

**COMMITTEE ON THE WELFARE OF
SCHEDULED CASTES AND
SCHEDULED TRIBES
(1993-94)**

(TENTH LOK SABHA)

241

THIRTY SIXTH REPORT

**MINISTRY OF FINANCE
(DEPTT. OF ECONOMIC AFFAIRS —
INVESTMENT DIVISION)**

**RESERVATIONS FOR AND EMPLOYMENT OF SCHEDULED CASTES
AND SCHEDULED TRIBES IN UNIT TRUST OF INDIA**



*Presented to Lok Sabha on 26-4-1994
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COMMITTEE ON THE WELFARE OF SCHEDULED CASTES
AND SCHEDULED TRIBES
(1993-94)

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*Ceased to be member of the Committee on his death w.e.f. 19 April, 1994.

**Ceased to be members of the Committee on their retirement from Rajya Sabha w.e.f. 2 April, 1994.

***Elected on 27 August, 1993 vice Shri Dipen Ghosh who ceased to be Member of the Committee on his retirement from Rajya Sabha with effect from 9 July, 1993.

CHAPTER I

INTRODUCTORY

1.1 Unit Trust of India is an autonomous corporation set up under the Unit Trust of India Act, 1963 and is not directly under the control of Ministry of Finance as the Government has not subscribed to its capital. As such, it has been contended by the Ministry of Finance that Unit Trust of India (UTI) is not one of the institutions to which reservation provision would apply. The Committee was informed that though, UTI is not technically covered by the reservation policy, it is stated to be broadly complying with the provisions of the reservation policy right from the year 1978 when it started its own recruitment. The Investment Division of the Department of Economic Affairs, Ministry of Finance headed by Joint Secretary (Inv.) has been looking after the work relating to UTI. At present, the Unit Trust of India has four Zonal Office and 43 branches all over the country with its Corporate Office at Bombay.

A. Staff Strength And Reservation in Services

1.2 The Committee were informed that Ministry of Finance issued Presidential Directives to the Unit Trust of India in January and May, 1987 to follow the Government Instructions on reservation in services for SCs and STs. Asked as to why the Ministry took such a long time to issue directives to Unit Trust to implement reservation policy, the Ministry in a note have stated as under:

“The Unit Trust of India (UTI) is an autonomous corporation set up under the UTI Act, 1963. UTI is not directly under the control of the Government and the Government has not subscribed to its capital. UTI is not one of the institutions to which the reservation provisions would apply. Though UTI is not technically covered by the reservation policy, it has been broadly complying with the provision of the reservation policy right from the year 1978, when it started its own recruitment. Therefore, the Government did not feel the necessity of issuing a directive to Unit Trust of India.”

1.3 Replying to another query in this regard the Chairman, UTI stated in evidence as under:

“UTI was set up in 1964. We came out from RBI in the year 1978. I can assure you that not even a single year you can point out where we had violated the set out policy. You can see our advertisements also prior to 1986. Upto 1978 we were associates of RBI. We are a responsible Corporate Citizen of

this country. Even in the performance side, if you look at it from 1978 to 1987 we had performed very well.”

1.4 Representation of SC/ST vis-a-vis the total staff strength in the services of Unit Trust of India as on December, 1993 is as under:

Category	SC	% to total	ST	% to total	General	Total
Officer	103	14.50	37	5.21	570	710
Class III	123	10.64	27	2.34	1006	1156
Class IV	77	30.20	20	7.84	158	255
TOTAL	303		84		1734	2121

1.5 When asked about the reasons for the shortfall of ST candidates in all the above categories of posts, it was stated that “it is due to the non-availability of suitable candidates.”

1.6 The year wise details of recruitment of SC/ST candidates during the last three years are as follow:

Category of posts	Total No. of vacancies occurred	No. of vacancies actually filled	No. of vacancies		reserved for		SCs/STs		o. of candidates		No. of vacancies carried forward	
			C/F from previous year		Reserved during the year		Total		appointed		_____	
			SC	ST	SC	ST	SC	ST	SC	ST	SC	ST
1991 Class I	59	59	11	06	09	04	20	10	33	+13	—	
Class III	179	179	+5	07	21	15	-16	-22	38	-13	±22	
Class IV	24	24	+05	02	05	01	07	03	09	+01	-03	
1992 Class I	61	61	+13	—	09	04	+04	-04	04	01	+08	-03
Class III	369	369	+22	-13	30	38	-08	-51	37	02	+29	-49
Class IV	66	66	+01	-03	11	—	-10	-11	22	01	+12	-10
1993 Class I	47	47	+08	-03	07	04	+01	-07	04	—	+05	07
Class III	170	170	+29	-49	20	17	+09	-66	17	02	+26	-64
Class IV	15	15	+12	-10	05	04	+07	-14	09	—	+16	-14

1.7 It is observed from the above statement that the number of posts, carried forward in ST category in various grades has been increasing. In

case of Class I posts, the number of vacancies carried forward increased from 3 in 1992 to 7 in 1993. In Class III, it was 13 in 1991 which rose to 49 in 1992 and 64 in 1993. Similarly in Class IV also the vacancies carried forward were 3 in 1991, 10 in 1992 and 14 in 1993.

