

GOVERNMENT OF ODISHA  
FINANCE DEPARTMENT

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No 22087 /F,  
FIN-PF-MISC-0001-2014

Date 26/7/2014

From

Sri U.N.Behera, IAS  
Additional Chief Secretary to Government.

To

The Additional Chief Secretary to Government/  
Principal Secretaries to Government/  
Commissioner-cum-Secretaries to Government/  
Special Secretary to Government/  
E.I.C-cum-Secretary to Government  
All Departments of Government

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

Sir,

I am directed to say that, Inter-Ministerial Committee under the Chairmanship of Secretary, Planning Commission, after detailed deliberations with the stakeholder, including State Governments, has revised the guidelines for implementation of SCSP and TSP by States/UTs 'to effectively implement Scheduled Caste Sub-Plan Committee (SCSP)/Tribal Sub-Plan (TSP) as an essential instrument for accomplishing inclusive growth'.

2. A copy of each of the proposed revised guidelines issued by Planning Commission (SJ & E Division), Government of India vide their Office Memorandum No.M-11012/03/2013-SJ&SW, Dt.18.06.2014 is enclosed for kind reference. These guidelines are in supersession of guidelines issued by Planning Commission/Government of India from time to time including guidelines dated 31<sup>st</sup> October, 2005.

3. The "Revised Guidelines for Implementation of SCSP/TSP" are to be followed by all Departments of Government and the ST & SC Development, Minorities and Backward Classes Welfare Department being the Nodal Department are required to monitor the implementation of the provisions of the revised guidelines by the Departments.

I would, therefore, request you to put in place the necessary implementation mechanism for allocation of funds to target group and other measures prescribed in the guidelines.

Yours faithfully,

  
26/7/2014

Additional Chief Secretary to Government.

Memo No 22088 /F,

Date 26/7/2014

Copy with copy of the enclosure forwarded to the Private Secretary to Development Commissioner-cum-Additional Chief Secretary to Government with a request to place it before D.C.-cum-ACS.

*DPriwal*  
Deputy Secretary to Govt.  
26-7-14

Memo No 22089 /F,

Date 26/7/2014

Copy with copy of the enclosure forwarded to FAs/AFAs of all Departments of Government for information and necessary action.

*DPriwal*  
Deputy Secretary to Govt.  
26-7-14

Memo No 22090 /F,

Date 26/7/2014

Copy with copy of the enclosure forwarded to all Budget and Expenditure Branches of Finance Department for information and necessary action.

*DPriwal*  
Deputy Secretary to Govt.  
26-7-14

Memo No. 22091 /F,

Date 26/7/2014

Copy with copy of the enclosure (both hard copy & soft copy) forwarded the Head, State Portal Group, IT Centre, Odisha Secretariat with a request to upload the same in the website Finance Department with the caption "Revised Guidelines for Implementation of SCSP/TSP by the States/UTs.".

*DPriwal*  
Deputy Secretary to Govt.  
26-7-14

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Finance Deptt



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

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




**Office Memorandum**

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

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

2. This issues with the approval of competent authority.

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

Chief Secretary  
Government of Orissa  
Bhubaneswar 751 001

**Guidelines:- Proposed Revised Guidelines for Implementation of SCSP by the States/UTs**

**1. Introduction**

1.1 The Committee has taken note of the detailed guidelines relating to the Scheduled Caste Sub Plan (SCSP) for the Scheduled Castes, issued by the Central Government from time to time. The basic objective of the SCSP has been to channelize the flow of outlays and benefits from the general sectors in the Plan of States for the development of Scheduled Castes, at least in proportion to their population, both in physical and financial terms. It has been observed that several State Governments have not been earmarking adequate funds to SCSP, proportionate to the share of SCs in the population. It is therefore reiterated that Scheduled Caste Sub Plans should be an integral part of Annual Plans as well as Five Year Plans, making provisions therein non-divertible and non-lapsable, with the objective of substantial reduction in poverty and unemployment among SCs and for bridging the gaps in their socio-economic development.

