector to sector within the State Plan Departments. The State Government is facing problems as some of the line Departments are not earmarking funds under Scheduled Caste Sub Plan on the pretext that their funds are of non-divisible in nature.

**2.11 The Committee are disappointed to note that no reasons have been forwarded by the Planning Commission for not making the Social Welfare Department as nodal Department by all other States/UTs. The Committee recommend that Planning Commission should ensure that intended funds are actually spent for the welfare of SCs/STs and also to ensure that all the States should make the Social Welfare Departments as nodal Departments for formulation and implementation of SCST schemes/programmes.**

2.12 To a query whether all the State Governments have made the Social Welfare Department as nodal Department for formulation and implementation of Scheduled Caste Sub Plan, the Planning Commission in their post evidence reply have informed that as per information available, only the States of Chhattisgarh, Himachal Pradesh, Madhya Pradesh, Maharashtra, Sikkim, Uttar Pradesh, Punjab and Uttaranchal have made Social Welfare Department as nodal Department for formulation and implementation of Scheduled Caste Sub Plan. However, no reasons have been forwarded by the Planning Commission for not making the Social Welfare Department as nodal Department by all other States/UTs.

#### **D. POSITION OF IMPLEMENTATION OF GUIDELINES**

2.13 During evidence, when the Committee desired to know the names of Ministries which are exempted and which are not exempted for having the Scheduled Caste Sub Plan, the Secretary, SJ&E submitted:

“Sir, the issue of exempting any Ministry from the SCSP is for the Planning Commission because the guidelines have been issued by them.

.....we have done an exercise of classifying Ministries. It is possible to do so. ....One is a set of regulatory Ministries and Departments and also Ministries which have no

Plan budget. I submitted at the beginning that SCSP is related to Plan, and not to non-Plan. If a Ministry has no Plan budget, by definition, it would not have an SCSP.

.... Apart from regulatory Ministries and those having no Plan budget, there are also two Ministries which deal with target groups which are such that they cannot have an SCSP. One is the Ministry of Tribal Affairs and the other is the Ministry of Minority Affairs. By definition these two Ministries would not have SCSP.

.... The third category is of Ministries which do basic scientific research and they have also said that there is a need to treat them in a differential manner. Then there are Ministries which have large infrastructure projects and the Ministries which are largely engaged in policy-making for respective sectors, but also implementing some developmental schemes. Then there are Ministries which we have identified where there is a case for, in fact, having a higher percentage under SCSP than the normal 16.2 per cent which, of course, start with our own Ministry. As the Committee would be aware, 75 per cent of our Plan budget goes to Scheduled Castes. Only 25 per cent goes to our remaining four target groups.

Unfortunately, our Plan Budget itself is very small, and we have been repeatedly taking up the matter at the highest level. In many other Ministries – like the Ministry of Human Resource Development; the Ministry of Women and Child Development; the Ministry of Rural Development; the Ministry of Housing and Urban Poverty Alleviation, etc. – there is a case for having a higher allocation for SCSP”

**2.14 The Committee suggest that the budget allocations for the SCSP should be enhanced suitably so that physical targets could be achieved. The Committee would, therefore, like to strongly recommend that the Government should build a strong case before the Planning Commission for enhancing the higher allocation to the Ministry.**

2.15 On being asked about the steps that have been taken to ensure that guidelines on Scheduled Caste Sub Plan issued by Planning Commission are implemented by Central Ministries/Departments in letter and spirit, the Ministry of Social Justice and Empowerment have stated that they have repeatedly taken up the matter with the Planning Commission and the Ministry of Finance, at the highest levels to ensure compliance with the Planning Commission’s guidelines on Scheduled Caste Sub Plan by the Central Ministries/Departments. In their reply, the Planning Commission have reiterated that they have issued guidelines for Scheduled Caste Sub Plan to Central Ministries/Departments in



2006. A Central Tripartite Committee was set up in the Planning Commission during 1999 and has been reconstituted in 2006 to look into issues relating to formulation and implementation of Scheduled Caste Sub Plan and to suggest specific measures for their compliance.

2.16 The Planning Commission have further stated that after the last meeting of Parliamentary Committee on the Welfare of Scheduled Castes and Scheduled Tribes on the subject "Working of Scheduled Caste Sub Plan" held on 10<sup>th</sup> September 2009, a D.O. letter from Secretary was sent on 29<sup>th</sup> September 2009 to all Secretaries of Central Ministries/Departments to provide scheme-wise details under Scheduled Caste Sub Plan/TSP in their proposal for preparation of Annual Plan 2010-11. The response has been received only from 29 Ministries/Departments **(Appendix B) (1)**.

2.17 When the Committee desired to know about the State Governments/UTs that have still not formulated Scheduled Caste Sub Plan and earmarked the funds for Scheduled Caste Sub Plan from total State Plan, both the Ministry of Social Justice and Empowerment and the Planning Commission have stated that out of 28 States and 7 UTs, Scheduled Caste Sub Plan have been formulated and implemented by 24 States and 3 UTs. The remaining 4 States namely Meghalaya, Nagaland, Arunachal Pradesh and Mizoram, and 4 UTs, namely Lakshadweep, A&N Islands, Dadra & Nagar Haveli, Daman & Diu, are not implementing Scheduled Caste Sub Plan.

2.18 According to the Ministry of Social Justice and Empowerment the reason for not earmarking the funds for Scheduled Caste Sub Plan from total State Plan by the 4 States was that the guidelines of October, 2005 of the Planning Commission on formulation and implementation of Scheduled Caste Sub Plan were not sent to the 4 States mentioned above. Moreover, the size of SC population in the above 4 States and 4 UTs, which are not implementing Scheduled Caste Sub Plan, is negligible, as given in the table below:

### Scheduled Castes Population and its share in Total Population.

Sl.No.	State/UT	SC Popn.	Share of SC in State's/UT's Total Popn.
1	Meghalaya	11,139	0.48
2	Nagaland	Nil	0.00
3	Arunachal Pradesh*	6,188	0.56
4	Mizoram	272	0.03
5	Lakshadweep	Nil	0.00
6	A&N Islands	Nil	0.00
7	Dadra & Nagar Haveli	4,104	1.86
8	Daman & Diu	4,838	3.06

\* The list of SCs of Arunachal Pradesh has been de-notified vide SC (Orders) (Second Amendment Act, 2002).

Total SC population in the above 4 States and 4 UTs is just 0.02% of the total SC population in the country.

2.19 The Planning Commission have forwarded the following position of implementation of guidelines by the States/UTs and Central Ministries/Departments :

- (i) 24 States and 3 UTs having sizeable SC population are implementing Scheduled Caste Sub Plan. States of Assam, Goa, Gujarat, Karnataka, Maharashtra, Rajasthan, Tamil Nadu, Tripura, Chandigarh, are not earmarking funds under Scheduled Caste Sub Plan as per the percentage of SC population.
- (ii) As per the information available with the Planning Commission, the State Governments (except Jammu & Kashmir and Chandigarh) have created separate Budget Heads for Scheduled Caste Sub Plan but sector-wise and scheme-wise budgetary allocations have not been indicated.

- (iii) States of Chhattisgarh, Himachal Pradesh, Madhya Pradesh, Maharashtra, Uttar Pradesh and Uttaranchal have made Principal Secretary of SC/ST Department as Planning Secretary for Scheduled Caste Sub Plan funds without financial power. Other States are yet to make the same.
- (iv) As per available information, a large number of Central Ministries/Departments are not earmarking funds under Scheduled Caste Sub Plan as per Planning Commission guidelines. However, 17 Ministries/Departments are indicating allocation for SCs and STs under various developmental schemes in their respective Ministries/Departments. These are: i) Ministry of (M/o) Social Justice & Empowerment, ii) M/o Civil Aviation, iii) M/o Labour & Employment, iv) Department of (D/o) Science and Technology and Bio-technology, v) D/o Agriculture & Cooperation, vi) D/o Telecommunications, vii) D/o Information Technology, viii) M/o Culture, ix) D/o Health & Family Welfare, x) D/o School Education & Literacy, xi) D/o Higher Education, xii) M/o Micro, Small & Medium Enterprises, xiii) M/o Panchayat Raj, xiv) M/o Rural Development, xv) M/o Textiles, xvi) M/o Women and Child Development, and xvii) M/o Youth Affairs & Sports.
- (v) Other Central Ministries/Departments, those who are not earmarking funds under Scheduled Caste Sub Plan have stated that their schemes/programmes benefit all sections of the society and it is difficult to earmark outlay for benefit of social groups.

**2.20 The Committee desire to know the reasons why certain States/UTs are not earmarking funds under SCSP as per the percentage of SC population in the State/UT. The Committee recommend that earmarking of Plan funds should be in proportion to SC population in the Annual Plans of all the Ministries/Departments and States/UTs**

**under the SCSP. The Committee further recommend that the Principal Secretary of Deptt. of SCs should be made the Secretary, Planning for SCSP funds with full financial powers.**

#### **E Manual for use by field level officers**

2.21 The Committee have been informed that Scheduled Caste Sub-Plan guidelines were compiled by Planning Commission. Guidelines for field level officers in the local language are expected to be prepared and distributed by State Governments. When asked whether the guidelines for field level officers in local languages have been prepared, the Planning Commission in their post evidence reply have stated that they had requested the State Governments to furnish the information sought by the Parliamentary Committee. However, only 8 States i.e. Karnataka, Punjab, Tamil Nadu, Uttar Pradesh, Uttaranchal, Chandigarh, Delhi, Puduchery furnished the information and that only Punjab, Uttar Pradesh, Uttaranchal have reported that the guidelines for field officers have been prepared in local languages whereas Tamil Nadu has reported that the guidelines are available only in English. Necessary steps are being taken to make available these guidelines in local language. **[Appendix B (2)]**. In regard to a query whether any time frame has been fixed in this regard, the Planning Commission replied in negative.

**2.22 The Committee feel that in the absence of availability of the guidelines in the local languages, there might be difficulties in understanding, monitoring and implementation of the SCSP guidelines. The Committee, therefore, recommend that immediate steps should be taken to get the guidelines translated into the local languages and the same distributed to the concerned agencies/officers and the Committee apprised of the action taken within three months of the presentation of this Report.**

## CHAPTER- III

### RESOURCES FOR SCHEDULED CASTE SUB PLAN

#### A. EARMARKING IN ANNUAL PLANS

3.1 The Committee have been informed that no separate funds are provided for Scheduled Caste Sub Plan (SCSP). Scheduled Caste Sub Plan is to be formulated and implemented by earmarking resources out of the Annual Plans of States/UTs and Central Ministries/Department in proportion to SC population. The concept of Scheduled Castes Sub Plan is to ensure that at least population proportionate flow of benefits to Scheduled Castes under developmental schemes of the Government. It requires State Governments/UT Administrations and Central Ministries/Departments to take note of the developmental needs of Scheduled Castes in each occupation category, identify the available opportunities suitable for them, formulate appropriate developmental programmes in the light of the above and build these programmes and corresponding outlays in the Scheduled Caste Sub Plan. In addition to that, Special Central Assistance (SCA) is also given to States.

3.2 Like his predecessors, the then Hon'ble Prime Minister while underlining the importance of the Scheduled Caste Sub Plan and Tribal Sub Plan had reiterated the effective implementation of Scheduled Caste Sub Plan during the 51<sup>st</sup> NDC Meeting held on 27<sup>th</sup> June, 2005 wherein he emphasized that:

“...in the mid-1970s, the SCSP and TSP were initiated. TSPs and SCSPs should be an integrated 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 social economic development of the Scheduled Castes and Scheduled Tribes within a period of 10 years.”

3.3 As per the guidelines, only such schemes should be included under SCSP which give direct benefit to SCs. Outlays for area development programmes may also be included under SCSP if such programmes are undertaken in hamlets/villages having majority of SC population. Though schemes and programmes in any sector can be undertaken under

SCSP, providing basic minimum services such as primary education, health, drinking water, nutrition, rural electrification, rural housing and rural link roads have been identified as priority areas.

## **B. Allocation under States Annual Plan**

3.4 The Ministry of Social Justice & Empowerment have provided the following details of Scheduled Caste Sub Plan allocation made by the States/UTs out of their total State Plan during the years 2004-05 to 2008-09:-

Year	Total State Plan Outlay (Rs. In crore)	Scheduled Caste Sub Plan Outlay (Rs. In crore)	% of Scheduled Caste Sub Plan Outlay to State Plan Outlay
2004-2005	1,08,788.89	12,065.38	11.06
2005-2006	1,36,234.48	16,422.63	12.05
2006-2007	1,52,087.95	21,461.12	14.11
2007-2008	2,33,607.00	40,008.00	17.1
2008-2009	3,00,590.00	43,846.00	14.6

3.5 According to Planning Commission, the total State Plan outlay for Annual Plan 2007-08 is Rs.2,33,607.16 crore of which earmarked outlay under Scheduled Caste Sub Plan is Rs.37,207.54 crore constituting 15.93% of the total allocation. For Annual Plan 2008-09 total State Plan outlay is Rs.3,00,589.63 crore of which earmarked outlay under Scheduled Caste Sub Plan is Rs.42,742.29 crore constituting 14.22% of the total plan allocation. For Annual Plan 2008-09, the States of Chhattisgarh and Jammu & Kashmir have not indicated any outlay under Scheduled Caste Sub Plan. **(Appendix C)**

The Ministry of Social Justice & Empowerment have also furnished the details of State Plan, Scheduled Caste Sub Plan allocation, regarding allocation and the expenditure from 2004-2005 to 2006-07 which is at **Appendix 'D'** .

**3.6 The Committee recommend that the budget allocation for SCSP Plan should be enhanced suitably so that adequate funds are available for spending under the SCSP for meeting the financial and physical targets.**

3.7 When enquired about the reasons as to why the percentage of allocation under SCSP has not been done as per the share of total SC population, it was clarified by the Ministry of Social Justice & Empowerment in their written reply that the allocation under SCSP was 17.1% in 2007-08 which came down to 14.6% in 2008-09 due to less than proportionate allocation by some States, namely, Tamil Nadu, Karnataka, Maharashtra, Rajasthan, Gujarat and Assam. In their post evidence reply, the Planning Commission have stated the following reasons as indicated by the State Governments for not allocating allocation under SCSP as per the percentage of SCs as under :

- (i) Funds under SCSP are also of divisible and non-divisible nature, therefore, many Departments in the States have not earmarked funds under SCSP.
- (ii) Absence of specific mechanism to ensure requisite flow of funds is also a factor.

**3.8 The Committee strongly recommend that the Government should make all out efforts to ensure that the outlay earmarked for the respective scheme/programme under SCSP in a particular year are used only for the specific programme/scheme under SCSP for which the allocation is made so that the chances of having unspent funds are minimized. The Government should gear up and streamline the existing implementing machinery at the field level so as to ensure 100% utilization of available funds. The Committee also recommend that the guidelines of the schemes should be suitably revised to ensure proper monitoring.**

3.9 When asked about the action taken by the nodal Ministry and the Planning Commission to streamline the procedure for adherence to the guidelines regarding allocation of proper resources in State Plan outlay, the Ministry of Social Justice & Empowerment stated that the detailed guidelines on formulation and implementation of SCSP have been issued by the Planning Commission to States/UTs in October 2005 and implementation of these guidelines is also to be monitored by the Commission which also, inter alia, approves States Annual Plans. It was further stated that the Ministry of Social Justice & Empowerment also reviews this aspect during interaction with State Governments. This matter was last discussed during the Conference of State Ministers of Welfare/Social Justice, organized by the Ministry on 7-8 September, 2009.

3.10 To the same query, the Planning Commission in their post evidence reply have stated that implementation of SCSP is reviewed during the meeting of the Working Group for discussion and finalization of Annual Plans by the Planning Commission besides the Central Standing Tripartite Committee. Further in the context of Mid Term Appraisal of 11<sup>th</sup> Five Year Plan undertaken by the Consultative Groups to review the implementation of SCSP and TSP, two special regional workshops were held at Hyderabad and Kolkata in November 2009 at the instance of Planning Commission. The Workshops were attended by all State Secretaries for SC, ST, Planning and Finance Departments and Central Ministries including Voluntary Agencies, Academicians and Experts.

3.11 When the Committee desired to know the response of States/UTs on the issue of ensuring adequate allocation under Scheduled Caste Sub Plan, the reply of the Ministry of Social Justice and Empowerment was that State Governments have agreed to improve formulation of Scheduled Caste Sub Plan, in terms of allocation and expenditure on schemes for SC development. In this connection, the Planning Commission have informed that 24 States and 3 UTs which are implementing Scheduled Caste Sub Plan and TSP, were



requested to furnish the point-wise information for further submission of reply to the Parliamentary Committee. The response has been received from 8 States only (**Appendix E**).

3.12 During evidence the Committee pointed out that the Annual Plans of all States are approved every year by the Planning Commission. On being asked whether there was any instance when the Planning Commission had rejected the Annual Plan of any State Government during the last five years because it had not properly implemented the constitutional requirement of SCSP, the Planning Commission in their post evidence reply responded in negative and stated that they have been impressing upon the State Governments for strict adherence to the Scheduled Caste Sub Plan guidelines. In the letter for approval of sectoral outlay for the Annual Plan 2008-09 of Jammu & Kashmir, it has been stated that since the State Government has not complied with the instruction regarding Scheduled Caste Sub Plan/TSP, it was not possible for Planning Commission to accord final approval of the Sectoral Plan Outlay for 2008-09. Similarly, for the State of Rajasthan, the approval for outlay for Annual Plan 2008-09 was accorded subject to the State Government providing the minimum amount specified for Scheduled Caste Sub Plan and TSP. State Governments are also asked to submit separate documents for Scheduled Caste Sub Plan indicating sector wise and scheme wise financial and physical targets and achievements.