1.8 As regards the measures taken by the Trust to overcome the shortfalls, it was stated that the Trust had undertaken special drives for recruitment of both SC and ST employees in the years 1987 and 1989. UTI is reported to be planning to hold another special recruitment drive shortly to clear the backlog, if not cleared in the course of its normal recruitment.

B. Special Recruitment

1.9 As regards detailed break-up of the Special Recruitment Drives, the Committee have been informed that UTI undertook the special recruitment drives in July, 1987 and August, 1989. The number of candidates who applied against the advertisement is reported to be not available. However, the number of candidates waitlisted and appointed are as follows:

(i) S.O. Grade A	August, 1989
Waitlisted	50 (38 SC + 12 ST)
Appointed	43 (33 SC + 10 ST)
(ii) Assistant	August, 1989
Waitlisted	21 (16 SC + 5 ST)
Appointed	10 (10 SC + -ST)
(iii) Assistants (ST category)	July, 1989
Waitlisted	10
Appointed	3

1.10 It was also stated that the difference between number of candidates waitlisted and appointed is due to rejection of offer by the respective candidates.

1.11 Asked to when UTI will be able to clear the backlog of SC/ST vacancies in different categories, it was stated:

“UTI has recently undertaken a Special Recruitment Drive to fill up the vacant posts reserved for SC/ST candidates. Recruitment test for officers is already over and the results are expected to be finalised shortly. For filling up of vacant posts in respect of class III and IV categories, action has already been initiated. The backlog is expected to be cleared by the end of June, 1994.”

1.12 The Committee regret to note the shortfall in employment of STs in UTI. The representation of ST employees in officers, Class III and Class IV categories was 5.21%, 2.34% and 7.84%. The backlog of carried forward vacancies for ST in Class I posts which was 3 at the beginning of 1992

instead of coming down has increased to 10 at the end of 1993. In the case of Class III posts also, the position is very unsatisfactory. In Class III posts, as against 13 ST vacancies which were carried forward at the beginning of 1991 the backlog has increased to 49 and 64 during 1992 and 1993 respectively. UTI could not wipeout the backlog for ST even in Group D post and the number of vacancies carried forward at the end of 1993 was 14. The Committee also take a serious note of the fact that instead of clearing the backlog for ST in Class IV employees even the current posts reserved for them have not been filled up. The reason for the shortfalls has been attributed mainly to the non-availability of suitable ST candidates. The Committee are not impressed by this argument. In their opinion there is lack of serious efforts on the part of the Trust to recruit adequate number of ST persons to clear the backlog.

1.13 The Committee note that a Special Recruitment Drive was undertaken by the Unit Trust of India in August 1989, 12 STs candidates were waitlisted for S.O. Grade A Post and 15 ST candidates for Assistant post. However, the number of STs who joined the services was less than the persons waitlisted. Out of 12 ST candidates waitlisted for S.O. Grade A, only 10 were appointed. Similarly, out of 15 ST candidates waitlisted only 3 were appointed as Assistants. The reason for some of the waitlisted ST candidates not being appointed was stated to be rejection of offer by the respective candidates. The Committee will like the Unit Trust of India to analyse the reasons for rejection of offers by such a large number of SC/ST candidates and to take necessary remedial measures.

1.14 The Committee note that UTI has recently undertaken a special recruitment drive in 1993 also to fill up the reserved posts. Recruitment Test for officers is already over and the results are expected to be finalised shortly. For filling up Class III and IV posts also, action has already been initiated and backlog is expected to be cleared by the end of June, 1994. The Committee will like to be apprised of the recruitment made of SC/ST by holding the special recruitment drives.

C. Procedure of Recruitment

1.15 The Committee have been informed that the Trust invariably mention the reservation percentage in its advertisements and also notify vacancies to concerned Employment Exchanges. It has also been stated that the vacancies reserved for Scheduled Castes and Scheduled Tribes are not announced over All India Radio nor telecast over Doordarshan.

1.16 As regards the reasons for not announcing the vacancies reserved for SCs/STs over All India Radio and not telecasting the same over Doordarshan, it has been stated that:

“Since UTI has been advertising the vacancies in all the leading newspapers including vernacular papers (For Class III positions) and also informing the Employment Exchanges and Association for SC/ST candidates it is not announcing vacancies on AIR and Doordarshan.”

1.17 The Committee wanted to know whether the appointing authority indicate the precise reasons for the rejection of the Scheduled Castes and Scheduled Tribes candidates to the Employment Exchanges so as to facilitate the latter in sponsoring the right type of candidates belonging to these communities. In reply, it was stated that the Trust notify the vacancies to the Employment Exchanges and advise them to sponsor suitable candidates in all categories, i.e. SC/ST/General. Precise reasons for rejections are not intimated to them afterwards.