1.2 'Way Forward Strategy for XII Plan' on SCSP has proposed a paradigm shift from 'post-facto accounting' to 'pro-active planning' approach with regard the sub plans. The Twelfth Plan proposes a set of key implementation measures to strengthen the SCSP such as - Earmarking of the SCSP funds from the total plan outlays well in advance of the commencement of the financial year, preparation of pro-active planning documents as Sub-Plans, building up an institutional framework to effectively implement these changes etc. The Committee has prepared its report against this backdrop.

1.3 A consultation meeting was organised by the MSJE with the States/UTs on the draft SCSP Bill, on 3.7.2013.

1.4 The Committee feels that it is necessary to ensure the economic, educational and human development as well as the security and social dignity of the Scheduled Castes, achieving equality with the non-Scheduled Caste population in a time bound manner. Earmarking a portion of the total plan outlay of the State Government in proportion to the Scheduled Castes population for SCSP, and putting in place an effective institutional mechanism for preparation, implementation and monitoring of the Sub Plans should be an essential component of our policy relating to the scheduled castes. The strategy to achieve these objectives is proposed in the ensuing paragraphs:

**2. Identification of the target group**

2.1 The SECC database should be utilised in those States where the data has been published in order to identify the beneficiaries and map the families residing in the States. Therefore, a consolidated database of all the citizens with their general/economic attributes should be readily available with the States. The State government should clearly determine the SC families residing in their domain and assign a unique identity number to the families (same as Aadhaar where this number has been assigned to the individuals), since government benefits mostly accrue to the families and not to individuals. This list should be made accessible to all the programme managers/Departments and also the Banks so that they are able to facilitate the social and financial inclusion through their programmes. After identification, the target groups can be linked

with the various programmes of the State and Central government that are meant for the SCs. In States where SECC has not been finalised, we may use other criterion to decide the beneficiaries.

### **3. Institutional framework**

#### **A. State level**

3.1 Effective organisational framework and the associated mechanisms are pre-requisites to make any scheme successful. It is therefore felt that a suitable institutional mechanism should be put in place by the State Governments for the implementation of the SCSP. The following institutional framework is proposed to administer the overall SCSP:

#### **Nodal Departments**

3.2 Presently, Social Welfare Departments in the States are not adequately strengthened or empowered to perform the role of the Nodal Department and are therefore unable to have any control over the line departments. Even State Finance Departments do not act as per their advice or suggestions. The Committee therefore recommends that the Social Welfare Department or the Department implementing SC welfare schemes should be declared as the nodal department for implementation of SCSP in the State. The Nodal Departments in the States should be given adequate powers to implement the SCSP.

3.3 The Nodal Departments should not only be strengthened with adequate powers to clear the schemes proposed by other Departments to be covered under SCSP, they should also be empowered to carry out the appraisal of Schemes, intensive monitoring and evaluation of sub plans. This Department should have powers for introducing the mid-term corrections after taking into due consideration the development needs of SCs. In sum, the nodal departments may be made responsible for appraisals, approvals and issue of sanctions and effective implementation and monitoring of SCSPs. Basically the nodal departments will have to discharge following key responsibilities, namely:

- Estimation of the gaps in development of SCs and others with the help of line departments;
- Prioritising the development needs of the Scheduled Castes in consultation with the primary stakeholders;
- Designing schemes that have the potential to accelerate the development of Scheduled Castes and bridge the gaps in development in a time bound manner;
- Prepare the Sub-Plan consisting of the Scheduled Caste Sub-Plan Schemes after due appraisal.

The State Government shall strengthen the Nodal Department appropriately by establishing an Administrative and Technical Support Unit and a Sub-Plan Research Centre, to perform the functions and discharge the duties assigned to it and to assist the respective Nodal Agencies.