### **Expenditure vis-a-vis Allocation**

3.13 The Ministry of Social Justice & Empowerment in their post evidence note have pointed out that while compliance with Scheduled Caste Sub Plan guidelines by the State Government has improved over time and most of the States/UTs are doing earmarking as per these guidelines, it has been found that the expenditure under Scheduled Caste Sub Plan, as proportion to the total State Plan expenditure, is not at the prescribed level. Annual

and Scheduled Caste Sub Plan allocation/expenditure in respect of some selected States is given below:-

**Percentage Allocation and Expenditure under Scheduled Caste Sub Plan-2007-08-selected States**

S.No	State	SC Population %	% allocation under Scheduled Caste Sub Plan	Scheduled Caste Sub Plan expenditure as % to State Plan expenditure	% Gap		
					In allocation under Scheduled Caste Sub Plan	In allocation and Expd.	Total
1	2	3	4	5	6 (3-4)	7 (4-5)	8 (6+7)
1	Punjab	28.9	26.0	14.9	2.9	11.1	14.0
2	Haryana	19.3	19.3	16.3	0	3.0	3.0
3	Himachal Pradesh	24.7	11.1	8.1	13.6	3.0	16.6
4	Karnataka	16.2	16.9	11.8	-0.7	5.1	4.4
5	Rajasthan	17.2	15.4	14.5	1.8	0.9	2.7
6	Gujarat	7.1	7.1	5.3	0	1.8	1.8
7	Bihar	15.7	20.9	10.8	-5.2	10.1	4.9
8	Orissa	16.5	16.5	13.1	0	3.4	3.4

**3.14 The Committee are unhappy to note that the SCs/STs development schemes are not being implemented in all the States/UTs. The Committee recommend that necessary guidelines in this regard should be issued to State Govts/UTs Admn. and the Committee be apprised accordingly. The Committee further suggest that adequate funds should be allocated under SCSP as proportion to the total State Plan expenditure in order to provide the SC population with adequate opportunities for development under SCSP.**

**C. ALLOCATION BY CENTRAL MINISTRIES/DEPARTMENTS**

3.15 In reply to a question about the details of funds earmarked and utilized by the Central Ministries for Scheduled Caste Sub Plan during the 10<sup>th</sup> Plan period, the Committee were informed by the Ministry of Social Justice & Empowerment that monitoring of allocation and utilization of Plan funds (including SCSP funds) is done by the Planning Commission and according to the information submitted by the Commission, all the Central

Ministries/Departments have indicated that they have not earmarked funds towards Scheduled Caste Sub Plan during 10<sup>th</sup> Plan. Ministries/ Departments have clarified that their schemes/programmes are also benefitting SCs in the country and they do not have SC specific schemes.

3.16 When asked about the action taken against the Ministries which did not earmark the funds towards SCSP in 10<sup>th</sup> Plan as per the Planning Commission guidelines, as also how these Ministries would be compelled to earmark the SCSP amount during 11<sup>th</sup> Plan, the Ministry of Social Justice & Empowerment stated that they have no funding, controlling or coercive powers vis-à-vis other Ministries. Only Planning Commission, which is the allocating authority for Plan funds, can use that authority to ensure compliance with its guidelines. In response, the Planning Commission have stated that they issued guidelines for the formulation, implementation and monitoring of SCSP to the Central Ministries in 2006. As a result, Ministries/Departments have started indicating allocation of funds under SC/ST programmes in the budget 2008-09 and 2009-10 of the Central Ministries/Departments. It was also stated that on 29<sup>th</sup> September, 2009 and 14<sup>th</sup> October, 2009 letters were written by Secretary, Planning Commission to all Secretaries of Ministries/Departments for strict adherence to the SCSP/TSP guidelines. Further a letter dated 26<sup>th</sup> October 2009 was written by Secretary, Planning Commission to all Ministries/Departments to provide scheme-wise details and SCSP/TSP components in their 2010-11 Annual Plan proposals. It was also added that Planning Commission have been reviewing SCSP in the meetings of the Central Tripartite Committee also. Central Tripartite Committee meetings with the Central Ministries/Departments were held in the Planning Commission on 8<sup>th</sup> and 9<sup>th</sup> November, 2006 to review the performance of SCSP wherein SCSP was discussed in detail.

3.17 It was stated by the Ministry of Social Justice & Empowerment that there are 14 Ministries/Departments that supplement implementation of the Scheduled Caste Sub Plan in terms of the achievement and coverage of various schemes under it. These Ministries/Departments are Labour, Science & Technology, Biotechnology, Industry, Textiles, Women & Child Development, Health & Family Welfare, Commerce, Rural Development, Non-Conventional Energy, Agriculture & Cooperation, Coal, Steel, Small, Medium & Micro Enterprises and Agro & Rural Industries. In addition, the Ministry of Social Justice & Empowerment also stated that the Central Ministries were also requested to furnish information in this regard. Gist of replies received from 51 Ministries/Departments is at **Appendix F**. According to the reply furnished by 11 Ministries/Departments, the information in regard to allocation of funds under Scheduled Caste Sub Plan is 'Nil'.

**3.18 The Committee recommend that the Ministries should review their mechanism to get adequate finances from the Planning Commission under the SCSP. The Committee further recommend that Ministries should present a clear picture about proper utilization of funds by them so as to get an adequate allocation from the Planning Commission.**

3.19 In reply to a query as to what are the programmes/schemes available with Ministries which are benefiting SCs in the country in the absence of SC specific schemes, it was stated by the Ministry of Social Justice & Empowerment that Statement 21 of the Expenditure Budget (Vol I) gives information about allocations under schemes that are substantially meant for SCs and STs, in following two parts:

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

In this statement, allocations under Plan schemes of following 17 Central Ministries/Departments have been given:

Sl.No.	Ministry/Department
1.	M/o Labour and Employment
2.	D/o Science and Technology
3.	D/o Biotechnology
4.	M/o of Social Justice & Employment
5.	M/o Tribal Affairs
6.	D/o Agriculture and Cooperation
7.	D/o Information Technology
8.	M/o Culture
9.	D/o Health & Family Welfare
10.	D/o School Education
11.	D/o Higher Education
12.	M/o Micro, Small & Medium Enterprises
13.	M/o Panchayati Raj
14.	D/o Rural Development
15.	M/o Textiles
16.	M/o Women and Child Development
17.	M/o Youth Affairs and Sports

As per this statement, the total Plan allocation of these 17 Ministries/Departments in the year 2009-10, under the above mentioned two categories of schemes is Rs.25,823.5 crore, which constitutes 10.8% of the Gross Budgetary Support (GBS) to the Central Plan during the year. A copy of the statement, which gives Ministry-wise list of schemes for the development of SCs and STs, and allocations for them, is at **Appendix G**. This statement may not, however, be exhaustive. For example, NREGA scheme of the M/o Rural Development does not figure in the list of schemes with 20% outlay for SC/ST, though as per the data of that Ministry, 54% of the employment generated under the scheme in 2008-09 was in respect of SC/ST beneficiaries.

3.20 It was further stated that since the above mentioned Statement 21 of the Expenditure Budget clubs allocations for SCs and STs, Department of Expenditure has been requested in September, 2009, that from 2010-11, this statement be split into two-one for SCs and other for STs.

3.21 The Planning Commission responded in negative to the query whether all the Central Ministries/Departments are now earmarking their outlays out of their Annual Plan in proportion to Scheduled Castes population and stated that the Expenditure Budget, 2009-10 (Volume-I) shows that only 17 Central Ministries/Departments are earmarking funds under Scheduled Caste Sub Plan & TSP. **(Appendix G)** The reasons forwarded by most of the Central Ministries/Departments are that their schemes/programmes benefit all sections of the society and it is difficult to earmark outlays for benefit of social groups.

**3.22 The Committee recommend that a scheme should be introduced by the Central Ministries/ Departments exclusively for the benefit of SC/ST communities, so as to properly focus on these communities for their upliftment.**

3.23 During the course of evidence, it was pointed out that the Ministry of Social Justice and Empowerment had tried to get their Eleventh Plan Allocation and the Annual Plan allocation increased but the same was not acceded to. When asked about the reason as to why the Planning Commission have not responded to the request of the Ministry, the Ministry of Social Justice and Empowerment have intimated that they have been pursuing the matter of enhancing its XI Plan and Annual Plan allocations at the highest level. The Planning Commission, vide letter dated 12th January,2009 of the Deputy Chairman to the Minister for Social Justice and Empowerment, informed that they have no balance of Gross Budgetary Support (GBS) for 2008-09, which may be distributed amongst the Ministries, and therefore it is not possible to consider the proposal for enhancing Ministry's Annual Plan outlay. It was also stated in that letter that request of the Ministry will be kept in mind while finalizing the allocations for 2009-10. However, the desired allocation was not provided to the Ministry in 2009-10 also. The matter is now being pursued to get adequate allocation in 2010-11.

**3.24 The Committee recommend that the Government should build a strong case before the Planning Commission for enhancing the Budget allocation and the Annual Plan allocation so as to ensure adequate funds for amelioration of the SCs.**

3.25 During evidence, when the Committee desired to know about the new programmes in XIth Plan period for SCs and STs by the Planning Commission, the Secretary, Planning Commission stated:

“Recently, we had a meeting of the full Planning Commission and the fact that when we started with the 11<sup>th</sup> Plan itself, the target or the aim was for more inclusive growth. The position at this point of time is that the Planning Commission as such on its own is not contemplating any new initiatives. I will tell you why. Having new plan is one thing, and implementing the plans which are already there is another thing.

At this point of time, we have been advised that the review of the process of implementation, that is both the mechanisms and the outputs, these have to be very critically scrutinized as to whether even the existing schemes – whether these are being implemented, and if they are not being implemented the way they should be implemented, to diagnose very specifically the reasons for poor performance. Currently, as a matter of fact, the general tendency and approach is, Government would undertake new programmes provided it is felt that the concerned Ministries come up with something which they feel, for instance, Secretary did refer to requirement of bringing down the population parameter from 50 to 40 per cent. Such initiatives do come up. But on its own the Planning Commission is more focused on trying to make the existing schemes work to a higher level of satisfaction.”

**D. Creation of separate Budget Head for Scheduled Caste Sub Plan**

3.26 In reply to a query as to whether all the States and Central Ministries created separate budget head for Scheduled Caste Sub Plan, the Ministry of Social Justice & Empowerment stated that as per the information furnished by the Planning Commission, all States have created separate budget head for Scheduled Caste Sub Plan. List of Major and Minor Heads of Account of Union and States as issued by the Controller General of Accounts provides that SCSP (code 789) may be opened as Minor Head below the functional Major Head/Sub Major Head, wherever necessary. However, Central Ministries are yet to confirm having started showing Scheduled Caste Sub Plan allocations under Budget Sub Head. In response to a query as to what is the reaction of Central Ministries for opening Scheduled

Caste Sub Plan allocation under separate Head 789, the Planning Commission in their post evidence reply, have informed that Ministries/Departments are not opening separate budget head for SCSP on the ground that their funds are of non-divisible in nature. The process of earmarking funds under SCSP, and reflecting it under the designated minor head 789 is yet to start by the Central Ministries/Departments.

3.27 During evidence, when asked about the efforts made by the Ministry of SJ&E to ensure showing of SCSP allocations by the Central Ministries under the Minor Head 789 effectively, the Secretary, SJ&E has stated:

“Apart from the fact that we take it up with individual Ministries, as well the Planning Commission takes it up. Our Minister had also written in September 2008, exactly a year ago to the then Finance Minister and I would read out the relevant portion: “these guidelines inter alia stipulate the following, (i) earmarking of funds in SCSP in plan outlays of Central Ministries and Departments, at least in proportion to the percentage of SC population the total population of the country, and (ii) placing the funds earmarked for SCSP under a separate minor head-789... Though we have followed up the matter with various Central Ministries and Departments, none of the Central Ministries or Departments for which information is available with us has started showing SCSP allocations under the Minor Head 789.”

**3.28 The Committee recommend that the matter should be taken up with the Finance Ministry for creating separate budget head in order to ensure compliance with the Planning Commission’s guidelines on SCSP by the Central Ministries.**

3.29 Further, in reply to a query whether the Ministry of Social Justice and Empowerment and Planning Commission have ever requested the Ministry of Finance in this regard, the Ministry have reiterated that they have repeatedly taken up the matter with the Planning Commission and the Ministry of Finance, at the highest levels in order to ensure compliance with the Planning Commission’s guidelines on Scheduled Caste Sub Plan by the Central Ministries/Departments. The Ministry have also furnished a list of letters sent to the Planning Commission and the Ministry of Finance since 2008 in this regard (**Appendix H**). The Planning Commission have informed that they have not requested Ministry of Finance for opening of separate budget head by Ministries/ Departments as the guidelines for Scheduled



Caste Sub Plan have been issued by the Planning Commission and that Ministries/Departments are expected to abide by. However, Secretary, Planning Commission has written a letter dated on 29<sup>th</sup> September, 2009 and 14<sup>th</sup> October, 2009 to all Secretaries of Ministries/Departments for strict adherence to the Scheduled Caste Sub Plan/TSP guidelines and indicating allocation under Scheduled Caste Sub Plan in the separate Statement in their proposal for Annual Plan 2010-11.

**E. Mechanism to ensure appropriate budget allocation under SCSP**

3.30 To ensure appropriate budgetary allocation for Scheduled Castes every year under Scheduled Caste Sub Plan, various measures have been taken by the Planning Commission and the Ministry of Social Justice and Empowerment. The Ministry, however, feel that adherence to Scheduled Caste Sub Plan guidelines should be insisted upon by Planning Commission while approving Annual Plans. Also, Ministry of Finance and Planning Commission should insist that, as from the year 2009-10, every Ministry must actually reflect its Scheduled Caste Sub Plan allocation under the Head 789.

3.31 When asked about the reasons as to why the present mechanism has failed to enforce compliance by the State Governments/Central Ministries in adhering to Scheduled Caste Sub Plan guidelines, the Ministry of Social Justice and Empowerment have furnished that the compliance to Scheduled Caste Sub Plan guidelines by the State Government has improved over time, and most of the States/UTs are doing earmarking as per these guidelines. In case of Central Ministries, the process of earmarking allocations under Scheduled Caste Sub Plan, and reflecting it under the designated minor head '789' is generally yet to start. The Ministry of Social Justice and Empowerment have further stated that in order to ensure compliance with the Planning Commission's guidelines on Scheduled Caste Sub Plan by the Central Ministries/Departments, the Ministry of Social Justice and

Empowerment are pursuing the matter with the Planning Commission as well as the Ministry of Finance.

3.32 The Planning Commission have stated that though the special strategy of Scheduled Caste Sub Plan were initiated with sincere intentions, they have not been implemented effectively mainly due to absence of an effective mechanism to ensure the requisite flow of funds and many of the states are not formulating and implementing Scheduled Caste Sub Plan as per the guidelines issued from time to time. At present 27 States/UTs having sizeable SC population are implementing Scheduled Caste Sub Plan and 17 Central Ministries/Departments are implementing Scheduled Caste Sub Plan. Though the State Governments have created separate Budget Heads for Scheduled Caste Sub Plan but sector-wise and scheme-wise budgetary allocations have not been indicated. Most of the States have not made Principal Secretary of SC/ST Department as Planning Secretary with financial power for Scheduled Caste Sub Plan funds except the States of Chhattisgarh, Himachal Pradesh, Madhya Pradesh, Maharashtra, Sikkim, Uttar Pradesh, Punjab and Uttaranchal. Funds under Scheduled Caste Sub Plan are also of divisible and non divisible nature as reported by the States/UTs Governments. On this pretext many Departments in the States have not earmarked funds under Scheduled Caste Sub Plan. Though the State Governments are adhering to the guidelines of Scheduled Caste Sub Plan but the situation is worst in the case of the Central Ministries/Departments as they simply do not show any interest in implementing the Scheduled Caste Sub Plan.

**3.33 The Committee recommend that all Ministries/Departments should plan the financial and physical targets annually in the line with the amount allocated by the Planning Commission and State Government should also submit separate documents for SCSP indicating sector-wise and scheme-wise financial and physical targets and achievements.**

3.34 When specifically asked to the Planning Commission whether they have made any headway in compelling the States for adherence to Scheduled Caste Sub Plan guidelines while approving their Annual Plans for the year 2009-10, their reply was that the Planning Commission have been impressing upon the State Governments regarding the implementation of Scheduled Caste Sub Plan in the Working Group meetings and issuing minutes of the Working Group Meetings to the State Governments for adherence of the guideline of the Scheduled Caste Sub Plan and its compliance. The Planning Commission have issued approval letter for sectoral outlay for Annual Plan 2008-09 in respect of States/UTs which includes Scheduled Caste Sub Plan allocation as per the percentage of SC population. In the letter for approval of sectoral outlay for the Annual Plan 2008-09 of Jammu & Kashmir, Planning Commission has stated that since the State Government has not complied with the instruction regarding Scheduled Caste Sub Plan/TSP, it is not possible to accord final approval of the Sectoral Plan Outlay for 2008-09. Similarly, for the State of Rajasthan the approval for outlay for Annual Plan 2008-09 was accorded subject to the State Government providing the minimum amount specified for Scheduled Caste Sub Plan and TSP. State Governments are also asked to submit separate documents for Scheduled Caste Sub Plan indicating sector wise and scheme wise financial and physical targets and achievements.

3.35 It has also been stated that review of Scheduled Caste Sub Plan/TSP has been undertaken by the Consultative Group in Mid Term Appraisal (MTA) of the 11<sup>th</sup> Plan.

3.36 Further, that two Special Regional Consultative Workshops were held at Hyderabad and Kolkata in the month of November, 2009. These Workshops were attended to by State Secretaries for SCs, STs, Planning, Finance and Central Ministries including Voluntary Agencies, Academicians and Experts.