1.18 When asked about the reasons for not intimating concerned Employment Exchanges the reasons for rejection of candidates sponsored by them, it was stated that:

"UTI informs the Employment Exchanges about the selected candidates. Since the basic reasons for rejection is failure in written examination (inspite of relaxed standard for SC/ST candidates) and/or interview, the reasons are not communicated to the Employment Exchanges."

1.19 Clarifying the position further, the Chairman, UTI stated during evidence as under:

"So far as written examination is concerned, failure of pass in the examination is a clear indication. In the case of interview it becomes very difficult to intimate to the candidates the reasons for rejection. It may invite a lot of problems. I think it is a general policy not to intimate any such thing."

D. Concessions/Relaxations given to SCs/STs

1.20 As regards the concessions/relaxations given to Scheduled Castes and Scheduled Tribes at the time of recruitment, it was stated that the Unit Trust of India do provide relaxation in respect of age and marks in the educational qualification, etc. to the SC/ST candidates as per the Government instructions for the recruitment to various posts.

1.21 The Committee note that UTI advertises the vacancies in all the leading newspapers including vernacular papers (for Class III posts) and also inform the concerned Employment Exchanges and Associations for SC/ST candidates. It does not however announce the vacancies on AIR nor telecast on Doordarshan.

The Committee also note that though the Trust notifies the vacancies to the Employment Exchanges and advise them to sponsor suitable candidates in all categories, However, the precise reasons for rejections are not intimated to them afterwards. The Committee desire that, in view of the backlog for STs in all category of posts the reserved vacancies should be broadcast on AIR and telecast over Doordarshan particularly in tribal regions as the newspapers hardly reaches remote tribal areas. They also recommend that in case of the candidates sponsored by the Employment Exchanges the reasons for their rejections specifying whether the candidates has failed in written test or interview.

should be communicated to Employment Exchanges which will help them in sponsoring suitable candidates.

E. Pre-Recruitment Training

1.22 The Committee have been informed that there was no scheme with UTI for giving pre-recruitment training to SC/ST candidates. However, the Trust did conduct pre-promotion training for SC/ST candidates.

1.23 The Committee asked about the difficulties in imparting pre-recruitment training to SC/ST candidates especially for Class I posts in UTI like many other Public Enterprises, it was stated that:

“Of the present strength of 715 Class I Officers, more than 60% of the posts were filled up during the last three years. 167 Class I Officers (SC 41/ST 11) joined the UTI during the last three years and 288 Officers were promoted to Class I cadre during the last three years (C 31/ST 12). With limited strength of officers in UTI, it is difficult as well as uneconomic for UTI which is required to provide low cost service to a very large number of unit holders (over 300 million), to arrange for pre-recruitment training to a large number of SC/ST candidates all over the country. Moreover, UTI's recruitment tests/interviews are of general nature and do not require any specific knowledge about-UTI and its operations. Pre-recruitment training provided in general by many Public Sector Banks and other Public Sector organisations for recruiting large number of Class I Officers would help prepare any SC/ST candidates to appear in UTI recruitment test/interview.”

1.24 The Committee will like to point out that instructions have been issued to the Ministries/Departments that if requisite number of SC/ST candidates fulfilling even the relaxed standards are not available to fill up the vacancies reserved for them, the authorities should select for appointment the best among the SCs and STs fulfilling the minimum educational qualifications prescribed for the posts and give them in-service training within their own offices. In view of the backlog of reserved vacancies the Committee recommend that the arrangements for providing similar training to SCs and STs candidates may be arranged by UTI to improve the intake of SCs and STs persons in the services of the Trust.

F. Checks Devised for Reservation

1.25 The Committee desired to know about the checks devised by the Ministry of Finance to ensure that the reservation orders made in favour of SCs and STs are actually implemented by the Unit Trust of India. In reply it was stated that “the Unit Trust of India is an autonomous Corporation and not directly under the control of Ministry of Finance. There is no Government investment in the Capital of Unit Trust of India. The Ministry of Finance has not devised specific checks to ensure that the reservation

orders made in favour of SCs and STs are actually implemented by Unit Trust of India. However, Ministry of Finance *vide* its letter dated 6th January, 1987 and 19th May, 1987 directed to Unit Trust of India to follow Government instructions in regard to reservations in employment”.

1.26 Clarifying the position further, the Secretary, Ministry of Finance stated during evidence as under:—

“We had taken the position earlier that the Unit Trust of India is not a Government Organisation where the Government subscribes the capital and therefore, it does not technically come under the purview of reservation. But later on in 1987, we ourselves changed our mind in the sense that although they are not technically covered, the spirit of the Government’s commitment implies that there should be a directive. So, the view taken earlier because of the statutory position was changed in 1986 for the better. It is a good thing that the Government did it. There is no other reason that I can give you as to why this decision of 1987 was not taken earlier. I would like to point out that while the question is legitimate, on the basic issue whether reservation for SC and ST candidates is done properly or not, their performance is quite good”.

1.27 The witness added “the reasons as to why Government changed its view and wrote firmly to Unit Trust of India in 1987 is because in 1986 there was a representation which was received from the Unit Trust of India Employees Welfare Association alleging that this matter be reconsidered. This representation went to the office of Commissioner for SC/ST and it was forwarded by that Office to the Ministry of Finance. Based on the advice already given by the Commissioner for SC/ST which clarified that under the statute it was not necessary to give the public interest the dimension which was involved, the administrative Ministry, namely the Ministry of Finance may like to have another look at this issue. At this stage the Ministry of Finance reconsidered the matter and felt that it was proper and correct that Unit Trust of India being a public sector Corporation should also implement the spirit of reservation. That explains why the decisions was taken in 1987”.

1.28 The Committee are unhappy to note that although Unit Trust of India came into being in 1963, the directive of the Government was issued as late as 1987. Keeping in view the spirit of reservation, Ministry of Finance should have acted early to give effect to reservation policy in Unit Trust of India.

CHAPTER II

RESERVATION IN PROMOTION

2.1 The Committee desired to know the procedure followed for promotion of employees to various categories of posts in the Unit Trust of India. In reply, it was stated that promotion from Class IV to Class III and from Class III to Class I is as per the Memorandum of Settlement on Promotion Policy dated June 14, 1982 signed between the Management of the Unit Trust of India, Bombay and the All India Unit Trust Employees' Association (AIUTEA), Bombay. The Policy regarding reservation of vacancies for promotion to Officers/Class III cadre for Scheduled Castes/Scheduled Tribes/Ex-Servicemen is as per Government Policy guideline/directive.

2.2 The Committee have been informed that Unit Trust of India is giving pre-promotion Training especially to SC/ST candidates.

2.3 On being asked what were the promotion policy of Unit Trust of India before 1982 it was stated that till 1977, the staff of Unit Trust of India was drawn from RBI on deputation. Unit Trust of India started recruiting independently from 1978 onwards and its promotion policy was signed with All India Unit Trust Employees Association (AIUTEA) in 1982.

2.4 The Committee wanted to know whether there is any provision for inclusion of SC/ST members in AIUTEA. If not, how does AIUTEA protect the interest of SCs/STs. In reply it was stated that "there are no provision in the bye-laws of AIUTEA for inclusion of SC/ST members. However, there is substantial representation of SC/ST members on the Executive Committee of AIUTEA."

2.5 The Committee have been informed that in respect of promotion from Assistant to Officer cadre, written examination is conducted in addition to interview. For other promotions selections have been made only on the basis of interviews. The Trust provides concessions/relaxations to the SC/ST candidates in the written examination.

2.6 As regards the concession/relaxations given to SC/ST candidates while considering them for promotion, a representative of UTI stated during evidence:

"Out of 30 marks for written test, one should get 35% of marks to get qualified for promotion. I may submit that no Assistant can become an Officer without passing written test. The whole promotion is made in such a manner that the element of subjectivity is reduced. In case of initial recruitment we give 5 per cent concession for SC/ST persons."

2.7 A statement showing the number of persons promoted during each of the last three years in the various grades i.e. 'A', 'B', 'C' and 'D' etc. and the number of SCs and STs among them during the years 1991, 1992 and 1993 is stated to be as under:—

1991

Grade	Eligible			Promoted		
	Gen.	SC	ST	Gen.	SC	ST
F to ED	—	—	—	—	—	—
E to 'F'	4	—	—	4	—	—
D to 'E'	3	—	—	3	—	—
C to 'D'	17	1	—	16	2	—
B to 'C'	2	—	—	1	—	—
A to 'B'	27	1	—	21	1	—
PS II to PS Gr. 'B'	—	—	—	—	—	—
Assistant to Gr. 'A'	160	22	8	43	9	3
Steno-typist to PS Gr. II	11	—	—	2	—	—

1992

Grade	Eligible			Promoted		
	Gen.	SC	ST	Gen.	SC	ST
F to ED	5	—	—	2	—	—
E to 'F'	—	—	—	—	—	—
D to 'E'	7	—	—	5	—	—
C to 'D'	11	1	—	6	1	—
B to 'C'	16	—	—	13	—	—
A to 'B'	48	7	1	32	4	1
PS II to 'B'	—	—	—	—	—	—
Assistant to Gr. 'A'	144	15	4	35	3	1
Steno-typist to PS Gr. II	9	—	—	2	—	—

1993

Grade	Eligible			Promoted		
	Gen.	SC	ST	Gen.	SC	ST
F to ED	—	—	—	—	—	—
E to 'F'	2	—	—	1	—	—
D to 'E'	10	1	—	7	—	—
C to 'D'	8	—	—	3	—	—
B to 'C'	26	7	—	9	3	—
A to 'B'	54	7	4	28	2	3
PS II to 'B'	1	—	—	1	—	—
Assistant to Gr. 'A'	198	14	8	50	7	4
Steno-typist to PS Gr. II	10	—	—	5	—	—

2.8 It is observed from the statement that from Grade B to C out of 7 eligible SC candidates only 3 were promoted, from Grade A to B, out of 7 SCs only 2 were promoted and from Assistant to Grade A, out of 14 SCs and 8 STs candidates only 7 SCs and 4 STs were promoted. In 1991, out of 22 SCs and 8 STs Assistants eligible for promotion to Grade A, only 4 SC and 3 STs were promoted. In 1992 also, out of 15 SCs and 4 STs Assistants eligible for promotion to Grade A, only 3 SC and 1 ST were promoted.