3.37 Regarding further steps the Planning Commission propose to take to compel the States/UTs to adhere to the Scheduled Caste Sub Plan guidelines, the Planning Commission have stated that they have written a letter dated 10.12.2008 to all the State/UT Governments to prepare a separate Document for Scheduled Caste Sub Plan as per the guidelines and to send the same to Ministry of Social Justice & Empowerment, National Commission for Scheduled Castes well in advance of the Working Group meetings so as to facilitate the discussion at the time of Working Group meeting in the Planning Commission. It was further stated that the Planning Commission were in the process of finalizing the Annual Plan 2010-11 proposals of the State Governments and that appropriate steps will be taken to compel the State/UT Governments to adhere to the Scheduled Caste Sub Plan guidelines.

#### **F Diversion of fund**

3.38 On being asked whether any mechanism has been drawn in order to check the non-utilisation of fund allocated under Scheduled Caste Sub Plan and diversion therefrom to other sectors at the end of Annual Plan, the Planning Commission have submitted that the guidelines for Scheduled Caste Sub Plan emphasized that funds allocated under Scheduled Caste Sub Plan is of non-divertible and non-lapsable. The guidelines emphasized that a separate Budget Sub Head 789 should be opened by all the Central Ministries/Departments so as to avoid non-utilization and non-diversion of Scheduled Caste Sub Plan funds.

3.39 When asked about the views of the Ministry regarding creation of non-lapsable fund for SCSP on the lines of Non Lapsable Central Pool of Resources (NLCPR) for the North Eastern Region, the Secretary, SJ&E submitted before the Committee during evidence:

“I fully agree. What is required is a basic decision, and that decision would come from the Ministry of Finance. Of course, these guidelines say so, but, ultimately, the creation of a separate grant is the function of the Ministry of Finance. We will take it up with them, .....If the Ministry of finance agrees to create a fund on the lines of the NLCPR, then there will be no lapsability. But as regards the issue of non-divertability and non-lapsability, the actual implementation would have to be done by the Ministry of Finance. We would certainly take it up very vigorously in the Central Tripartite Committee as well as during the Mid-Term Appraisal exercise.”

3.40 When asked whether the Ministry have taken any initiative to discuss this matter with the Finance Ministry, the Secretary, SJ&E has submitted:

“We will take it now; we will do it through the Central Tripartite Committee and the Mid-Term Appraisal.....

....The Finance Ministry ultimately would take a view whether a similar exception can be made for the SCSP and TSP. We would certainly place our point of view as vigorously as possible.“

3.41 During evidence, the Committee pointed out that there is a serious allegation regarding diversion of SC funds, especially by the urban local bodies and even local panchayat committees are deciding to divert the funds for other purposes. When the Committee asked for the mechanism to prevent such tendencies, the Secretary, Planning Commission stated:

“....we get research studies done on the way funds are used for SC/ST development. I would confine myself to the SC here; in fact, in 2009 itself, we had a study conducted on the SC/ST in Andhra, Maharashtra, Orissa and Tamil Nadu. This was got done through Shri Venkateshwara University, Tirupati. This study has, as also other earlier studies, indicated that there is diversion of funds and they say that because the schemes that were being implemented are focused on many things, they also focused on the work done by the SC corporations as well, and they found that whenever the financing comes, there is diversion. I know that....in the working of the panchayats as also in the working of the municipalities, their accountability in utilization of SC funds, if that can be fixed and ensured, we would have done about 60 per cent of our goal. This is the extent of that; a lot of money is being given to local bodies. In Kerala, we did try to put in place certain things, to the extent that we have separate legislative committee for local body. This is the first time in the country that we actually have a separate Public Accounts Committee for local Government. If that system could be established for the local Governments, whether urban or rural, and if they are asked to appear before the parliamentary and legislative committees and account for the money that they received, for the money that they have utilized and not utilized, it would go a long way in ensuring that the flow of funds which goes all the way from Delhi down to the village level is utilized properly.”

**3.42 The Committee strongly recommend that ways and means should be found immediately to prevent diversion of funds meant for SCs/STs and loopholes in the system should be plugged. The fund spending agencies should be held accountable**

**for all the expenditure incurred by them under SCSP and proper Utilization Certificates should be obtained from them.**

### **G. Special Central Assistance**

3.43 It has been stated that the Special Central Assistance (SCA) to Scheduled Castes Sub Plan is provided as an additive to Scheduled Caste Sub Plan of the States/UTs. Special Central Assistance is given on the basis of the following weightage :-

(i)	SC Population of the States/UTs	40%
(ii)	Relative backwardness of the States/UTs	10%
(iii)	Percentage of SC families in the States/UTs covered by Composite economic development Programmes in the State Plan to enable them to cross the poverty line.	25%
(iv)	Percentage of SCP to the Annual Plan as compared to SC population percentage of the States/UTs	25%

3.44 It was clarified that 25% of SCA is released to States on the basis of their performance in formulation and implementation of SCSP. Another 25% is released on the basis of coverage of SC families in the States/UTs under composite economic development programmes in the State Plan, which is directly related to their performance under SCSP.

**3.45 The Committee recommend that there should be some mechanism for SCA under SCSP by the States to ensure better achievement under the SCSP.**

3.46 When asked whether any guidelines have been issued by the Ministry of Social Justice and Empowerment on utilization of Special Central Assistance by States/UTs, the Ministry have informed that the latest guidelines (**Appendix I**) of the scheme of SCA to Scheduled Castes Sub Plan were issued by the Ministry in October, 1998. The Ministry have stated that the following are the main features of the above guidelines:

- I. Main objective of the scheme is to give a thrust to development programme for SCs, with reference to their occupational patterns, through family oriented scheme of economic development.

- II. Since the scheme/programmes for SCs may be depending upon the local occupational pattern and the economic activities available, States/UTs have been given flexibility in utilizing SCA. The Ministry, in their guidelines, have however given an illustrative list of areas under various sectors of development where SCA could be utilized.
- III. Up to 50% of the project cost can be given as subsidy, subject to a maximum of Rs.10,000 per beneficiary.
- IV. Up to 10% of total SCA released to State Governments/UT Administrations in a year can be utilized for infrastructural development programmes in villages having more than 50% SC population.
- V. 15% of total SCA released to States/UTs will be utilized for viable income generating economic development schemes for SC women.
- VI. For skill development of the target group, upto 5% of the total SCA released in a year can be utilized. Skill development programmes should be formulated in such a way that after the completion of training, placement of the trained candidate either in wage employment or self employment is ensured.

3.47 The Ministry of Social Justice and Empowerment have furnished a statement showing State-wise details of Special Central Assistance released to States/UTs during 2004-05 to 2008-09 **(Appendix J)**.

3.48 On the question whether the Ministry are able to encourage the State Governments/UTs to implement guidelines of Scheduled Caste Sub Plan in the respective States/UTs by way of SCA to Scheduled Caste Sub Plans of State Governments, the Ministry of Social Justice and Empowerment have stated that the release of 25% of the SCA on the basis of performance by States/UTs in implementation of Scheduled Caste Sub Plan does act as an incentive for the State Governments. However, the total release as SCA, in comparison to the amount of earmarking required to be done under Scheduled Caste Sub Plan by States/UTs, is not adequate to substantially influence implementation of Scheduled Caste Sub Plan by States.

3.49 The Committee desired to know the reasons as to why some States have not been given SCA during the above mentioned period like Bihar, Jharkhand, Kerala, Punjab were not given SCA during 2004-2005 and 2005-2006. Similarly, no SCA was released to

Chandigarh and Delhi during the years 2004-2005 and 2007-2008 respectively. In reply thereto, the Ministry of Social Justice and Empowerment have replied that no SCA was released to above States in the mentioned years due to unspent balance being available with them. After the matter was pursued with the State Governments, Utilisation Certificates were received from Bihar, Jharkhand, Kerala and Punjab and funds under the scheme of SCA to Scheduled Castes Sub Plan have been released to these States in subsequent years, except to Jharkhand in which case no SCA could again be released in 2007-08 due to unspent balance. In the case of Chandigarh, Delhi and Goa also, it has not been possible to release funds due to unspent balances.

3.50 When asked about the names of the States/UTs which have been allocated the amount of 25% of SCA on the basis of their performance in formulation and implementation of Scheduled Castes Sub Plan during each of the last 5 years, the Committee have been informed that the funds are notionally allocated among all 27 States/UTs implementing Scheduled Castes Sub Plan on the basis of all the four criteria prescribed under the scheme, including their performance in formulation and implementation of Scheduled Castes Sub Plan. Andhra Pradesh, Assam, Sikkim, Tamil Nadu, Tripura, and Karnataka (except for a very small shortfall in 2005-06 in case of Tripura and Karnataka) availed of their full notional allocation in all the five years i.e. 2004-05 to 2008-09, whereas Himachal Pradesh, Rajasthan, Uttar Pradesh, and Haryana (except for a very small shortfall in 2004-05 in case of Haryana) availed their full notional allocation in 4 of the above 5 years.

#### **H. State/UT wise credit disbursed by NSFDC**

3.51 The Committee were inter-alia informed that under Scheduled Caste Sub Plan, funds are earmarked for implementing schemes for the benefits of SCs. These mainly include developmental schemes. For promoting self-employment among SCs, a National Scheduled Castes Finance and Development Corporation (NSFDC) has been set up which provides



credit to SCs at concessional rates of interest, through State Scheduled Castes Finance and Development Corporations.

3.52 The Secretary, SJ&E, during evidence, has stated:

“The original National SC and ST Corporation was bifurcated into National SC Finance and Development Corporation and National ST Finance and Development Corporation. The National SC Finance and Development Corporation works through State level Corporations which are State Government undertakings. They exist in almost all States which have a substantial SC population. Many of the State SC Corporations, though not all, have District offices. At the District level there is not a separate independent body. It is the District office or the District Manager of the State Scheduled Caste Development Corporation which functions at the District level.

...the National Scheduled Caste Finance and Development Corporation is our Corporation. But it gives finance to SC beneficiaries not directly but through what are called State channelizing agencies which are the State Scheduled Caste Finance and Development Corporations. They in turn have a presence in the Districts.”

**3.53 The Committee strongly recommend that the State Governments may be prevailed upon to release funds to the State Corporations as and when they require the same without asking for any guarantee, so that the needs of the SCs, which are generally of small amounts, are met. Incentive schemes for improving the recoveries by the State SFDCs should also be brought into operation immediately.**

3.54 The Secretary, SJ&E, further stated:

“The National Scheduled Caste Financial & Development Corporation functions through State Scheduled Caste Finance & Development Corporations. The condition of the State Corporations is by and large, as has been mentioned, unsatisfactory in a large number of States. The reasons are firstly, the recovery rate is not satisfactory. Secondly, the State Governments have not given guarantee to the extent which permits further finance. For example, if there is a limit of Rs.40 crore, and if that limit has been reached, then unless the State Government gives another guarantee of Rs.10 crore, further financing except to the extent of recovery and repayments gets stopped. That is the main issue. The State Governments have not, by and large, been very willing but we have brought certain incentive schemes which would incentivize the State Scheduled Castes Finance and Development Corporations to improve their recovery rates. Once they improve their recovery rates and the State Governments are willing to enhance their guarantees in favour these Corporations, it would be possible to give assistance through them on a larger scale.”

3.55 The following State-wise details of credit disbursed by NSFDC and number of beneficiaries assisted, during the years 2004-05, 2005-06 and 2006-07 were also provided to the Committee:-

(Rs. In lakhs)

Sl. No.	Name of State	2004-05		2005-06		2006-07	
		No. of Families Assisted	Total Credit Disbursement	No. of Families Assisted	Total Credit Disbursement	No. of Families Assisted	Total Credit Disbursement
1	2	3	4	5	6	7	8
1	Andhra Pradesh	7470	2423.40	25631	4221.68	44824	4239.88
2	Arunachal Pradesh	0	0.000	0	0	0	0
3	Assam	0	0.00	0	0	0	0
4	Bihar	0	0.00	0	0	0	0
5	Chandigarh	184	36.35	97	23.35	82	21.11
6	Chhattisgarh	236	210.40	384	569.46	54	235.60
7	Dadar N. Haveli D&Diu	0	0.00	0	0	0	0
8	Delhi	516	156.33	0	0	0	0
9	Goa	01	2.17	3	1.54	7	14.59
10	Gujarat	06	12.71	3024	1254.49	2676	779.85
11	Haryana	59	140.03	26	62.51	160	502.30
12	Himachal Pradesh	20	62.71	352	94.95	1218	544.87
13	Jammu & Kashmir	62	196.11	150	208.40	215	285.60
14	Jharkhand	0	0.00	636	329.34	640	233.00
15	Karnataka	7250	1101.00	10720	2687.77	4480	2483.96
16	Kerala	561	333.63	1196	398.60	601	220.15
17	Madhya Pradesh	1540	1156.25	1904	1375.88	1919	1763.86
18	Maharashtra	2791	2572.34	1935	1333.02	1979	1467.15
19	Manipur	0	0	0	0	0	0
20	Meghalaya	0	0	0	0	0	0
21	Mizoram	0	0	0	0	0	0
22	Orissa	0	0	0	0	0	0
23	Pondicherry	0	0	0	0	0	0
24	Punjab	148	68.08	401	164.56	386	160.61
25	Rajasthan	905	816.44	412	622.70	504	274.72
26	Sikkim	63	78.56	147	68.67	168	108.85
27	Tamil Nadu	0	0	0	0	1861	575.07
28	Tripura	541	173.15	726	188.67	156	194.95
29	Uttar Pradesh	12019	4057.95	0	0	8892	1693.20
30	Uttarakhand	219	158.12	15	54.85	1	1.85
31	West Bengal	6898	957.40	5556	1135.40	7147	1101.02
	TOTAL	41489	14713.13	53315	14795.84	77970	16902.19

3.56 When the Committee desired to know the reasons as to why no credit was disbursed by NSFDC during the above three years i.e. 2004-2005 to 2006-2007 in the States of Arunachal Pradesh, Assam, Bihar, Dadra Nagar Haveli, Daman Diu, Manipur, Meghalaya, Mizoram, Orissa, Pondicherry and in Delhi during the years 2005-2006 and 2006-2007 in

Uttar Pradesh during the year 2005-2006 and in Tamil Nadu during the years 2004-2005 and 2005-2006, the Ministry of Social Justice and Empowerment furnished that the funds under the scheme of National Scheduled Castes Finance & Development Corporation (NSCFDC) are released to the State Channelising Agencies i.e. the State Scheduled Castes Development Corporations against State Govt. guarantee. Many times, in the absence of such guarantee, it does not become possible for the NSCFDC to disburse funds to the concerned SCA. State-wise reasons for funds not being disbursed under scheme of NSCFDC to the above States are given below:

<b>Sl.No</b>	<b>Name of State</b>	<b>Reasons for no Disbursement by NSCFDC</b>
<b>1</b>	<b>2</b>	<b>3</b>
1	Arunachal Pradesh	Non-receipt of project proposal from the State Channelising Agency (SCA) and non-availability of State Govt. Guarantee
2	Assam	Non-availability of State Govt. Guarantee and overdues
3	Bihar	Non-availability of State Govt. Guarantee and overdues
4	Dadra & N. Haveli	No demand from SCA
5	Daman & Diu	
6	Manipur	Non-receipt of project proposal from the SCA, overdues and shortfall in State Govt. guarantee
7	Meghalaya	Non-receipt of project proposal from the SCA
8	Mizoram	Non-receipt of project proposal from the SCA
9	Orissa	Non-availability of State Govt. guarantee and overdues
10	Puducherry	Overdues
11	Delhi	No demand from the SCA
12	Tamil Nadu	Overdues
13	Uttar Pradesh	Non-availability of State Govt. Guarantee

3.57 In reply to a query whether any periodic targets are fixed for disbursement of credit under Scheduled Caste Sub Plan funds and whether the Government are satisfied with the performance of the State Scheduled Castes Finance & Development Corporations in disbursing and recovery rate under Scheduled Caste Sub Plan Funds, the Ministry of Social Justice and Empowerment have stated that under the strategy of Scheduled Caste Sub Plan, outlay is to be earmarked out of total State Plan outlay, in proportion of the SC population percentage in the State. No separate targets are fixed under Scheduled Caste Sub Plan for disbursement of credit by the NSCFDC. All disbursements under the schemes of NSCFDC are for SC beneficiaries.

**3.58 The Committee recommend that disbursement of credit by NSFDC should be done under the purview of SCSP. The guidelines in this respect should be suitably modified.**

## CHAPTER-IV

### MONITORING AND REVIEW

#### **A Responsibility for Monitoring**

4.1 When asked about the authority responsible for reviewing and monitoring working of Scheduled Caste Sub Plan of States/UTs and Central Ministries, it was replied by the Ministry of Social Justice & Empowerment that according to the SCSP guidelines of Planning Commission (Appendix A), responsibility for monitoring of SCSP has been assigned as follows:

#### **(i) Central Ministries/Departments are responsible**

- a) For monitoring compliance with SCSP component of Centrally Sponsored Schemes
- b) Evaluation of impact of various development schemes implemented under SCSP

#### **(ii) Planning Commission is responsible**

To monitor progress of SCSP at the time of half yearly and annual performance reviews of the Ministries/Departments.

4.2 The performance under SCSP is reviewed by Planning Commission, while considering annual Plan proposals of State Governments. The issue is also discussed in the annual State Welfare Secretaries conference, convened by the Ministry of Social Justice & Empowerment. While releasing the Special Central Assistance also, the performance of State Government in implementation of SCSP is taken into account by the Ministry.