2.9 Asked about the reasons for not promoting eligible SC/ST persons the Ministry have stated that the candidates were not selected as they were not found suitable for promotion.

2.10 The details regarding promotions in UTI and the extent of shortfall in respect of promotions of SC/ST staff are stated to be as under:

Promotions	General	SC	ST	Percentage Excess (+) SC	Shortfalls (-) ST
1. From Class III to Officer cadre.	545	59	24	(-) 5.61	(-) 3.68
2. Within Class III	4	1	—	(+) 5.00	(-) 7.50
3. From Class IV to Class III.	6	5	—	(+) 30.45	(-) 7.50
4. Within Class IV	1	—	—	(-) 15.00	(-) 7.50

2.11 When asked whether the reasons for shortfalls have been analysed and if so what remedial measures are proposed to be taken to overcome the shortfalls, it was stated that shortfalls were due to non-availability of suitable candidates. "To overcome the shortfall, the Trust is reported to be giving pre-promotion training to SC/ST staff."

2.12 On being asked whether any in-service training was provided to SC/ST employees who were found below the required standard necessary for promotion, it was replied that regular orientation training programme were arranged for those SC/ST employees who were found below the required standard necessary for promotion.

2.13 The Committee are concerned to note that there has been considerable shortfall in promotion of Scheduled Tribe candidates in all categories of posts and of Scheduled Castes in promotion from Class III to Officers cadre. The shortfall of STs in promotion from Class III to Officer grade was 3.68 per cent and in all other categories 7.5 per cent. The shortfall for SCs in promotion from Class III to Officer cadre was 5.61 per cent. It is highly deplorable. The reasons for shortfall in terms of non-availability of suitable candidates is not convincing. The Committee find that eligible SC/ST candidates were available particularly in Assistant category during the years 1991, 1992 and 1993. The Committee further note that Unit Trust gives concessions/relaxations to the SC/ST candidates in the written examination. However, the Committee find that during the last three years out of the 51 SC and 20 ST officers eligible for promotion from Assistant to Grade 'A' post only 19 SC and 8 ST were promoted. The percentage of promotion of SC/ST candidates in other Groups during 1993 was also very low. As a result of which there was substantial backlog in promotion. The Committee take a serious note of it. It is a matter of grave concern that inspite of the arrangements for pre-promotional training and relaxation of minimum marks standard eligible SC/ST were not found suitable for promotion. The Committee are inclined to believe that pre-promotional training being imparted to SC/ST by Unit Trust of India is not of the desired standard. The Committee will like Unit Trust of India to analyse the reasons and arrange to improve the skill of SC/ST so that they may qualify for promotion.

CHAPTER III ORGANISATIONAL MATTER

A. Liaison Officer and SC/ST Cell

3.1 To ensure due compliance of the orders on reservation issued from time to time in favour of SCs and STs and for prompt disposal of the grievances of these employees and also to consolidate and scrutinise the statistical information relating to SC/ST employees, Ministries/Deptt./Undertakings are required to nominate Liaison Officers.

3.2 The Committee have been informed that, the Deputy Secretary (Administration), Department of Economic Affairs has been nominated Liaison Officer who is looking after the interests of Scheduled Castes and Scheduled Tribes.

3.3 In Unit Trust of India, an officer of the rank of the Deputy Manager has been nominated as Liaison Officer at HO. He is also looking after the matters pertaining to SC/ST at regional offices. The Committee have also been informed that Special SC/ST cell has been set up at the Hqrs. of the Unit Trust of India to look after the interests of SC/ST employees.

3.4 The important functions of the Liaison Officer include ensuring compliance of reservation orders, submission of annual statements and other statistical information regarding SCs/STs and to safeguard their interests in recruitment, promotion and other matters, ensuring annual inspection of rosters etc. However, the Committee were informed that rosters have not been checked by the Liaison Officer.

3.5 Regarding the number of persons working in the Cell in Unit Trust of India, it was stated that the Deputy Manager in Grade 'D' in the scale of pay of Rs. 5075-175-5950 is in-charge of the Cell. He is looking after the matters of Head Office as well as Regional Offices of Unit Trust of India. The Committee have been informed that at Head Office the Liaison Officer reviews various matters from time to time and if necessary he consults the respective Zonal Managers. The Committee desired to know whether copies of records of discussion held with SC/ST employees/association have been kept, in reply; it was stated that since all the matters are discussed and settled informally, there is no written record/notes of discussion.

3.6 The Committee enquired whether, Unit Trust of India has been sending periodical reports to the Ministry regarding representation of SC/ST in services of the Trust, In reply a representative of the Ministry of Finance stated in evidence:

“They are not giving.”

3.7 The Committee note that SC/ST Cells headed by Liaison Officers have been set up in the Ministry of Finance and Unit Trust of India at Head Office. The Liaison Officer nominated at Head Office of UTI has been looking after the problems of Scheduled Castes and Scheduled Tribes at various zonal offices also. The Committee are concerned to note that there is no written record/notes of the discussion the Liaison Officer have with the representatives of SC/ST Association. Records of their discussion and deliberations should be maintained.

3.8 The Committee are concerned to note that though Government's reservation policy is being followed by the Unit Trust of India and directive to this effect was issued to it by the Ministry of Finance in 1987, yet the Trust has not been reporting periodic representation of SC/ST to the Ministry which they are required to do in the form of returns. When asked if the Trust have been submitting quarterly/half yearly Annual Statements, a representative of the Finance Ministry candidly admitted that "they were not giving." The Committee take a serious note of it. They would like the Ministry to take up the matter with the Unit Trust of India asking it to comply with the Presidential Directives.

B. Rosters

3.9 The Committee have been informed that rosters are maintained category-wise in Unit Trust of India since its inception. For Officers, Class III and Class IV employees rosters are maintained at Corporate and Western Zonal Office. For other Class III and IV employees rosters are maintained by the respective Zonal Offices.

3.10 The Committee desired to know how many times the rosters maintained by Unit Trust of India have been inspected by the Liaison Officer during the last 3 years. In reply, the Committee have been informed that "rosters have not been inspected so far by the Liaison Officer of the Ministry".

3.11 The Committee enquired about the reasons for not inspecting the rosters by the Liaison Officer of the Ministry. In reply, it was stated that "Unit Trust of India has been implementing the reservation policy of the Government satisfactorily. Therefore, the necessity of inspecting the rosters by the Liaison Officer of the Ministry has not been felt. Besides, strictly Unit Trust of India is not one of those institutions to which the reservation provision would apply".

3.12 The Committee are deeply concerned to note that rosters maintained by the Unit Trust of India have not been inspected so far by the Liaison Officer of the Ministry. The reasons for not inspecting rosters, as given by

the Ministry are that Unit Trust of India has been implementing the reservation policy of the Government satisfactorily and strictly Unit Trust of India is not one of those institutions to which the reservation provision would apply. This reasoning is hardly convincing to the Committee. Once the issue of reservation of posts for SCs and STs in Unit Trust of India has been decided in 1987, the Committee feel, it was obligatory on the part of the Ministry of Finance to follow the prescribed procedure as detailed in the Brochure on reservation for SCs and STs. Only a close scrutiny of rosters can establish the claim that Unit Trust of India has been implementing reservation policy satisfactorily. They expect that in future instructions issued in this regard would be strictly adhered to and the rosters would be inspected periodically by Liaison Officers of the Department of Economic Affairs besides the Liaison Officers of Unit Trust of India to ensure proper implementation of reservation orders.

C. Complaints/Grievances

3.13 The Committee were informed that in Unit Trust of India, grievances of SC/ST employees are addressed to the Management which are dealt with promptly. However, no complaint register was being maintained in Unit Trust of India.

3.14 When the Committee desired to know the reasons for not maintaining complaint/grievances Register for SC/ST and how could fair and expeditious disposal of complaints/grievances of SC/ST employees be ensured in the event of non-maintenance of such a register, it was stated in a post evidence that Unit Trust of India has not received any complaints/grievance from SC/ST employees so far. So the need for complaint register is not felt.

3.15 The Committee take a serious view of this contradictory statement made by the Unit Trust of India in regard to complaints from SC/ST employees. They regret to note that instead of maintaining proper records of complaints/grievances from SC/ST, the Unit Trust of India first sought to justify it by making a claim that these are dealt with promptly and stating subsequently that no complaint/grievance has been received from SC/ST employees so far. The Committee recommend that at least in future proper complaint register should be maintained as per directives of Government to ensure that the grievances of SC/ST are attended to urgently.

CHAPTER IV
SOCIO-ECONOMIC DEVELOPMENT

4.1 The Committee have been informed that Unit Trust of India has been undertaking various special schemes under staff welfare fund, which are available to all the categories of staff. The yearly allocation to staff welfare fund and the amount spend during the last 3 years are stated to be as under:—

Year	Allocation	Amt. Spent
1991	Rs. 10,00,000/-	Rs. 22,000/-
1992	Rs. 10,00,000/-	Rs. 2,86,478/-
1993	Rs. 10,00,000/-	Rs. 2,85,410/-

4.2 It was also stated that the Central Staff Welfare fund started with effect from August, 1991.

4.3 As regards other social schemes, the representative of Unit Trust of India stated during evidence that "Raj Lakshmi Scheme is one of such kind of schemes to raise status of women. Unit Turst of India has also launched a scheme for senior citizens to help them meet their hospitalisation and medical treatment expenses. Yet another scheme for victims of Bhopal Gas has been taken up". In this context, the Committee enquired if the Unit Trust of India has over thought of any scheme to assist SC and ST people and also providing credit facilities to them under Special Component Plan and Tribal Sub-Plan. In reply, the Chairman, Unit Trust of India stated in evidence:—

"I will be most happy if you have any suggestion on this and in what manner we can go about doing certain things for them. But major assumption is, first they should have some ability to save. We will pay attention to this subject".