**4.3 The Committee recommend that the Planning Commission should ensure that funds earmarked for the respective development schemes for SCs/STs must not be diverted for other purposes under any circumstances.**

4.4 In reply to a query whether the Ministry of Social Justice & Empowerment/ Planning Commission are satisfied with the performance of the State Governments/UTs under the Scheduled Caste Sub Plan and under SCA to Scheduled Caste Sub Plan, the Ministry of Social Justice & Empowerment have provided the table below showing (i) percentage of

SCSP outlay to total State Plan outlay, and (ii) percentage of SCSP expenditure to SCSP allocation for each of the five years of Tenth Plan.. The table shows a general upward trend in both the parameters.

#### **Percentage SCSP outlay and Expenditure**

Year	SC population % (2001)	SCSP allocation as % of State Plan outlay	SCSP Expr. as % of SCSP allocation
2002-03	16.2	11.49	70.26
2003-04		12.29	75.67
2004-05		11.06	73.14
2005-06		12.09	68.18
2006-07		13.73	87.16

4.5 Table showing amount released under Special Central Assistance to SCSP for last 6 years is given below:

Year	Special Central Assistance released (Rs. Crore)
2002-03	434.04
2003-04	383.99
2004-05	394.27
2005-06	407.36
2006-07	459.15
2007-08	501.40

4.6 Regarding the monitoring mechanism for Scheduled Caste Sub Plan at the Central level, the Secretary, Social Justice and Empowerment, during evidence, has stated that both the Scheduled Caste Sub-Plan and the Tribal Sub Plan are governed by the guidelines of the Planning Commission. He has also read out the following portion on monitoring of SCSP and TSP guidelines:-

“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 and Departments. ....Ministries of Social Justice and empowerment and Tribal Affairs may be involved in the process of finalization of Annual Plans of the Central Ministries and Departments.”

4.7 The Secretary, SJ&E further submitted:

“ .....the Planning Commission which conducts half-yearly and annual reviews of the working of the Ministries, carries out reviews of SCSP as a part of that. Also, at the stage of allocation, the guidelines are, as has been mentioned – Ministries are expected to indicate their apportionment of Plan funds to SCSP failing which the Plans may not be approved.

As regards the status of the Scheduled Caste Sub-Plan, by and large, I would like to submit that in the States, the position of Scheduled Caste Sub-Plan both in terms of allocation and utilization is improving over the years. In the case of Central Ministries, I am not really in a position to say the same thing.....”

4.8 During evidence, the Secretary, SJ&E had inter-alia stated that

“.....for the Scheduled Caste Sub-Plan there is a Central Tripartite Committee headed by the Member Planning Commission in charge of Backward Classes Welfare. Currently, as you are aware, a very eminent economist Dr. Narendra Jadhav is the Member in charge of our sector. The Central Tripartite Committee is under his chairpersonship. It has Secretaries of both Social Justice and Empowerment and Tribal Affairs, Secretary of the National Commission on Scheduled Castes and the Secretary of the National Commission on Scheduled Tribes and a couple of other members. They can co-opt representatives of Central Ministries and State governments as required.”

4.9 He further stated:

“The deliberations in the Central Tripartite Committee apart, a mid-term appraisal consultative group for one sector has also been set up. That is also under the chairpersonship of the same Member, Planning Commission. That, of course is a much larger body and apart from SCs it also deals with the sectors of OBCs and persons with disabilities...”

4.10 When asked about the further arrangements that have been made at central level for monitoring and evaluating Scheduled Caste Sub Plan programmes, the Ministry of Social Justice and Empowerment have stated that the Planning Commission is supposed to monitor the progress of Scheduled Caste Sub Plan and TSP at the time of the half yearly and annual performance reviews of the Ministries/Departments. The Planning Commission have also constituted a Central Tripartite Committee under the Chairmanship of Member, Planning Commission to monitor the implementation of the strategies of the Scheduled Caste Sub Plan with the following terms of reference: -

- I. to review the implementation of SCP and TSP by States/UTs and Central Ministries/Departments since its inception;
- II. to guide States/UTs 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 Scheduled Castes and Scheduled Tribes under various developmental sectors, their prioritization, implementation and monitoring along with earmarking of funds for them;
- V. to review the process of implementation, monitoring and impact assessment of SCP and TSP and utilization of Special Central Assistance 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 interest 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 73<sup>rd</sup> and 74<sup>th</sup> Amendments and other legislative measures flowing therefrom.

## **B Monitoring Unit**

4.11 According to the Scheduled Caste Sub Plan Guidelines for implementation 2006, the Planning Commission have set up a specific unit for monitoring the implementation of the recommendations of the Inter Ministry Task Group Report on the Development of Scheduled Castes and Scheduled Tribes and to monitor and review Scheduled Caste Sub Plan of States/UTs and Central Ministries/Departments. When the Committee desired to know as to whether the Unit is adequately manned so as to able to monitor and review Scheduled Caste Sub Plan of States/UTs and Central Ministries/Departments effectively, the Planning Commission have informed that a dedicated SCP and TSP Unit was carved out from Social Justice and Social Welfare (SJ & SW) Division and set up in the Planning Commission in 2005. Staff from the regular Division of SJ & SW has been deputed for the work of



Scheduled Caste Sub Plan/TSP Unit. No separate staff has been provided to Scheduled Caste Sub Plan Unit.

**4.12 The Committee need to point out that all the planning will have little impact on the amelioration and socio-economic conditions of Scheduled Castes and Scheduled Tribes if the implementation of the schemes initiated for their welfare are not monitored and evaluated timely and properly. The Committee recommend that an effective monitoring and evaluation system should be evolved to assess the results achieved from the implementation of various schemes in the Centre and the States level under SCSP. Separate and adequate staff should be posted to SCSP Unit to monitor progress under the SCSP. The Committee recommend that the personnel entrusted with the implementation and evaluation of the Plan should be better trained and their accountability should be fixed for their acts of omission and commission. The Committee further recommend that prompt action should be taken against the erring officials as a deterrent. The Government should also gear up and streamline the existing implementing machinery at the field level to make it result oriented.**

#### **C Visits by Planning Commission Officers**

4.13 In reply to a query as to whether any officer from Planning Commission also visits the places where the schemes/programmes under Scheduled Caste Sub Plan Scheme are undertaken in States so as to monitor the physical progress of the Scheme and the periodicity of such visits, if any, the Planning Commission have stated that no specific visit has been made to review the Scheduled Caste Sub Plan programmes, however, States allotted to the Pr. Advisers/Sr. Advisers/Advisers (SP) are visiting to their respective States to review the programme relating to Scheduled Caste Sub Plan among other programmes.

**4.14 The Committee strongly recommend that the field officers of the Commission for SC/STs in various States should be actively involved in the evaluation of the Schemes and for this purpose they should keep a close liaison with the State Governments. The Committee further suggest that they may be vested with more powers, if need be, so that they are able to discharge their functions properly.**

4.15 When the Committee enquired whether the Secretary, SJ&E visited any village in any District in the country, the Secretary, SJ&E, during the evidence, has stated:

“Just last January we had gone to Tonk. We went by road from Jaipur to Tonk. On the way to Tonk as well as at Tonk we visited SC habitations to see how sustainably the beneficiaries of our National Scheduled Castes Finance and Development Corporation and National Safai Karmchari Finance and Development Corporation have used the loans.”

#### **D Monitoring Committees at State Level**

4.16 According to Guidelines for SCSP, there should be a State level Monitoring Committee, a District level Monitoring Committee and Block level Committee for Scheduled Caste Sub Plan. These Committees should monitor the Scheduled Caste Sub Plan Schemes by way of Quarterly Performance Review.

When asked whether the States/UTs are submitting the Quarterly Performance Review report to the Scheduled Caste Sub Plan Unit and whether all the States/UTs have constituted the 3 tier monitoring committees and are conducting monthly meetings and quarterly performance review regularly, the reply of the Planning Commission was in negative. They have stated that States/UTs are not submitting the Quarterly Performance Review Report to the Scheduled Caste Sub Plan Unit. However, Scheduled Caste Sub Plan is being discussed in the review meeting of Annual Plan of the States by the Planning Commission. The information regarding constitution of 3 tier monitoring committees in the States is not available in the Planning Commission.

**4.17 The Committee suggest that the availability of adequate infrastructure at State, District and Block level for implementation is a pre-requisite for the better utilization of funds. In view of the above, the Committee recommend that they should evolve monitoring mechanism to verify the claims of the implementing agencies on the availability of infrastructure. The Committee further suggest that officers of the Ministry should visit the States/UTs from time to time to monitor the progress and conduct monthly meetings regularly.**

4.18 When asked about the names of the States/UTs that have not constituted 3 tier monitoring committees and the reasons therefor, the Planning Commission have stated that the State/UT Governments were requested to furnish the point-wise information sought by the Parliamentary Committee. Only 8 States i.e. Karnataka, Punjab, Tamil Nadu, Uttar Pradesh, Uttaranchal, Chandigarh, Delhi, Puduchery have furnished the information partially in this regard. As reported by them, Monitoring Committee has been constituted only by Karnataka, Punjab, West Bengal and Puducherry. **(Appendix F)**

**4.19 The monitoring mechanism for SCSP at the Central Level is governed by the guidelines of the Planning Commission. The Committee suggest that an effective monitoring and evaluation system should be evolved to access the results achieved from the implementation of various schemes in the Centre and the States even under SCSP. The Committee recommend that the officials of the Planning Commission should visit the places and the States where the SCSP schemes are being implemented and to monitor properly by taking the Quarterly Performance Review Report from the SCSP units regularly. The Committee are concerned to note that during Annual Plan 2008-2009 14.22% allocation has been made under SCSP which is lower than the percentage of SC population i.e. 16.20%.**

4.20 In regard to monitoring, the Secretary, SJ&E, during evidence has stated:

“.....As far as monitoring is concerned, I would like to say that we have, apart from other mechanisms, an Annual State Welfare Secretaries Conference. This time there was a departure, and we had a State Welfare Ministers Conference in which allocation and utilization under SCSP were discussed at considerable length. As far as the Central Ministries are concerned, .....that allocation of resources under SCSP and review and monitoring of its implementation is, as per the Planning Commission guidelines, with the Planning Commission.”

4.21 When specifically asked whether the Planning Commission are satisfied with the physical and financial progress of Scheduled Caste Sub Plan schemes/programmes for the years 2006-07, 2007-08 and 2008-09, the Planning Commission have submitted that during 2006-07, 13.03% allocation was made under Scheduled Caste Sub Plan which was increased to 15.93% in 2007-08. During Annual Plan 2008-09, 14.22% allocation has been made under Scheduled Caste Sub Plan which is lower than the percentage of SC population i.e. 16.20%. The reason thereof is that the States of Chhattisgarh and Jammu & Kashmir have not indicated any allocation under Scheduled Caste Sub Plan. (Details may be seen at **Appendix K**)

#### **H Evaluation studies**

4.22 In reply to a query whether the Ministry of Social Justice & Empowerment /Planning Commission conducted any study for scrutiny of the schemes included in the Scheduled Caste Sub Plan of various States and the Central Ministries keeping in view that benefits from such schemes usually do not percolate to Scheduled Castes, it has been reported that evaluation studies on Special Component Plan of States/UTs had been undertaken by the Ministry of Social Justice & Empowerment as under:

(i) During 2001-02, the National Commission for Scheduled Castes & Scheduled Tribes, New Delhi had conducted a National Level Evaluation Study on implementation of of Special Component Plan in 16 States viz Andhra Pradesh, Haryana, Himachal Pradesh, Karnataka,

Orissa, Punjab, Tamil Nadu, Tripura, Uttar Pradesh, West Bengal, Chandigarh, Delhi, Puducherry, Bihar, Madhya Pradesh and Rajasthan.

(ii) During 2002-03, an evaluation study on the scheme of Special Component Plan in Ernakulam District in Kerala was entrusted to the Centre for Science and Environment Studies (CSES), Kochi, Kerala.

(iii) During 2003-04, an evaluation study of Special Component Plan for SC Agriculture & Horticulture Components implemented during IX Plan period in Karnataka entrusted to University of Agricultural Sciences, GKVK, Bangalore.

4.23 It has also been stated that the Planning Commission had undertaken a Study on Livelihood Option Assets Creation out of Special Component Plan and Tribal Sub Plan (TSP) schemes and its impact among SCs and STs in India to Socio-Economic and Educational Development Society (SEEDS), New Delhi.

4.24 The recommendations and major findings of these studies are at **(Appendix L)**. The main observation of the study were four major issues, like inadequate allocation of funds as per SC population in State, even non-utilisation of the allocated fund, diversion of Scheduled Caste Sub Plan fund to other sectors at the end of the annual plan, implementation and administrative bottlenecks and improper delivery mechanism in the field level. Although it had been mentioned that socio-economic conditions of SCs in the country show that though there is some improvement in literacy, drinking water availability, road connectivity and agricultural practices, employment opportunities and increase in income of SCs, the gap between the SCs and other general population in 2001 indicates huge gap.

**4.25 The Committee emphasis that the personnel employed in the implementation and evaluation machinery of Central as well as State Government should be well conversant with the needs of the day and should not be frequently transferred so that there is continuity in their work. In view of the above scenario, the Committee**

**recommend that Central Government as well as State/UTs Governments should take immediate steps to rectify these shortcomings with a view to make the schemes more result oriented and the monitoring should be strengthened. Monitoring cell exclusively for SCs/STs should be set up in the Planning Commission to monitor the progress of the schemes meant for SCs/STs to reduce the gap between the SCs and other general population and to improve the socio-economic conditions of the SCs in the country.**

4.26 When asked whether all the recommendations of Studies conducted have been accepted by the Government and the urgent measures which are proposed to be taken on the observation made in the evaluation studies by the Planning Commission have been taken, the Planning Commission in their reply have stated that two Research Studies i.e. on i) "Livelihood Options, Assets, Creation out of Special Component Plan and Tribal Sub Plan Scheme and an Impact among SCs and STs" have been conducted by Socio-Economic and Educational Development Society in 7 States viz., Bihar, Chhattisgarh, Gujarat, Orissa, Punjab, Haryana and Tamil Nadu and ii) Research Study on "Special Central Assistance (SCA) to Scheduled Castes and Scheduled Tribes in Andhra Pradesh, Maharashtra, Orissa and Tamil Nadu" conducted by Shri Venkateswara University, Tirupathi (Andhra Pradesh)] have been accepted by the Government. It was also stated that the findings and recommendations of the studies of the States concerned have been discussed in detail with the representative of each State Government in the Working Group meetings held in the Planning Commission. The State Government was asked to implement the recommendations of the studies.

4.27 The Ministry of Social Justice and Empowerment in their reply to above query have stated that the findings of the evaluation studies are taken as feedback to improve upon the implementation of Scheduled Caste Sub Plan.

4.28 In reply to another query whether any mechanism has been drawn in order to check the non-utilisation of fund allocated under SCSP and diversion therefrom to other sectors at the end of Annual Plan, the Planning Commission have stated that the guidelines for SCSP emphasized that funds allocated under SCSP is of non-divertible and non-lapsable. The guidelines emphasized that a separate Budget Sub Head 789 should be opened by all the Central Ministries/Departments so as to avoid non-utilisation and non-diversion of SCSP funds.

**4.29 The Committee urge the Planning Commission to ensure that intended funds and benefits of SCs/STs are actually spent for their welfare. They also suggest that an evaluation be undertaken periodically to assess the extent of actual flow of funds and benefits to SC/STs from the General sector funds to rectify the shortcomings and augment the provisions meant for these communities.**

4.30 To another query whether any initiative has been taken in all level for proper implementation of funds at the field level, the Planning Commission have stated that as per the guidelines of SCSP, States have been asked to constitute State and District/Block level Monitoring Committees to monitor the implementation of various schemes under Scheduled Caste Sub Plan of various developmental Departments. Guidelines for Scheduled Caste Sub Plan emphasizes that a dedicated unit may be constituted in every Central Ministry/Department for the welfare and development of SCs and STs as the nodal Unit for formulation and implementation of Scheduled Caste Sub Plan. The 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. It has also been informed that the utilization of funds at the field level is State Government's concern.

## **E Remedial Steps for strict Implementation of SCSP**

4.31 In reply to a query about the remedial steps for strict implementation of Scheduled Caste Sub Plan guidelines, it has been informed that the Planning Commission have been emphasizing for strict implementation of Scheduled Caste Sub Plan in the States/UTs and Central Ministries/ Departments. In the Working Group meeting for Annual Plan with the State Governments and Central Ministries, Scheduled Caste Sub Plan has been discussed and it is impressed upon them to strictly follow the guidelines of Scheduled Caste Sub Plan by earmarking funds under Scheduled Caste Sub Plan as per the percentage of SC population in the State; opening a separate budget head for Scheduled Caste Sub Plan; preparing a separate document for Scheduled Caste Sub Plan; and making Pr. Secretary, Department of SC/ST as Planning Secretary with financial power for Scheduled Caste Sub Plan funds. Secretary, Planning Commission has written a letter dated 29<sup>th</sup> September, 2009 and 14<sup>th</sup> October, 2009 to all Central Ministries/Departments to indicate sector-wise and scheme-wise earmarked outlay under Scheduled Caste Sub Plan separately and reflect the same in the proposals/outlay for Annual Plan 2010-11. Secretary, Planning Commission has also reiterated strict adherence of Scheduled Caste Sub Plan in her letter dated 26 October, 2009 to all Central Ministries/Departments proposal for preparation of Annual Plan 2010-11.

**4.32 The Committee feel that the Ministries should not confine themselves only to a limited role in the formulation of plans as they are the nodal ministries and have to play a greater key role in the overall development of SCs/STs. The Committee feel that the Ministries are shifting the whole responsibility to the Planning Commission to monitor the progress of SCSP at the time of the half yearly and annual performance reviews of the Ministries/Departments as the guidelines have been issued by them in respect of SCSP schemes. The Committee are constrained to note that Pr. Secretary, SCST Department has not been empowered with financial power for SCSP fund. The**



**Committee observed that funds under SCSP have also been diverted to other schemes/sectors. The Committee emphasis and strongly recommend that the funds allocated for different programmes/schemes meant for the upliftment of poor sections of the society should be utilized only for those specific programmes/schemes for which they are meant to achieve the desired result. It is recommended that necessary amendments in the guidelines should be carried out to ensure an effective monitoring and evaluation system.**

4.33 In a D.O. letter dated January 12, 2006 written to all Chief Secretaries of States (except Mizoram, Nagaland, Meghalaya and Arunachal Pradesh), it was inter alia desired that the information regarding the flow of funds to SCP during 9<sup>th</sup> Plan period, 10<sup>th</sup> Plan period and the details of Schemes/Programmes covered for the development and welfare of SCs and STs along with their physical and financial performance be sent to Planning Commission.

4.34 When enquired whether the information sought in the letter referred to in preceding para has been received and examined by the Scheduled Caste Sub Plan Unit of Planning Commission, an assertive reply has been received stating that the letters received from the various Ministries have been examined in the Planning Commission.

#### **F Detailed Report on Development Indicators**

4.35 According to additional guidelines for preparing schemes/programmes under Scheduled Caste Sub Plan by the State Governments, it was desired that a detailed report on all the development indicators for the general population, SCs and STs focusing on agriculture, education (primary, middle, technical and higher), health, industry and service sectors should be prepared so as to bridge the gap of development indicators between the general population and SCs and STs within a period of 10 years.

4.36 When asked whether the detailed reports as prepared by States/UTs are being submitted to Scheduled Caste Sub Plan Unit of Planning Commission, the reply came that State Governments and UT Administration except Assam, Bihar, Jammu & Kashmir, Manipur, Chandigarh, are submitting separate document for Scheduled Caste Sub Plan to the Planning Commission. State Governments and UT Administrations have also been asked to submit the Scheduled Caste Sub Plan Document to the nodal Ministry of Social Justice & Empowerment to facilitate Ministry level review meeting to prepare detailed report and submit to the Planning Commission prior to the finalization of Annual Plan discussion.

4.37 When the Committee desired that these reports should be put on the websites of States/UTs for information of public, the Planning Commission have replied that the State Governments may be instructed to put their Reports on the websites of their respective States/UTs.

4.38 When asked about the steps that are being taken to bridge the huge gap between the SCs and other general population, the Ministry of Social Justice and Empowerment have stated that they are implementing many schemes for social, economic and educational development of SCs. Besides, many schemes of other Ministries also have provision for targeted coverage of SC beneficiaries. Details of the schemes are mentioned at **Appendix G**). In this connection, the Planning Commission have mentioned that they have issued revised guidelines in 2005 and 2006 to all States/UTs and Central Ministries/Departments. The focused attention has been laid to the area oriented schemes, and for providing basic minimum services like primary education, health, drinking water, nutrition, rural housing, rural electrification, rural link road etc. towards ensuring their overall socio-economic development and thus building their inner strength. Ministry of Social Justice & Empowerment as a nodal agency is implementing many schemes for social, economic, educational development of SCs.

4.39 When asked as to whether all the States/UTs/Central Ministries/Departments are following the guidelines issued by the Planning Commission in letter and spirit and the constraints being faced by them in following the guidelines, it has been informed that 27 State/UT Governments are implementing Scheduled Caste Sub Plan. As per the guidelines, State Governments/UT Administrations should earmark funds under Scheduled Caste Sub Plan atleast in proportion of SC population, making Social Welfare Department/Department concerned with the welfare and development of SCs as nodal Department for formulation and implementation of Scheduled Caste Sub Plan. Placing of funds earmarked for Scheduled Caste Sub Plan under separate Budget Head, placing the funds earmarked for Scheduled Caste Sub Plan at the disposal of nodal Department concerned which in turn will reallocate the funds to the sectoral departments for implementing schemes directly relevant to SCs. **(Appendix C)**.

4.40 It has further been stated that the Central Ministries/Departments are yet to formulate Scheduled Caste Sub Plan as per the guidelines of the Planning Commission. However, Central Ministries/Departments are showing some improvements by making efforts in identifying suitable schemes to attend to the needs of target groups which may subsequently enhanced outlay under Scheduled Caste Sub Plan. Statement 21 of the Expenditure Budget (Vol.I) gives information about allocations under schemes that are substantially meant for SCs/STs. **(Appendix G)**

4.41 When further asked whether the Planning Commission are satisfied with the performance of the States/UTs during the Plan period, the Planning Commission have replied that 27 State/UT Governments are earmarking funds under Scheduled Caste Sub Plan as per the percentage of SC population except Gujarat, Assam, Karnataka, Jharkhand, Rajasthan, Tamil Nadu who have earmarked less than the SC population in their respective states. However, State Governments are not indicating utilization of funds under Scheduled

Caste Sub Plan. Except Jammu and Kashmir & Chandigarh, all the State Governments have opened a separate budget head, preparing separate document for Scheduled Caste Sub Plan and making Department of SC/ST as nodal Department for implementation of Scheduled Caste Sub Plan but Pr. Secretary, SC/ST Department has not been empowered with financial power for Scheduled Caste Sub Plan fund. It has also been observed that funds under Scheduled Caste Sub Plan have also been diverted to other schemes/sectors.

## CHAPTER-V

### IMPLEMENTATION OF VARIOUS DEVELOPMENTAL ACTIVITIES

5.1 It has been stated that some schemes have been suggested by the Planning Commission to be implemented by the States/UTs for the welfare of SCs. It has been suggested by Planning Commission that the villages with 50% and above SC population may be saturated by providing with all developmental activities under Bharat Nirman, Scheme viz. schools, education, skill development, trainings for self-employment ,etc.

5.2 During the evidence, it was pointed out by the Committee that money had been allocated to the Ministry of Social Justice and Empowerment for Bharat Nirman Scheme but the same was sent back to the Planning Commission by the Ministry without implementing the scheme. The Committee desired to know whether it is true that the Ministry of Social Justice and Empowerment had surrendered all the money allotted to them between 2004-2009 without implementing the Bharat Nirman Scheme, the reasons therefor and the fate of Bharat Nirman Scheme.

**5.3 The Committee are surprised to note that the money allotted was sent back to the Planning Commission by the Ministry without implementing the scheme. The Committee recommend that these types of developmental programmes/schemes should be started by the concerned Ministries under SCSP schemes for the benefit of SC/STs population in the country as whole.**

5.4 In their post evidence reply, the Ministry of Social Justice and Empowerment have stated that the Bharat Nirman is a time-bound plan for action for rural infrastructure by the Government of India, in partnership with State Governments and Panchayati Raj Institutions. Under Bharat Nirman, following six areas are covered:

- Irrigation
- Rural Roads
- Rural housing
- Rural water supply
- Rural electrification, and
- Rural telecommunication connectivity.

5.5 Further, the Ministry have replied that no role is envisaged for the Ministry of SJ&E in any of the above mentioned areas, identified under Bharat Nirman and also no record is available about allocation of any money to the Ministry of Social Justice Empowerment under Bharat Nirman, which might have been surrendered by it.

5.6 The Committee desired to know the various implementation efforts made/being made by the Central Government and States/UTs in respect of the following prime socio-economic indicators of the Scheduled Castes:

**(A) Agriculture**

- (a) In how many States/UTs, groups of SC farmers have been provided with skill development by the State Agriculture Department/ Extension Agencies during each year of the last 5 years?
- (b) How many of these SC farmers in each State/UT have been provided with small tractors, tube wells, pump sets with agricultural inputs and were they also given training for cultivation of suitable crops and for undertaking activities in fisheries, animal husbandry, horticulture. Give State-wise details for the last 5 years?

**(B) Roads/Housing**

- (a) In how may SC villages programmes of road connectivity under Bharat Nirman have been undertaken during the last 5 years. Give state-wise details of fund earmarked and spent during each year of last 5 years?
- (b) In how many SC villages, land has been purchased and allotted to homeless SCs for construction of houses under Indira Awas Yojana during last 5 years. Give State-wise details of land purchased and allotted to homeless SCs in villages during each year of last 5 years?
- (c) In how many SC villages, conversion of dry toilets to wet toilets have been taken out of the Scheduled Caste Sub Plan funds so that scavenging colonies should be developed with rehabilitation programme? Give state-wise details of the funds earmarked and spent during each of the last 5 years.

### **(C) Educational Complex**

- (a) In how many States/UTs educational complex have been set-up in each district on the pattern of Navodaya Vidyalaya and Kendriya Vidyalaya during each year of the last 5 years?
- (b) Whether these educational complex have hostel facilities for SC boys and girls. If yes, how many SC students have been enrolled in these educational complex during each year of last 5 years?
- (c) How much amount was actually spent on education out of Scheduled Caste Sub Plan fund in each State/UT during each year of the last 5 years?
- (d) Whether any financial support to recognized social institutions for starting intermediate/ degree colleges for SC boys and girls has been given during the last 5 years?
- (e) If so, give state-wise details of financial support granted to recognized social institutions during each of the last 5 years?
- (f) The number of residential schools for SCs set up in Scheduled Caste concentrated areas of States/UTs during each of the last 5 years, state-wise.
- (g) The number of SC students residing in those schools and the details of vocation/technical training provided in those schools during the same period, state-wise.

### **(D) Training/Coaching**

- (a) Whether any polytechnic, training college for nursing and paramedical training courses exclusively for SCs have been set up in each divisional headquarters during the last 5 years?
- (b) If yes, give state-wise details thereof together with the SC students enrolled amount earmarked, sanctioned and spent out of Scheduled Caste Sub Plan fund in each State/UT during each year of the last 5 years.
- (c) Whether any coaching-cum-guidance centres for SCs appearing for various competitions have been opened in Universities/colleges during the last 5 years?
- (d) If yes, give state-wise details of SC students enrolled, Scheduled Caste Sub Plan funds utilized for the purpose during each year of the last 5 years.
- (e) Whether any good ITIs have been established exclusively for the unemployed SC youth for providing employment opportunities during the last 5 years?
- (f) If yes, give state-wise details of such Institutes opened, Scheduled Caste Sub Plan fund utilized and unemployed SC youths trained in each year of the last 5 years.

- (g) Whether the trained SC unemployed youths are being provided with loans at cheaper interest rates from Banks/SC/ST Development Corporation?
- (h) If so give state-wise year youth such benefited during each of one last 5 years.
- (i) Whether the SC candidates preparing for various competitive exams have been allowed to take admission in reputed private training centres and their full fees reimbursed out of Scheduled Caste Sub Plan fund?
- (j) If so, give state-wise details thereof for each of the last 5 years.

#### **E. Tuition Fee/Scholarship**

- (a) Whether all the States/UTs are reimbursing tuition fee to SC students studying in private colleges?
- (b) If so, number of SC students covered and the amount of tuition fee disbursed under Scheduled Caste Sub Plan during each year of last 5 years.
- (c) Whether all the States/UTs provide pre-matric and post-matric scholarships to SC students for all income groups studying in Class I to XII?
- (d) If yes, give state-wise details of SC students given pre-matric and post-matric scholarship in each year of last 5 years.
- (e) Whether there is any, proposal to increase the stipend amount from Rs.500/-.

#### **Reply of Planning Commission**

5.7 In their reply to all the points mentioned above, the Planning Commission have furnished that the matter was referred to all the State Governments (SC/ST Departments) and Central Ministries of Agriculture, Road, Housing, Education, Labour and Employment, Urban and Poverty Alleviation for furnishing point-wise information. Adviser (SJ) has written letter to all Secretaries of Central Ministries/Departments dated 3<sup>rd</sup> November, 2009 for furnishing information against the relevant points regarding Scheduled Caste Sub Plan. Subsequent reminder letters dated 26<sup>th</sup> November, 2009 and 23<sup>rd</sup> December, 2009 have been sent. Similarly, letter dated 3<sup>rd</sup> November, 2009 has been issued to all Pr. Secretaries/ Secretaries of State Governments/UT Administrations to furnish information and subsequent



reminder letters dated 24.11.2009 and 17.12.2009 have also been sent to furnish point-wise information.

5.8 Further, with reference to Lok Sabha Secretariat's O.M. No.56/1A/SCTC/2007 dated 22.4.2010, Adviser (SJ) has again requested the concerned Ministries vide letter dated 4<sup>th</sup> May, 2010 and State Governments and UT Administrations vide letter dated 13<sup>th</sup> May, 2010 to furnish the information. Even after several letters and reminders to the Central Ministries/Departments and State Governments/UT Administrations, the information has been received only from 47 Central Ministries/Departments and 13 State Governments and UT Administrations. (**Appendix M**).

### **Reply of Ministry of Social Justice and Empowerment**

5.9 On the other hand, Ministry of Social Justice and Empowerment have responded only to the following points pertaining to them:

#### **A Agriculture**

The Secretary, SJ&E, during evidence, has stated:

“...One very important initiative which we have suggested to the Department of Land Resources is to reduce the incidence of landlessness amongst the Scheduled Castes. Unfortunately in all the States the availability of Government land is almost not there. It used to be there until a few years ago in many States but now Government arable land is practically not there. Some States like Maharashtra and two other Southern States, possibly Andhra Pradesh, have had a scheme of purchasing land and allotting it to the Scheduled Castes. We have suggested to the Department of Land Resources to take up the scheme at the national level and give assistance to States so that all States can do this because allotment of land to landless Scheduled Castes is a very major steps not only for their economic empowerment but also for their social empowerment.”

**5.10 The Committee feel that it is necessary to reduce the incidence of landlessness amongst the SCs as well as to improve the quality of lands in possession of the SCs. The Committee recommend that the Ministry should keep a constant watch on the working of this scheme and take corrective measures wherever necessary.**

5.11 When the Committee pointed out that there are people with land but they need irrigation facilities, tube wells and that such programme was implemented earlier but now it has been suspended, the Secretary, SJ&E has stated:

“.....the need is both. It is necessary to reduce the incidence of landlessness amongst the Scheduled Castes as well as to improve the lands of the Scheduled Castes who have land. Both of them require intervention.”

## **B Training/Coaching**

5.12 When asked as to whether any coaching-cum-guidance centres for SCs appearing for various competitions have been opened in Universities/colleges during the last 5 years, the Ministry of Social Justice and Empowerment have stated that under the scheme of “Free Coaching to SC and OBC Students” grant is provided to existing suitable coaching centres for coaching SC and OBC students. There is no provision under the scheme to open new coaching centres.

5.13 Further, when the Committee asked for the state-wise details of SC students enrolled, Scheduled Caste Sub Plan funds utilized for the purpose during each year of the last 5 years, the Ministry have replied that the grants under the scheme of Coaching are not given to State Governments but to coaching institutions (including Universities). Details of grants released by the Ministry of SJ&E to Universities, State-wise, and no. of beneficiaries covered through these Universities, under the scheme of “Free Coaching to SC and OBC Students” is given at **Appendix N**: (details shows related to release to Universities only not coaching Instt.)

5.14 The Committee point out that educational development is the pivot around which the socio-economic progress of SC and ST revolves. The Committee, therefore, feel that to bring the SC and ST educationally at par with other sections of the society, more and more students of these communities should be encouraged to take advantage of the schemes meant for higher education.

5.15 The Committee wanted to know whether the trained SC unemployed youths are being provided with loans at cheaper interest rates from Banks/SC/ST Development Corporation and if provided such loans, the State-wise details of numbers of youth so benefited during each of the last 5 years, the Ministry of Social Justice and Empowerment have furnished the reply that the National Scheduled Castes Finance & Development Corporation (NSCFDC) does not receive any fund under Scheduled Castes Sub Plan for conducting training courses for SC beneficiaries. The Corporation, however, provides grants from its own resources to SCAs for conducting short term Skill Development Training Programmes for educated unemployed youth of the target group. During the last three years Rs. 6.51 Cr. were sanctioned under skill development programmes by the NSCFDC. The unemployed SC youth provided training under NSCFDC's scheme generally prefer wage employment for which placement assistance is provided by the training institutions. However, those trained beneficiaries who wish to establish their own self employment venture are eligible for NSCFDC loans at concessional interest rates for viable income generating activities.

**5.16 The Committee suggest that the SC unemployed youths should be provided loans at cheaper interest rates from Banks/SC/ST Development Corporations. The Committee urge that the criterion for the grant of loans should be made more flexible so that no SC/ST person who is in need of finance, is debarred from securing money from these corporations. The Committee further suggest that reimbursement of fee for higher education in self-financed private institutions should also be met from SCSP fund with a view to accelerate the educational development of SC and ST students.**

### **C Tuition Fee/Scholarship**

5.17 When enquired by the Committee as to whether all the States/UTs are reimbursing tuition fee to SC students studying in private colleges, the Ministry of Social Justice and

Empowerment have stated that all States/UTs implementing the scheme of Post Matric Scholarship to SC Students are reimbursing tuition fee to SC students eligible under the scheme and studying in private colleges.

5.18 The Committee consider the criterion of income limits put for the financial assistance or for the grant of loans required for funding education of SC/ST students.

5.19 When asked about the number of SC students covered and the amount of tuition fee disbursed under Scheduled Caste Sub Plan during each year of last 5 years, the Ministry have furnished the details of Central assistance released and beneficiaries covered under the scheme of Post Matric Scholarship to SC Students which are given at **Appendix O**.

5.20 To a query whether all the States/UTs provide pre-matric and post-matric scholarships to SC students for all income groups studying in Class I to XII, the Ministry of Social Justice and Empowerment have replied that under the scheme of Post Matric Scholarship to SC Students there is parental income ceiling of Rs. 1.0 lakh to be eligible for scholarship. The scholarship is available to those pursuing education after class X.