4.4 The Committee note that Unit Trust of India has started a staff welfare fund and has contributed Rs. 30 lakhs during the last 3 years. Various schemes for welfare of staff have been taken up which this amount and about Rs. 6 lakh have been expended on these schemes. The Committee hope that welfare of SC/ST employees will also be well taken care by the Unit Trust of India by taking up such schemes which will have more relevances for them.

4.5 The Committee desire that the Unit Trust of India should devise some suitable schemes for the Socio-Economic Development of SCs/STs

as is being done by various other Central Government public undertakings.

NEW DELHI;
21 April, 1994
1 Vaisakha, 1916 (S)

PARAS RAM BHARDWAJ,
Chairman,
Committee on the Welfare of
Scheduled Castes and
Scheduled Tribes.

APPENDIX

(Vide para 4 of Introduction)

Summary of Conclusions/Recommendations contained in the Report

Sl. No.	Para No. of the Report	Recommendations
1	2	3
1.	1.12	<p>The Committee regret to note the shortfall in employment of STs in UTI. The representation of ST employees in officers, Class III and Class IV categories was 5.21%, 2.34% and 7.84%. The backlog of carried forward vacancies for ST in Class I Posts which was 3 at the beginning of 1992 instead of coming down has increased to 10 at the end of 1993. In the case of Class III posts also, the position is very unsatisfactory. In Class III posts, as against 13 ST vacancies which were carried forward at the beginning of 1991 the backlog has increased to 49 and 64 during 1992 and 1993 respectively. UTI could not wipe-out the backlog for ST even in Group D posts and the number of vacancies carried forward at the end of 1993 was 14. The Committee also take a serious note of the fact that instead of clearing the backlog for ST in Class IV employees even the current posts reserved for them. have not been filled up. The reason for the shortfalls has been attributed mainly to the non-availability of suitable ST candidates. The Committee are not impressed by this argument. In their opinion there is lack of serious efforts on the part of the Trust to recruit adequate number of ST persons to clear the backlog.</p>
2.	1.13	<p>The Committee note that a Sepcial Recruitment Drive was undertaken by the Unit Trust of India in August 1989, 12 STs candidates were waitlisted for S.O. Grade A posts and 15 ST candidates for Assistant' post. However, the number of STs who joined the services was less than the persons wait-listed.</p>

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Out of 12 ST candidates waitlisted for S.O. Grade A, only 10 were appointed). Similarly, out of 15 ST candidates waitlisted only 3 were appointed as assistants. The reason for some of the waitlisted ST candidates not being appointed was stated to be rejection of offer by the respective candidates. The Committee will like the Unit Trust of India to analyse the reasons for rejection of offers by such a large number of SC/ST candidates and to take necessary remedial measures.

3. 1.14

The Committee note that UTI has recently undertaken a special recruitment drive in 1993 also to fill up the reserved posts. Recruitment Test for officers is already over and the results are expected to be finalised shortly. For filling up Class III and IV posts also, action has already been initiated and backlog is expected to be cleared by the end of June, 1994. The Committee will like to be apprised of the recruitment made of SC/ST by holding the special recruitment tests.

4. 1.21

The Committee note that UTI advertises the vacancies in all the leading newspapers including vernacular papers (for Class III posts) and also inform the concerned Employment Exchanges and Associations for SC/ST candidates. It does not however announce the vacancies on AIR nor telecast on Doordarshan.

The Committee also note that though the Trust notifies the vacancies to the Employment Exchanges and advise them to sponsor suitable candidates in all categories, however, the precise reasons for rejections are not intimated to them afterwards. The Committee desire that, in view of the backlog for STs in all category of posts the reserved vacancies should be broadcast on AIR and telecast over Doordarshan particularly in tribal regions as the newspapers hardly reaches remote tribal areas. They also recommend that in case of the candidate sponsored by the Employment Exchanges the reasons for their rejection specifying whether the candidates has failed in written test or interview should be communicated to Employment Exchanges which will help them in sponsoring suitable candidates.