5.21 Further, there is at present no Pre-Matric Scholarship scheme of the Central Govt for SC Students in general. This Ministry is however implementing a Pre-Matric Scholarship Scheme for Children of those Engaged in Unclean Occupations, under which there is no income ceiling, and students from concerned categories in classes I-X are eligible for scholarship, irrespective of income levels of their parents.

**5.22 The Committee urge that the scheme of post matric scholarships should be reviewed by the Ministry/Planning Commission in its entirety, more particularly with a view to linking the quantum of scholarships with the rising cost of living and to ensure the payment of scholarship amount to students at the beginning of the academic session, preferably through the nationalized banks. The Committee recommend that the amount of pre-matric scholarships should be increased, periodically in the light of**

rise in the cost of living. The Committee further suggest that the ceiling limit of income of parents of SC or ST students should be increased to Rs.10 lakhs so that no SC or ST student, who is in need of finance for education, is left out due to lack of financial assistance. They hope that these suggestions would be implemented in letter and spirit so that it will help to promote and increase the educational standards of SC/ST students.

5.23 The Secretary, SJ&E, during evidence, has further stated:

“.....we have been advocating and we have been asking for funds to start a pre-matric scholarship for students belonging to the Scheduled Castes. The problem for the post-matric scholarship, apart from the fact that it is in dire need of revision... for a student to avail of post-matric scholarship he/she has to reach class XI. Unless he/shi has reached class XI, he cannot avail of the post-matric scholarship. If he/shie drops out – and the incidence of drop out amongst the Scheduled Castes is considerably higher than it is amongst the other population – if he/shi drops out before class X, then there is no way he or she can possibly avail of the post-matric scholarship. Therefore, there is an urgent need for implementing a pre-matric scholarship both for us but also for Scheduled Tribes.”

5.24 The Secretary, SJ&E, during evidence, also stated:

“the pre-matric scholarship is for children of families engaged in unclean occupation which is regardless of their Scheduled Caste status. That scholarship is available if the parent or if the family is engaged in an occupation like scavenging, tanning etc. then regardless of whether that family is a Scheduled Caste or not, for example it may be a Muslim family. But that is a very small number. What I am referring to is a pre-matric scholarship for Scheduled Castes per se as there is post-matric scholarship. But that unfortunately does not exist.”

5.25 The Ministry have also provided the State-wise details of students covered under the scheme of Post Matric Scholarship to SC Students and Pre-Matric Scholarship Scheme for Children of those Engaged in Unclean Occupations in each year of last 5 years are given at **Appendix O**, respectively.

5.26 When asked whether there is any proposal to revise the amount of scholarships, the Secretary, SJ&E, during evidence, has stated:

“...in regard to scholarships we are acutely aware of the need for revision, and we have been trying our best. The only thing is that our Eleventh Plan allocation

unfortunately does not permit the revision. We have been trying to get our Eleventh Plan allocation and the Annual Plan allocation increased. We have tried very hard and we will continue to do so.”

5.27 When enquired about whether there is any proposal to increase the stipend amount from Rs. 500/-, the Ministry of Social Justice and empowerment in their post evidence reply have informed that under the skill development programmes of the NSCFDC, the amount of stipend has been increased from Rs. 500 to Rs. 1,000 in May, 2009.

5.28 It has been stated that the Census does not collect data on BPL. Figures of State wise poverty among Scheduled Castes for the years 1993-94 and 2004-05 based on NSS and Planning Commission data are at **Appendix P**.

5.29 When asked about the State-wise number of SC beneficiaries who have been brought above poverty line during each year of the last 5 years, the Ministry of Social Justice and Empowerment have furnished that in order to know the impact of the scheme on assisted beneficiaries, all State Governments were requested, vide Ministry’s letter dated 23.6.2008, to furnish data of beneficiaries who were actually able to cross the poverty line. Assuming that it takes 2-3 years for self employment projects to stabilize, State Governments were subsequently requested vide letter dated 5.9.2008, to provide details of BPL SC families assisted under the scheme during 2005-06, who were able to cross the poverty line. The above letter was followed by reminder dated 4.2.2009. Nineteen States were again reminded vide D.O. letter dated 28.4.2009 from Secretary (SJ&E) to Chief Secretaries.

5.30 So far, assessment regarding number of beneficiaries who were able to cross the poverty line has been received from eight States, which is summarized below:

SI.No.	State/UT	No.of BPL families assisted during 2005-06	No. of assisted families who crossed the poverty line
1	2	3	4
1	Haryana	15664	13229 (84.4%)
2	J&K	526	526(100%)

3	Karnataka	13985	13985 (100%)
4	Kerala	499	38(7.6%)
5	Madhya Pradesh	7,444	4,914 (66.01)
6	Maharashtra	23357	15645(67.0%)
7	Punjab	6435	2767(43%)
8	Uttar Pradesh	67016	36857(55%)

5.31 Further the Ministry have informed that the matter is being pursued with the remaining States/UTs. Since the self employment projects assisted under the scheme during 2006-07 would have become fully functional by now, all the State Governments have also been requested on 20.10.2009, to provide information regarding number of beneficiaries assisted during 2006-07, who have been able to cross the poverty line.

5.32 During the evidence when asked about any specific programmes under SCSP, the Secretary, SJ&E has stated:

“In the light of these guidelines, it is always the individual Ministries, which, looking to their area of work, propose, what they should be spending on in regard to SCSP. As far as we are concerned, ...from this year, we are taking up the Pradhan Mantri Adarsh Gram Yojna on a pilot basis for one thousand villages with SC concentration, with an outlay of Rs.100 crore. It is our hope that from the next year it gets scaled up. In fact our Minister has desired that all villages, not just those with 50 per cent but with more than 40 per cent SC population also...”

## **E Creation of general awareness about Scheduled Caste Sub Plan Scheme**

5.33 As mentioned in the SCSP guidelines, the 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.

Similarly, State Governments 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 departments of the State Governments through electronic and print media.

**5.34 The Committee recommend that some percentage of funds be specifically earmarked for the publicity of the respective schemes/programmes so that the SC persons are made aware of the schemes meant for their benefit.**

#### **F Suggestions for improving implementation of SCSP**

5.35 When the Committee asked for the suggestions for improving the implementation of Scheduled Caste Sub Plan, the following measures have been suggested by the Ministry of Social Justice and Empowerment to the Planning Commission for improving the implementation of Scheduled Caste Sub Plan by Central Ministries/Departments:-

- (i) Funds under Scheduled Caste Sub Plan should be earmarked from the Gross Budgetary Support (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 Scheduled Caste Sub Plan, Planning Commission may, in consultation with the Ministries, consider a differentiated approach vis-à-vis various groups of Ministries, while ensuring over-all earmarking of 16.2% of the GBS to Plan outlay, under Scheduled Caste Sub Plan.
- (iii) Ministries may be asked to prepare their Annual Plan proposals in such a way that for each scheme, outlays under Scheduled Caste Sub Plan, TSP, and the rest, are shown distinctly and to necessarily show their Scheduled Caste Sub Plan allocation under the designated minor head '789'.



- (iv) 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 Scheduled Caste Sub Plan, showing overall, as well as Ministry-wise, strategy and allocations under Scheduled Caste Sub Plan. Similarly, Central Government's Annual Plan document, prepared by the Planning Commission, should have a separate section showing Ministry-wise, scheme-wise outlays under Scheduled Caste Sub Plan.

5.36 On the other hand, the Planning Commission have made the following suggestions for effective implementation of Scheduled Caste Sub Plan in the States/UTs and Central Ministries/Departments:

- Earmarking of plan funds in proportion to SC population in their Annual Plans of all the Central Ministries/ Departments and States/UTs as required under the Scheduled Caste Sub Plan.
- State Government Secretary of Department of SCs, should be made Secretary, Planning with financial power for Scheduled Caste Sub Plan.
- Central Ministries/Departments and State Governments should indicate the physical and financial achievements as outcome of budgetary allocation.

**New Delhi:  
26 November, 2012  
5 Agrahayana, 1934 (Saka)**

**(GOBINDA CHANDRA NASKAR)  
Chairman  
Committee on the Welfare of  
Scheduled Castes and  
Scheduled Tribes**

**MINUTES**

**COMMITTEE ON THE WELFARE OF SCHEDULED CASTES  
AND SCHEDULED TRIBES  
(2009-2010)**

**(FIFTEENTH LOK SABHA)**

**SECOND SITTING  
(10.09.2009)**

**The Committee sat from 1500 to 1700 hrs. in Committee Room 'D', Parliament House  
Annexe, New Delhi**

**PRESENT**

**Shri Gobinda Chandra Naskar - Chairman**

**LOK SABHA**

2. Shri M. Anandan
3. Shri Tara Chand Bhagora
4. Shri Eknath Mahadeo Gaikwad
5. Shri Kamal Kishor 'Commando'
6. Dr. Chinta Mohan
7. Shri Sohan Potai
8. Shri Ashok Kumar Rawat
9. Shri Bajju Ban Riyan
10. Shri Tufani Saroj
11. Shri Kodikkunnil Suresh
12. Shri Sajjan Singh Verma
13. Shri Bhausahab Rajaram Wakchaure

**RAJYA SABHA**

14. Shri Krishan Lal Balmiki
15. Shri Mukut Mithi
16. Shri D. Raja
17. Shri Praveen Rashtrapal
18. Shri Thomas Sangma
19. Ms. Sushila Tiriya
20. Shri Brij Bhushan Tiwari
21. Miss Anusuiya Uikey

**SECRETARIAT**

1. Dr. R.K. Chadha, Joint Secretary
2. Shri Gopal Singh, Director
3. Ms. J.C. Namchyo, Additional Director
4. Smt. Maya Lingi, Deputy Secretary

## **WITNESSES**

### **REPRESENTATIVES OF THE MINISTRY OF SOCIAL JUSTICE AND EMPOWERMENT**

1. Shri K.M. Acharya, Secretary
2. Smt. Sangita Gairola, Additional Secretary
3. Shri P.P. Mitra, Joint Secretary
4. Shri Ashish Kumar, DDG
5. Shri Nilambuj Sharan, Director

### **PLANNING COMMISSION**

1. Smt. Sudha Pillai, Secretary
2. Shri G.B. Panda, Adviser (SJ)
3. Dr. M.L. Mathur, Deputy Adviser (SJ)

2. At the outset, the Chairman welcomed the representatives of the Ministry of Social Justice and Empowerment and Planning Commission.

3. The Committee then took evidence of the representatives of the Ministry of Social Justice and Empowerment and Planning Commission on the subject "Working of Scheduled Caste Sub Plan (SCSP)."

4. The Chairman informed that if need be, the evidence of the representatives of the Ministry and Planning Commission might be taken again.

(The witnesses then withdrew)

5. A verbatim record of the proceedings was kept.

6. The Committee decided to hold their next sitting on the 18<sup>th</sup> September, 2009 at 1500 hours.

**The Committee then adjourned with a vote of thanks to the Chair.**

**COMMITTEE ON THE WELFARE OF SCHEDULED CASTES  
AND SCHEDULED TRIBES  
(2012-2013)**

**(FIFTEENTH LOK SABHA)**

**SECOND SITTING**

**(26.06.2012)**

**MINUTES**

The Committee sat from 1430 to 1600 hrs. in Committee Room No. 'D', Parliament House  
Annexe, New Delhi

**PRESENT**

Shri Gobinda Chandra Naskar - Chairman

**MEMBERS**

**LOK SABHA**

2. Shri M. Anandan
3. Shri Bhudeo Choudhary
4. Shri Prem Chand Guddu
5. Dr. M. Jagannath
6. Shri Mohinder Singh Kaypee
7. Shri Arjun Ram Meghwal
8. Shri P. Balaram Naik
9. Shri Ashok Kumar Rawat
10. Shri Bajju Ban Riyan
11. Smt. Rajesh Nandini Singh
12. Dr. Kirit Premjibhai Solanki
13. Shri Lalit Mohan Suklabaidya

**RAJYA SABHA**

14. Shri Thaawar Chand Gehlot
15. Shri Faggan Singh Kulaste
16. Shri Lalhming Liana
17. Shri D. Raja
18. Shri Ishwar Singh
19. Shri Veer Singh

## **SECRETARIAT**

1. Dr. R.K. Chadha, Joint Secretary
2. Shri Hardev Singh, Director

## **WITNESSES**

### **MINISTRY OF HOME AFFAIRS**

1. Shri R.K. Singh, Home Secretary
2. Shri K.K. Pathak, Joint Secretary (UT)
3. Dr. A.K. Saxena, Director (Delhi)

### **NEW DELHI MUNICIPAL COUNCIL (NDMC)**

1. Ms. Archana Arora, Chairperson
2. Shri D.S. Pandit, Secretary
3. Shri Manoj Sethi, Director

At the outset, the Chairman welcomed the representatives of the Ministry of Home Affairs and New Delhi Municipal Council (NDMC).

2. The Committee strongly reiterated their earlier recommendation that the 10 SC ex-teachers of the Navyug Schools should be reinstated at the earliest.
3. The Committee decided to consider the draft Report on "Working of Scheduled Caste Sub Plan" at its next sitting.
4. A verbatim record of the proceedings was kept.

**The Committee then adjourned.**

**COMMITTEE ON THE WELFARE OF SCHEDULED CASTES  
AND SCHEDULED TRIBES  
(2012-2013)**

**(FIFTEENTH LOK SABHA)**

**THIRD SITTING**

**(24.07.2012)**

**MINUTES**

The Committee sat from 1500 to 1730 hrs. in Committee Room No. G-074, Parliament Library Building, New Delhi

**PRESENT**

Dr. M. Jagannath – (In the Chair)

**MEMBERS**

**LOK SABHA**

2. Shri M. Anandan
3. Smt. Santosh Chowdhary
4. Smt. Jyoti Dhurve
5. Shri Prem Chand Guddu
6. Smt. Paramjit Kaur Gulshan
7. Shri Mohan Jena
8. Shri Mohinder Singh Kaypee
9. Shri Mithilesh Kumar
10. Shri Arjun Ram Meghwal
11. Shri Bharat Ram Meghwal
12. Shri Ashok Kumar Rawat
13. Shri Bajju Ban Riyan
14. Dr. Kirit Premjibhai Solanki
15. Shri Lalit Mohan Suklabaidya

**RAJYA SABHA**

16. Shri Thaawar Chand Gehlot
17. Shri Faggan Singh Kulaste
18. Shri Lalhming Liana
19. Dr. Bhalchandra Mungekar
20. Shri D. Raja
21. Shri Nand Kumar Sai
22. Shri Ishwar Singh
23. Shri A.V. Swamy

## **SECRETARIAT**

1. Shri Hardev Singh, Director
2. Shri S. Chatterjee, Additional Director

## **WITNESSES**

### **MINISTRY OF DEFENCE (DEPARTMENT OF DEFENCE PRODUCTION)**

- 1 Shri Shekhar Agarwal, Secretary
- 2 Smt. Rashmi Verma, Joint Secretary (LS)
4. Shri R.K. Shekhawat, Director

### **ORDNANCE FACTORY BOARD (OFB)**

1. Shri Sudhir Kumar Beri, DGOF/Chairman
2. Shri A. Khanwalkar, Member/Personnel
3. Shri C.B. Sharma, DDG/G
4. Shri Ravi Kant, Secretary
5. Shri Shailendra Nath, Addl. GM/Admin., Heavy Vehicles Factory, Avadi
6. Shri M.S. Rao, DDG/Admin & A/Reservation

At the outset, the Committee were informed that the Hon'ble Chairman, will not be able to attend the sitting of the Committee due to illness. In the absence of the Chairman, the Committee chose Dr. M. Jagannath, M.P. to act as Chairman for the sitting, as provided in Rule 258(3) of Rules of Procedure and Conduct of Business in Lok Sabha.

2. During the meeting, the Members voiced their concern on some important issues concerning SCs/STs which needed immediate examination/intervention by the Committee viz. (i) plight of SCs/STs in Educational Institutions; (ii) reasons for non-implementation of Committee's recommendations by the Government; (iii) State funding of expenses for marriage of daughters of SCs/STs should be increased; (iv) admissions to students belonging to weaker sections under the Right to Education Act; (v) timely payment of scholarships/stipends to SCs/STs students; (vi) diversion of funds meant for Scheduled Castes Sub Plan and Tribal Sub Plan should be investigated and accountability should be fixed; (vii) need to examine as to why there is no actual handover of land to poor SCs/STs

even though they have the land title documents with them; and (viii) collection of State-wise date on atrocities against SCs/STs.

3. Thereafter, the representatives of the Ministry of Defence (Department of Defence Production) and Ordnance Factory Board (OFB) were called and oral evidence taken on the subject "Reservation for and Employment of Scheduled Castes and Scheduled Tribes in OFB".

(The witnesses then withdrew)

4. A verbatim record of the proceedings was kept.

5. The Committee decided to defer adoption of the draft report on "Working of Scheduled Castes Sub Plan (SCSP)".

**The Committee then adjourned.**



**COMMITTEE ON THE WELFARE OF SCHEDULED CASTES  
AND SCHEDULED TRIBES  
(2012-2013)**

**(FIFTEENTH LOK SABHA)**

**FIFTH SITTING**

**(03.09.2012)**

**MINUTES**

The Committee sat from 1600 to 1715 hrs. in Committee Room No. 'D', Parliament House  
Annexe, New Delhi

**PRESENT**

Shri Gobinda Chandra Naskar - Chairman

**MEMBERS**

**LOK SABHA**

2. Shri M. Anandan
3. Smt. Jyoti Dhurve
4. Shri Prem Chand Guddu
5. Smt. Paramjit Kaur Gulshan
6. Shri Mohinder Singh Kaypee
7. Shri Arjun Ram Meghwal
8. Shri Bajju Ban Riyan
9. Dr. Kirit Premjibhai Solanki
10. Shri Bhausahab Rajaram Wakchaure

**RAJYA SABHA**

11. Shri Thaawar Chand Gehlot
12. Shri Lalhming Liana
13. Dr. Bhalchandra Mungekar
14. Shri A.V. Swamy

## **SECRETARIAT**

1. Dr. R.K. Chadha, Joint Secretary
2. Shri Hardev Singh, Director
3. Shri S. Chatterjee, Additional Director

At the outset, the Hon'ble Chairman welcomed the Members of the Committee. The Committee then considered the draft report on the subject "Working of Scheduled Castes Sub Plan (SCSP)" and adopted the report with certain recommendations/suggestions to be incorporated in the draft report.

2. The Committee also authorized the Chairman to finalise the report in the light of consequential changes and present the same to both the Houses of Parliament.

**The Committee then adjourned.**

## Summary of Conclusions/Recommendations contained in the Report

Sl. No.	Para No.	Summary of Conclusions/Recommendations
1.	2.	3.
1.	1.10	<p>The Committee note that inspite of the constitutional safeguards and developmental planning being launched since 1951 through the First Year Plan (1951-1956), the SCs are lagging behind the general population in various socio-economic indicators. The Committee observe that the Sixth Plan had identified the lack of economic support as the main cause of extremely slow pace of development of Scheduled Castes during the earlier Plans and there was a need for a new strategy which was a combination of the following three instruments: (i) The Special Component of the States and Central Ministries (SCP) (ii) The Special Central Assistance, (SCA); and (iii) The Scheduled Castes Development Corporations in the States (SCDCs). The Committee note that the Sixth Plan (1980-1985) marked a shift in the approach to the development of SCs. The Committee further observe that the concept of 'Special Component Plan for SCs' was first introduced in 1979 and subsequently the nomenclature was changed to Scheduled Caste Sub Plan (SCSP) in 2006. The Committee are of the strong opinion that the programmes formulated for SCs and STs should be implemented in right earnest by the Ministries concerned in order to provide ample opportunities to the SCs and STs for creating a more balanced and equitable society for them. The Committee, therefore, suggest that SCSP should have statutory backing to ensure serious and effective implementation of the Plan thus enabling the concerned Ministries to plan, implement and monitor the SCSP in right earnest and spirit.</p>

2.	1.11	<p>The Committee note that the strategy of Scheduled Castes Sub Plan envisages to channelize 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. The Committee are distressed to note that the implementation of SCSP and TSP (Tribal Sub Plan) is not being done uniformly in all States/UTs. Different States have adopted different mechanisms without exploring an effective mechanism which can ensure quantification of funds for SCSP and TSP, monitoring of expenditure, avert diversion of funds to unintended ventures, etc. The Committee further observe that the State Governments exercise their quantification as divisible and non-divisible components scheme wise. Due to this, the flow of funds to SCSP and TSP from the total State Plan becomes much less than what should have been as per the percentage of the population of SCs and STs to the total population of the State. The Committee, further, recommend that the Ministries should review their monitoring mechanism to get adequate finance from the Planning Commission and there should be some foolproof mechanism to monitor the utilization of funds. Defaulter States who do not furnish the progress report or utilization certificate should be dealt with strongly by the Centre. The Committee further strongly recommend that the Ministries should present a clear picture about proper utilization of funds so as to get an adequate allocation from the Planning Commission.</p>
3.	1.16	<p>The Committee note that Article 46 of the Constitution enjoins on the State to promote with special care the educational and economic interests of the weaker sections of the people and in particular, of the Scheduled Castes</p>

and the Scheduled Tribes and to protect them from social injustice and all forms of exploitation. The Committee feel that inspite of the above constitutional obligations, the gap between SCs and overall population is higher in urban than in the rural areas. The Committee observed from the information furnished by the Ministry of Social Justice & Empowerment and the Planning Commission that the gap between SC and overall population in terms of literacy rate, which was 14.8 percentage points in 1981, had come down to 10.1. percentage points in 2001. The Committee further observed that as per the National Family Health Survey (NFHS) the Infant Mortality gap between SCs and overall population which was 21 and under five mortality was 30 in the year 1992-93, came down to 9.2 and 14.7, respectively in the year 2005-2006. The Committee also note that lower percentage of institutional deliveries and lower level of full immunization of children amongst SC families, indicates a lower health status of SC families. The Committee strongly feel that as per the information collected during Census 1991 and 2001 separately for SC and overall population, the gap between SCs and non SC/ST in respect of consumption of electricity has decreased from 20% in 1991 to 17.1% in 2001. The Committee suggest that while making provisions, the Government should have considered that by tackling the problems of the economic development of Scheduled Castes and Scheduled Tribes they would be significantly solving the problem of removal of poverty in the country. They are of the view that the provisions of the Plan for the betterment of social and economic life of the SCs and STs should have some relation to their population in the country and their socio-economic position in the society. The Committee recommend that the most backward communities amongst

4.	2.7	<p>SCs and STs should be identified urgently and specific schemes and programmes should be chalked out and implemented for the amelioration of their socio-economic conditions.</p> <p>The Committee are distressed to note that the Ministry of Social Justice and Empowerment do not have any role in earmarking of allocation under the Scheduled Caste Sub Plan by other Ministries/Departments. However, so far as its own allocation and expenditure is concerned, about 75% of the Plan outlay and expenditure are under schemes for SC development. The Committee feel that these Ministries should not confine themselves only to limited role in the formulation of Plans, as they are the nodal ministries and have to play a greater key role in the overall development of SCs and STs. The Committee are strongly of opinion that the programmes formulated for SCs and STs should be mobilized in the right earnest through these Ministries.</p>
5.	2.11	<p>The Committee note that as per the guidelines issued by the Planning Commission, the State Governments/UT Administrations are required to formulate and implement Scheduled Castes Sub Plan as part of their Annual Plans by earmarking resources in proportion to SC population in the State. The Committee note that as per the Planning Commission, only 24 States and 3 UTs are earmarking funds under Scheduled Castes Sub Plan. The Committee observe that the sectoral approach for earmarking of funds varies from sector to sector within the State Plan Departments. Due to this, the State Government is facing problems as some of the line Departments are not earmarking funds under Scheduled Caste Sub Plan on the pretext that their funds are non-divisible in nature. The Committee observe that as per the information available,</p>

		<p>only the States of Chhattisgarh, HP, MP, Maharashtra, Sikkim, UP, Punjab and Uttaranchal have made their Social Welfare Department as nodal Department for formulation and implementation of Scheduled Caste Sub Plan. The Committee are disappointed to note that no reasons have been forwarded by the Planning Commission for not making the Social Welfare Department as nodal Department by all other States/UTs. The Committee recommend that Planning Commission should ensure that intended funds are actually spent for the welfare of SCs/STs and also to ensure that all the States should make the Social Welfare Departments as nodal Departments for formulation and implementation of SCST schemes/programmes.</p>
6.	2.14	<p>The Committee were surprised to note that during evidence the Secretary, Ministry of Social Justice and Empowerment had stated that the issue of exempting any Ministry from the SCSP is the prerogative of the Planning Commission because the guidelines have been issued by them. If a Ministry had no Plan budget by definition, it would not have an SCSP. The Committee suggest that the budget allocations for the SCSP should be enhanced suitably so that physical targets could be achieved. The Committee would, therefore, like to strongly recommend that the Government should build a strong case before the Planning Commission for enhancing the higher allocation to the Ministry.</p>
7.	2.20	<p>The Committee are dismayed to note the position explained by the Planning Commission in respect of implementation of guidelines by the States/UTs and Central Ministries/Departments. The Committee note that only 24 States and 3 UTs are implementing the SCSP and</p>

the States of Assam, Goa, Gujarat, Karnataka, Maharashtra, Rajasthan, Tamil Nadu, Tripura, Chandigarh(UT) are not earmarking funds under SCSP. The State Governments [except J&K and Chandigarh (UT)] have created separate Budget Heads for SCSP but sector-wise and scheme-wise budgetary allocations have not been indicated. The Committee note that Chhattisgarh, HP, MP, Maharashtra, UP and Uttaranchal have made the Principal Secretary of their SCST Department as Planning Secretary for SCSP funds without financial powers. The Committee observed that a large number of Central Ministries/Departments are not earmarking funds under SCSP as per Planning Commission guidelines. As per the Central Ministries their schemes/programmes benefit all sections of the society and it is difficult to earmark outlay for benefit of social groups. The Committee further observe that Central Ministries/Departments have not taken SCSP for upliftment of SC/STs seriously. The Committee desire to know the reasons why certain States/UTs are not earmarking funds under SCSP as per the percentage of SC population in the State/UT. The Committee recommend that earmarking of Plan funds should be in proportion to SC population in the Annual Plans of all the Ministries/Departments and States/UTs under the SCSP. The Committee further recommend that the Principal Secretary of Deptt. of SCs should be made the Secretary, Planning for SCSP funds with full financial powers.

8.

2.22

The Committee note that the SCSP guidelines were compiled and issued by the Planning Commission and that only a few States have prepared these guidelines in local languages for the use of the field officers. The Committee



feel that in the absence of availability of the guidelines in the local languages, there might be difficulties in understanding, monitoring and implementation of the SCSP guidelines. The Committee, therefore, recommend that immediate steps should be taken to get the guidelines translated into the local languages and the same distributed to the concerned agencies/officers and the Committee apprised of the action taken within three months of the presentation of this Report.

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| 9.  | 3.6 | <p>The Committee are constrained to note that as per Planning Commission, the total State Plan outlay for the Annual Plan 2007-2008 was Rs.2,33,607.16 crore of which earmarked outlay under Scheduled Caste Sub Plan was Rs. 37,207.54 crore constituting 15.93% of the total allocation. The Committee further note that in Annual Plan 2008-2009, the total State Plan outlay was Rs.3,00,589.63 crores of which earmarked outlay under Scheduled Caste Sub Plan was Rs.42,742.29 crores constituting 14.22% of the total Plan allocation. It is observed that earmarked outlay under SCSP for 2008-2009 had come down in comparison to the Plan 2007-2008. The Committee recommend that the budget allocation for SCSP Plan should be enhanced suitably so that adequate funds are available for spending under the SCSP for meeting the financial and physical targets.</p> |
| 10. | 3.8 | <p>The Committee note that as per the Planning Commission, there are two reasons as indicated by the State Governments for not allocating proportionate funds under SCSP as per the percentage of SCs, viz. (i) Funds under SCSP are of divisible and non-divisible nature, therefore, many departments in the States have not earmarked funds</p>   |

under SCSP; (ii) Absence of specific mechanism to ensure requisite flow of funds. The Committee recommend that the executing agencies in a State should be delegated sufficient administrative and financial powers to avoid procedural delays in the implementation of the SCSP. The Committee strongly recommend that the Government should make all out efforts to ensure that the outlay earmarked for the respective scheme/programme under SCSP in a particular year are used only for the specific programme/scheme under SCSP for which the allocation is made so that the chances of having unspent funds are minimized. The Government should gear up and streamline the existing implementing machinery at the field level so as to ensure 100% utilization of available funds. The Committee also recommend that the guidelines of the schemes should be suitably revised to ensure proper monitoring.

11.

3.14

The Committee observe that while compliance with SCSP guidelines by the State Government has improved and most of the States/UTs are earmarking funds as per these guidelines. However, it is observed that the expenditure under SCSP as proportion to the total State Plan expenditure is not at the prescribed level. The Committee are unhappy to note that the SCs/STs development schemes are not being implemented in all the States/UTs. The Committee recommend that necessary guidelines in this regard should be issued to State Govts/UTs Admn. and the Committee be apprised accordingly. The Committee further suggest that adequate funds should be allocated under SCSP as proportion to the total State Plan expenditure in order to provide the SC population with adequate opportunities for development under SCSP.

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| 12. | 3.18 | <p>The Committee note that as per Ministry of Social Justice &amp; Empowerment, monitoring and utilization of SCSP funds is done by the Planning Commission and they have no funding, controlling or coercive powers vis-à-vis other Ministries. The Committee further note that as per the information submitted by Planning Commission, all the Central Ministries/Departments have indicated that they did not earmark funds towards SCSP during 10<sup>th</sup> Plan and their schemes/programmes were also benefitting SCs in the country and they do not have SC - specific schemes. The Committee further note that in response thereto, the Planning Commission issued guidelines for formulation, implementation and monitoring of SCSP to the Central Ministries and are also reviewing SCSP in the meetings of the Central Tripartite Committee. The Committee are further surprised to note that there are 14 Ministries/Departments that supplement implementation of the SCSP in term of the achievement and coverage of various schemes and the allocation of fund under SCSP is 'Nil' in 11 Ministries/Departments. The Committee recommend that the Ministries should review their mechanism to get adequate finances from the Planning Commission under the SCSP. The Committee further recommend that Ministries should present a clear picture about proper utilization of funds by them so as to get an adequate allocation from the Planning Commission.</p> |
| 13. | 3.22 | <p>The Committee note that NREGA scheme of the M/o Rural Development does not figure in the list of schemes with more than 20% outlay for SC/ST though as per the data of that Ministry, 54% of the employment generated under the scheme in 2008-2009 was in respect of SC/ST beneficiaries. The Committee further note that as per the</p>   |

		<p>Planning Commission information, 17 Central Ministries/Departments are earmarking funds under SCSP and TSP out of their annual plan because their Schemes/Programmes are benefiting all sections of the society and were not exclusively for the benefit of social groups. The Committee recommend that a scheme should be introduced by the Central Ministries/ Departments exclusively for the benefit of SC/ST communities, so as to properly focus on these communities for their upliftment.</p>
14.	3.24	<p>The Committee note that the Ministry of Social Justice and Empowerment had tried to get their XIth Plan allocation and the Annual Plan allocation increased but the same was not acceded to. The Committee recommend that the Government should build a strong case before the Planning Commission for enhancing the Budget allocation and the Annual Plan allocation so as to ensure adequate funds for amelioration of the SCs.</p>
15.	3.28	<p>The Committee note that all the States have created separate budget heads for SCSP (code 789) as Minor Head below the functional Major Head. On the other hand Central Ministries/Departments are not opening separate budget head as their funds are non-divisible in nature. The Committee recommend that the matter should be taken up with the Finance Ministry for creating separate budget head in order to ensure compliance with the Planning Commission's guidelines on SCSP by the Central Ministries.</p>
16.	3.33	<p>The Committee note that the Ministry of Social Justice and Empowerment have stated that the compliance with SCSP guidelines by the State Governments has improved and most of the States/UTs are earmarking funds as per these</p>

guidelines. But in case of Central ministries, the process of earmarking allocations under SCSP and reflecting it under the designated minor head '789' is generally yet to start. The Committee are surprised to note that though the special strategy for implementation of SCSP was initiated with sincere intentions, the same has not been implemented effectively mainly due to absence of an effective mechanism to ensure the requisite flow of funds and many of the States are not formulating and implementing SCSP as per the guidelines issued from time to time. The Committee recommend that all Ministries/Departments should plan the financial and physical targets annually in the line with the amount allocated by the Planning Commission and State Government should also submit separate documents for SCSP indicating sector-wise and scheme-wise financial and physical targets and achievements.

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3.42

The Committee take a serious view of the allegation regarding diversion of SC funds for other purposes, especially by the urban local bodies and even local Panchayat Committees. The Secretary, Planning Commission, herself admitted during evidence that according to the studies conducted on the way funds are used for SC/ST development, there were diversion of funds. The Committee strongly recommend that ways and means should be found immediately to prevent diversion of funds meant for SCs/STs and loopholes in the system should be plugged. The fund spending agencies should be held accountable for all the expenditure incurred by them under SCSP and proper Utilization Certificates should be obtained from them.

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| 18. | 3.45 | <p>The Committee note that Special Central Assistance (SCA) to SCSP is provided as an additive to SCSP of States/UTs. The Committee further note that 25% of SCA is released on the basis of their performance in formulation and implementation of SCSP. Another 25% is released on the basis of coverage of SC families in the States/UTs under composite economic development programmes in the State Plan under SCSP. The Committee further note that as per Ministry of Social Justice and Empowerment, the total release as Special Central Assistance, in comparison to the amount of earmarking required to be done under SCSP by States/UTs, is not adequate to substantially influence implementation of SCSP by the States. The Committee recommend that there should be some mechanism for SCA under SCSP by the States to ensure better achievement under the SCSP.</p>                     |
| 19. | 3.53 | <p>The Committee note that under SCSP, funds are earmarked for implementing schemes for the benefits of SCs. These mainly include developmental schemes. For promotion of self-employment among SCs, a National Scheduled Castes Finance and Development Corporation (NSFDC) has been set up which provides credit to SCs at concessional rates of interest through State SC Finance and Development Corporations. The Committee feel that Development Corporation can play a very important role in raising economic status of SCs/STs and helping to take them above the poverty line. The Secretary, Ministry of Social Justice and Empowerment, stated during evidence that the NSFDC works through the State level Corporations which are State Government Undertakings. He also stated that the condition of the State Corporations is by and large unsatisfactory in a large number of States</p> |

		<p>mainly due to unsatisfactory recovery rate and unwillingness of the State Governments to give guarantee for giving further finance.</p> <p>The Committee strongly recommend that the State Governments may be prevailed upon to release funds to the State Corporations as and when they require the same without asking for any guarantee, so that the needs of the SCs, which are generally of small amounts, are met. Incentive schemes for improving the recoveries by the State SFDCs should also be brought into operation immediately.</p>
20.	3.58	<p>The Committee note that in some States no credit was disbursed by NSFDC during the three years 2004-05 to 2006-07 due to the absence of guarantee released by the State Channelising Agencies against State Govt. The Committee further note that no separate targets are fixed for disbursement of credit by the NSCFDC under SCSP. The Committee recommend that disbursement of credit by NSFDC should be done under the purview of SCSP. The guidelines in this respect should be suitably modified.</p>
21.	4.3	<p>The Committee note that according to SCSP guidelines of Planning Commission. Central Ministries are responsible for monitoring compliance of SCSP component of Centrally Sponsored schemes and evaluation of impact of various development schemes implemented under SCSP and Planning Commission is responsible for monitoring the progress of SCSP at the time of half yearly and annual performance reviews of the Ministries/Departments. The Committee further note that the performance under SCSP is also reviewed by Planning Commission, while considering annual Plan proposals of the State Governments. The Committee recommend that the</p>

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4.12

Planning Commission should ensure that funds earmarked for the respective development schemes for SCs/STs must not be diverted for other purposes under any circumstances.