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5. 1.24 The Committee will like to point out that instructions have been issued to the Ministries/Departments that if requisite number of SC/ST candidates fulfilling even the relaxed standards are not available to fill up the vacancies reserved for them, the authorities should select for appointment the best among the SCs and STs fulfilling the minimum educational qualifications prescribed for the posts and give them in-service training within their own offices. In view of the backlog of reserved vacancies the Committee recommend that the arrangements for providing similar training to SCs and STs candidates may be arranged by UTI to improve the intake of SCs and STs persons in the services of the Trust.
6. 1.28 The Committee are unhappy to note that although Unit Trust of India came into being in 1963, the directive of the Government was issued as late as 1987. Keeping in view the spirit of reservation, Ministry of Finance should have acted early to give effect to reservation policy in Unit Trust of India.
7. 2.13 The Committee are concerned to note that there has been considerable shortfall in promotion of Scheduled Tribe candidates in all categories of posts and of Scheduled Castes in promotion from Class III to Officers cadre. The shortfall of STs in promotion from Class III to Officer grade was 3.68 per cent, and in all other categories 7.5 per cent. The shortfall for SCs in promotions from Class III to Officer cadre was 5.61 per cent. It is highly deplorable. The reasons for shortfall in terms of non-availability of suitable candidates is not convincing. The Committee find that eligible SC/ST candidates were available particularly in assistant category during the years 1991, 1992 and 1993. The Committee further note that Unit Trust gives concessions/relaxations to the SC/ST candidates in the written examination. However, the Committee find that during the last three years out of the 51 SC and 20 ST officers eligible for promotion from Assistant to Grade 'A' post only 19 SC and 8 ST were promoted. The percentage of promotion of SC/ST candidates in other Groups
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during 1993 was also very low. As a result of which there was substantial backlog in promotion. The Committee take a serious note of it. It is a matter of grave concern that inspite of the arrangement for pre-promotional training and relaxation of minimum marks standard eligible SC/ST were not found suitable for promotion. The Committee are inclined to believe that pre-promotional training being imparted to SC/ST by Unit Trust of India is not of the desired standard. The Committee will like Unit Trust of India to analyse the reasons and arrange to improve the skill of SC/ST so that they may qualify for promotion.

8. 3.7 The Committee note that SC/ST Cell headed by Liaison Officers have been set up in the Ministry of Finance and Unit Trust of India at Head office. The Liaison Officer nominated at Head Office of UTI has been looking after the problems of Scheduled Castes and Scheduled Tribes at various zonal offices also. The Committee are concerned to note that there is no written record/notes of the discussion the Liaison Officer have with the representatives of SC/ST Association. Records of their discussion and deliberations should be maintained.

9. 3.8 The Committee are concerned to note that though Government's reservation policy is being followed by the Unit Trust of India and directive to this effect was issued to it by the Ministry of Finance in 1987, yet the Trust has not been reporting periodic representation of SC/ST to the Ministry which they are required to do in the form of returns. When asked if the Trust have been submitting quaterly/half yearly Annual Statements, a representative of the Finance Ministry candidly admitted that "they were not giving." The Committee take a serious note of it. They would like the Ministry to take up the matter with the Unit Trust of India asking it to comply with the Presidential Directives.

10. 3.12 The Committee are deeply concerned to note that rosters maintained by the Unit Trust of India have not been inspected so far by the Liaison Officer of the Ministry. The reasons for not inspecting rosters,

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as given by the Ministry are that Unit Trust of India has been implementing the reservation policy of the Government satisfactorily and strictly Unit Trust of India is not one of those institutions to which the reservations provision would apply. This reasoning is hardly convincing to the Committee. Once the issue of reservation of posts for SCs and STs in Unit Trust of India has been decided in 1987, the Committee feel, it was obligatory on the part of the Ministry of Finance to follow the prescribed procedure as detailed in the Brochure on reservation for SCs and STs. Only a close scrutiny of rosters can establish the claim that Unit Trust of India has been implementing reservation policy satisfactorily. They expect that in future instructions issued in this regard would be strictly adhered to and the rosters would be inspected periodically by Liaison Officers of of Department of Economic Affairs besides the Liaison Officers of Unit Trust of India to ensure proper implementation of reservation orders.

11. 3.15

The Committee take a serious view of this contradictory statement made by the Unit Trust of India in regard to complaints from SC/ST employees. They regret to note that instead of maintaining proper records of complaints/grievances from SC/ST, the Unit Turst of India first sought to justify it by making a claim that these are dealt with promptly and stating subsequently that no complaint/grievance has been received from SC/ST employees so far. The Committee recommend that at least in future proper complaint register should be maintained as per directives of Government to ensure that grievances of SC/ST are attended to urgently.

12. 4.4

The Committee note that Unit Trust of India has started a staff welfare fund and has contributed Rs. 30 lakhs during the last 3 years. Various schemes for welfare of staff have been taken up with this amount and about Rs. 6 lakh have been expended on these schemes. The Committee hope that welfare of SC/ST employees will also be well taken care by the Unit Trust of India by taking up such schemes which will have more relevances for them.

13. 4.5

The Committee desire that the Unit Trust of India should devise some suitable schemes for the socio-economic development of SC/STs as is being done by various other Central Government public undertakings.

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