The Committee note that the Planning Commission have set up a specific unit for monitoring the implementation of the recommendations of the Inter Ministry Task Group Report on the Development of SCs/STs and to monitor and review SCSP of States/UTs and Central Ministries/Departments. The Committee are unhappy to note that no separate staff has been provided to the unit to monitor and review SCSP of States/UTs and Central Ministries/Departments effectively. The Committee need to point out that all the planning will have little impact on the amelioration and socio-economic conditions of Scheduled Castes and Scheduled Tribes if the implementation of the schemes initiated for their welfare are not monitored and evaluated timely and properly. The Committee recommend that an effective monitoring and evaluation system should be evolved to assess the results achieved from the implementation of various scheme in the Centre and the States level under SCSP. Separate and adequate staff should be posted to SCSP Unit to monitor progress under the SCSP. The Committee recommend that the personnel entrusted with the implementation and evaluation of the Plan should be better trained and their accountability should be fixed for their acts of omission and commission. The Committee further recommend that prompt action should be taken against the erring officials as a deterrent. The Government should also gear up and streamline the existing implementing machinery at the field level to make it result oriented.



23.	4.14	<p>The Committee are unhappy to note that no specific visit has been made by any officer from Planning Commission to review the SCSP Scheme undertaken by the States to monitor the physical progress of the schemes. Only Pr. Advisers are visiting their respective States to review the programmes relating to SCSP. The Committee strongly recommend that the field officers of the Commission for SC/STs in various States should be actively involved in the evaluation of the Schemes and for this purpose they should keep a close liaison with the State Governments. The Committee further suggest that they may be vested with more powers, if need be, so that they are able to discharge their functions properly.</p>
24.	4.17	<p>The Committee note that according to guidelines for SCSP, State, District and Block level committees should monitor the SCSP schemes by way of quarterly performance Review. The Committee are surprised to note the negative attitude of the Planning Commission, in respect of submitting the Quarterly Performance Review Report to the SCSP unit of all those States/UTs which have constituted the 3-tier Monitoring Committees and are conducting monthly meetings regularly. The Committee are distressed to note that the information regarding constitution of 3 tier Monitoring Committees in the States is not available in the Planning Commission. The Committee suggest that the availability of adequate infrastructure at State, District and Block level for implementation is a pre-requisite for the better utilization of funds. In view of the above, the Committee recommend that they should evolve monitoring mechanism to verify the claims of the implementing agencies on the availability of infrastructure. The Committee further suggest that officers</p>

		<p>of the Ministry should visit the States/UTs from time to time to monitor the progress and conduct monthly meetings regularly.</p>
25.	4.19	<p>The Committee are constrained to note that as per the Planning Commission only 8 States i.e. Karnataka, Punjab, TN, UP, Uttaranchal, Chandigarh (UT), Delhi and Puduchery have furnished partial information regarding the constitution of 3-tier Monitoring Committee. The monitoring mechanism for SCSP at the Central Level is governed by the guidelines of the Planning Commission. The Committee suggest that an effective monitoring and evaluation system should be evolved to assess the results achieved from the implementation of various scheme in the Centre and the States level under SCSP. The Committee recommend that the officials of the Planning Commission should visit the places and the States where the SCSP schemes are being implemented and to monitor properly by taking the Quarterly Performance Review Report from the SCSP units regularly. The Committee are concerned to note that during Annual Plan 2008-2009 14.22% allocation has been made under SCSP which is lower than the percentage of SC population i.e. 16.20%.</p>
26.	4.25	<p>The Committee note that the evaluation studies shows the four major issues need to be addressed like inadequate allocation of funds as per SC population in State, non-utilization of allocated fund, diversion of SCSP fund to other sectors at the end of the annual plan, implementation and administrative bottlenecks and improper delivery mechanism in the field level. Socio-economic conditions of SCs in the country shows huge gap between the SCs and other general population in 2001. The Committee emphasise that the personnel employed in the</p>

		<p>implementation and evaluation machinery of Central as well as State Government should be well conversant with the needs of the day and should not be frequently transferred so that there is continuity in their work. In view of the above scenario, the Committee recommend that Central Government as well as State/UTs Governments should take immediate steps to rectify these shortcomings with a view to make the schemes more result oriented and the monitoring should be strengthened. Monitoring cell exclusively for SCs/STs should be set up in the Planning Commission to monitor the progress of the schemes meant for SCs/STs to reduce the gap between SCs and other general population and to improve the socio-economic conditions of the SCs in the country.</p>
27.	4.29	<p>The Committee note that as per the guidelines for SCSP issued by the Planning Commission, funds allocated under SCSP are non-divertible and non-lapsable. The Committee further note that a separate Budget Sub Head '789' is to be opened by all the Central Ministries/Departments so as to avoid non-utilisation and non-diversion of SCSP funds. The Committee urge the Planning Commission to ensure that intended funds and benefits of SCs/STs are actually spent for their welfare. They also suggest that an evaluation be undertaken periodically to assess the extent of actual flow of funds and benefits to SC/STs from the General sector funds to rectify the shortcomings and augment the provisions meant for these communities.</p>
28.	4.32	<p>The Committee note that in respect of monitoring evaluation at the Central level under SCSP programmes, the Ministry of Social Justice and Empowerment have reiterated that the Planning Commission is supposed to monitor the progress of SCSP at the time of the half yearly</p>

and annual performance reviews of the Ministries. The Committee feel that the Ministries should not confine themselves only to a limited role in the formulation of plans, as they are the nodal ministries and have to play a greater keyrole in the overall development of SC/STs. The Committee feel that the Ministries are shifting the whole responsibility to the Planning Commission to monitor the progress of SCSP at the time of the half yearly and annual performance reviews of the Ministries/Departments as the guidelines have been issued by them in respect of SCSP schemes. The Committee are constrained to note that Pr. Secretary, SCST Department has not been empowered with financial power for SCSP fund. The Committee observed that funds under SCSP have also been diverted to other schemes/sectors. The Committee emphasis and strongly recommend that the funds allocated for different programmes/schemes meant for the upliftment of poor sections of the society should be utilized only for those specific programmes/schemes for which they are meant to achieve the desired result. It is recommended that necessary amendments in the guidelines should be carried out to ensure an effective monitoring and evaluation system.

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The Committee note that some schemes have been suggested by the Planning Commission to be implemented by the States/UTs for the welfare of SCs. The Committee also note that villages with 50% and above SC population may be saturated by providing all developmental activities under Bharat Nirman Schemes, viz., schools, education, skill development, training for self employment, etc. and money had been allocated to the Ministry of Social Justice and Empowerment for Bharat Nirman scheme. The

		<p>Committee are surprised to note that the money allotted was sent back to the Planning Commission by the Ministry without implementing the scheme. The Committee recommend that these types of developmental programmes/schemes should be started by the concerned Ministries under SCSP schemes for the benefit of SC/STs population in the country as whole.</p>
30.	5.10	<p>The Committee feel that it is necessary to reduce the incidence of landlessness amongst the SCs as well as to improve the quality of lands in possession of the SCs. The Committee recommend that the Ministry should keep a constant watch on the working of this scheme and take corrective measures wherever necessary.</p>
31.	5.16	<p>The Committee are unhappy to note that as per the Ministry of Social Justice and Empowerment, under the scheme of "Free Coaching to SC and OBC students" grant is provided to existing suitable coaching centres for coaching SC and OBC students but there is no provision under the scheme to open new coaching centres. The Committee further note that the grants under the scheme of coaching are not given to State Government but to coaching institutions (including Universities). The National Scheduled Castes Finance &amp; Development Corporation (NSCFDC) does not receive any fund under SCSP for conducting training courses for SC beneficiaries. The Corporation, however, provides grants from its own resources to SCAs for conducting short term Skill Development Training Programmes for educated unemployed youth of the target group. The Committee suggest that the SC unemployed youths should be provided loans at cheaper interest rates from Banks/SC/ST Development Corporations. The Committee urge that the</p>

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criterion for the grant of loans should be made more flexible so that no SC/ST person who is in need of finance, is debarred from securing money from these corporations. The Committee further suggest that reimbursement of fee for higher education in self-financed private institutions should also be met from SCSP fund with a view to accelerate the educational development of SC and ST students.

The Committee note that all States/UTs implementing the scheme of Post Matric Scholarship to SC students are reimbursing tuition fee to SC students eligible under the scheme and studying in private colleges. The Committee note that under the scheme of Post Matric Scholarship to SC students there is a parental income ceiling of Rs. one lakh to be eligible for scholarship for those pursuing education after class X. The Committee are surprised to note that there is at present there is no post-matric scholarship scheme of the Central Govt for SC students in general. The Ministry of Social Justice and Empowerment is implementing a Pre-Matric scholarship scheme for children of those engaged in unclean occupations, under which there is no income ceiling and students from concerned categories in classes I-X are eligible for scholarship, irrespective of income levels of their parents. The Committee urge that the scheme of post matric scholarships should be reviewed by the Ministry/Planning Commission in its entirety, more particularly with a view to linking the quantum of scholarships with the rising cost of living and to ensure the payment of scholarship amount to students at the beginning of the academic session, preferably through the nationalized banks. The Committee recommend that the amount of pre-matric scholarships

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should be increased, periodically in the light of rise in the cost of living and fee being charged by the private colleges. The Committee further suggest that the ceiling limit of income of parents of SC or ST students should be increased to Rs.10 lakhs so that no SC or ST student, who is in need of finance for education, is left out due to lack of financial assistance. They hope that these suggestions would be implemented in letter and spirit so that it will help to promote and increase the educational standards of SC/ST students.

The Committee are of the view that all out efforts should be made to educate the SC/STs and raise the level of their awareness about the schemes related to them so that these people can also ask their respective States/UTs to give priority and implement various sectoral programmes for their development. The Committee recommend that some percentage of funds be specifically earmarked for the publicity of the respective schemes/programmes so that the SC persons are made aware of the schemes meant for their benefit.





**Annexure-V**

**State-wise information regarding implementation of SCSP as collected from the State Governments/UTs**

<b>Sl. No.</b>	<b>Name of the State/UT</b>	<b>Earmarked Allocation as per % age of SC Pop.</b>	<b>Separate Budget Head</b>	<b>SC/ST Dep. as Nodal Dep. For SCSP</b>	<b>Secy., SC/ST Dep. as Plg. &amp; Fin. Secretary</b>	<b>Monitoring Committee</b>
1	Andhra Pradesh	--	--	--	--	--
2	Assam					
3	Bihar					
4	Chattisgarh					
5	Goa					
6	Gujarat					
7	Haryana					
8	Himachal Pradesh					
9	Jammu & Kashmir					
10	Jharkhand					
11	Karnataka	<b>Yes</b>	<b>Yes</b>	<b>Yes</b>		<b>State Level Empowered Committee under the Chairmanship of Addl. Chief Secretary. At District level the monitoring is being done by Zilla Panchayat. At Taluka level, the Taluka Panchayat is the implementing agency.</b>
12	Kerala					
13	Madhya Pradesh					
14	Maharashtra					
15	Manipur					
16	Orissa					
17	Punjab	<b>Yes</b>		<b>Yes***</b>		<b>Addl. Deputy Commissioner of each District has been declared as the nodal Officer for effective implementation of SCSP at the District level. (Guidelines issued in Punjabi language).</b>

18	Rajasthan					
19	Sikkim					
20	Tamil Nadu**	<b>Yes</b>		<b>Yes</b>		
21	Tripura					
22	Uttar Pradesh	<b>Yes</b>	<b>Yes</b>	<b>Yes</b>		<b>Guidelines not in local language.</b>
23	Uttaranchal	<b>Yes</b>		<b>Yes @</b>		<b>Guidelines circulated in Hindi.</b>
24	West Bengal			<b>No</b>		<b>State level Monitoring Committee set up under the Chairmanship of Minister In Charge (MIC). The Committee periodically reviews the formulation and implementation of SCSP.</b>
25	Chandigarh	<b>No</b>	<b>Matter is under consideration.</b>	--	--	--
26	Delhi	<b>Yes</b>	<b>Yes</b>	<b>Yes</b>		--
27	Puducherry	<b>Yes</b>	<b>Yes*</b>	<b>Yes</b>		<b>A Committee under the Chairmanship of Minister of Welfare constituted, progress is reviewed periodically.</b>

\* A separate Minor Head of account for SCSP has been opened to regulate the expenditure under SCSP to avoid diversion of funds from SCSP to non-SCSP programmes.

\*\* Guidelines for field level officers are available only in English. Necessary steps are being taken to make available these guidelines in local language.

\*\*\* A separate Directorate i.e. Directorate of SCSP has been set up.

@ The implementation of SCSP is carried out by various developmental Departments.

## Annexure V

### State-wise grants released (Rs. in lakh) to Universities, and no. of beneficiaries covered under the scheme of “Free Coaching to SC and OBC Students”

State	2004-05		2005-06		2006-07		2007-08		2008-09	
	Rel	Benef.	Rel	Benef.	Rel	Benef.	Rel	Benef.	Rel	Benef.
Andhra Pradesh	33.37	760	20.13	-	0	0	0	0	0	0
Assam	12.25	200	0	0	0	0	0	0	0	0
Bihar	16.45	280	0	0	6.58	160	0	0	0	0
Himachal Pradesh	0	0	0	0	2.9	80	0	0	0	0
Karnataka	4.5	100	0	0	0	0	0	0	0	0
Madhya Pradesh	35.64	670	7.13	280	7.7	120	0	0	0	0
Maharashtra	12.6	240	11.79	200	0	0	0	0	0	0
Punjab	22.13	250	2.22	40	0	0	0	0	0	0
T.Nadu	8.45	100	0	0	0	0	0	0	0	0
Uttar Pradesh	46.4	1011	12.36	160	36.12	120	0	0	0	0
Uttarakhand	6.45	100	5.41	100	0	0	0	0	7.59	60
West Bengal	0	0	0	0	0	0	2.12	30	0	0
Delhi	5.71	120	0	0	0	0	0	0	0	0
Puducherry	23.37	320	0	0	0	0	0	0	0	0
<b>Total</b>	<b>227.32</b>	<b>4151</b>	<b>59.04</b>	<b>780</b>	<b>53.3</b>	<b>480</b>	<b>2.12</b>	<b>30</b>	<b>7.59</b>	<b>60</b>

Note: The above data is only about coverage through Universities. Grants under the above scheme are given to other coaching institutes also

**List of Important Letters sent to the Planning Commission and the Ministry of Finance since 2008, on implementation of SCSP**

Letters to the Planning Commission					
Sl.No.	Letter dated	From	To	Gist of the letter	
1	19.9.2008	Minister, SJ&E	Deputy Chairman, Planning Commission	Requesting to address all the Ministries to ensure that the SCSP outlays were reflected under the minor head '789' by all Central Ministries/Deptts, as part of Annual Plan/Budget exercise for 2009-10.	
2	16.12.2008	Secretary, SJ&E	Secretary, Planning Commission	Requesting to draw attention of Ministries/Deptts. about need to ensure separate earmarking under SCSP and to reflect it under minor head '789'	
3	16.9.2009		Secretary, Planning Commission	Requesting that this Ministry may be apprised of the Ministry-wise status of (i) earmarking of proportionate outlays under SCSP, and (ii) its classification under the minor head 789, in 2009-10.	
4	16.10.2009.		Secretary, Planning Commission	Reminder to letter dated 16.9.2009	
5	10.9.2009		Member, Planning Commission		To convene meeting of the Central Tripartite Committee to discuss non-implementation of SCSP by Central Ministries
6	17.9.2009				
7	14.11.2009	Minister, SJ&E	Deputy Chairman, Planning Commission	Containing certain suggestions for improving implementation of SCSP by Central Ministries	
Letter to the Ministry of Finance					
8	19.9.2008	Minister, SJ&E	Finance Minister	For issuing of necessary instructions to Central Ministries/Deptts. to ensure that, at least from the financial year 2009-10, an	

				appropriate portion of their plan budget was invariably shown under the minor head "789"
9	18.09.2009	Secretary, SJ&E	Secretary, Deptt. of Expenditure	For issuing supplementary instructions to the Budget Circular, 2010-11, for ensuring compliance with separate earmarking for SCSP and showing it under minor head '789'
10	14.10.2009	Secretary, SJ&E	Secretary, Deptt. of Expenditure-	Reminder to letter dated 18.9.2009
11	14.11.2009	Minister, SJ&E	Finance Minister	For issuing necessary instructions on implementation of SCSP in the form of a supplementary Budget Circular for 2010-11, at the earliest, to ensure separate earmarking under SCSP by Ministries, and its classification under the designated minor head 789, starting with the Demands for Grants for the year 2010-11
Letter to the Prime Minister				
12	14.11.2009	Minister, SJ&E	Prime Minister	Requesting to advise the Planning Commission and the Finance Ministry to take urgent action to improve implementation of SCSP by Central Ministries.