#### **Nodal Agency**

3.4 A Nodal Agency may be constituted by the States and it will be given suitable functions for implementing the SCSP. The Agency will be assisted by the nodal Department while performing its

functions. With the assistance of the nodal Department of the State Government the Nodal Agency may:

- i. Evaluate and appraise Scheduled Castes Sub-Plan proposed by the Departments and recommend for sanction by the State Scheduled Castes Development Council such Schemes which will confer direct and measurable benefits to Scheduled Castes;
- ii. Prepare Scheduled Castes Sub-Plan for placing before the State Scheduled Castes Development Council for consideration and approval;
- iii. Recommend reallocation of Scheduled Castes Sub-Plan funds from a department to other department of State Government and re-appropriation of Scheduled Caste Sub Plan Fund within the overall budgetary framework;
- iv. Review the implementation and monitoring of the Scheduled Castes Sub Plan;
- v. Identify impediments and suggest measures for overcoming the impediments;
- vi. Maintain transparency in expenditure, maintain Scheme wise details,
- vii. Set up a web portal for tracking the progress of the implementation, expenditure, output and outcome indicators of Scheduled Castes Sub-Plan;
- viii. Facilitate at least annual social auditing of expenditure of Scheduled Castes Sub-Plan funds and facilitate analysis of improvement in Human Development Index against the projections for the country.

The directions of the Nodal Agency will be binding on the Departments of the State Government.

#### **Scheduled Castes Development Council**

3.5 For effective implementation of the SCSP, the State Governments may constitute a Council under the Chief Minister, known as the Scheduled Castes Development Council. This council will perform the functions that will be assigned to it by the State Governments. The council will meet at least thrice in a year and will perform the following functions:

- i. Advise the Departments of State Government on all the policy matters relating to Scheduled Castes Sub-Plan;
- ii. Suggest measures for proper planning and implementation of the Schemes by the Departments of the State Government;
- iii. Approve the Annual Scheduled Castes Sub-Plan proposal of the Departments of the State Government;
- iv. Perform such other functions as may be prescribed for it by the State Government.

The Scheduled Castes Development Council may recommend for the establishment of a Sub-Plan Support Unit, in a prescribed manner, to manage the respective Scheduled Castes Sub-Plan. In India four districts, viz. Shahid Bhagat Singh Nagar, Muktsar, Ferozpur and KOOch Bihar are having SC population more than 40%. Therefore, District Scheduled Castes Development Board may be constituted in each District.

#### **B. District Level**



3.6 For the Districts having at least 40% Scheduled Castes population, the State governments will constitute a District Scheduled Castes Development Board for discharging the functions and duties such as identifying the development gaps in the district between the SC groups and others, making projections for funds, designing and selection of schemes to be forwarded to the State level agency. The Board should meet regularly for identifying the appropriate schemes and projects, monitoring the projects and resolving the implementation issues relating to the SCSP at the grassroots level.

#### **C. Gram Sabha level**

3.7 A Committee should be set up for identification of local level issues and selection of the suitable schemes that will benefit the SC population of the village at the gram sabha level. The gram sabha should send regular feedbacks and data relating to the SCSP schemes.

#### **4. Preparation of the Sub-Plans**

4.1 The nodal Departments identified for implementation of Scheduled Castes Sub-Plan (SCSP), should study the Human Development Indicators of the SC groups and general population and also their income/employment levels. On the basis of the development needs of the Scheduled Castes they should design such schemes that have the potential to bridge the gap in the development levels of the Scheduled Castes and eliminate the regional disparities.

4.2 At the beginning of every year, all the Departments should submit to the Nodal Department of State Government, the Sub-Plans and schemes which are proposed to be appraised and included in the Scheduled Castes Sub-Plan. The Nodal Agency should approve the schemes after properly appraising them. In this manner the nodal Departments can prepare a Scheduled Caste Sub-Plan.

#### **5. Schemes under the Scheduled Castes Sub-Plans**

5.1 The Committee is informed that there has been poor utilisation of the allocated funds for the welfare of SCs and STs. In some cases, it has been reported that funds meant for SCSP have been diverted and/or used in sectors not benefiting SC population directly. In some instances the line departments have been allocating funds for the schemes/projects meant for SCs but they do not have enough scope for tailor made projects and schemes suitable to their specific needs. There is no focus on entrepreneurship, employment and skill development projects.

5.2 Therefore the Committee strongly favors the formulation of such specific schemes for the benefit of the SCs which will increase employability of the beneficiaries. The SCSP should include only such existing schemes or new schemes which fulfill the following norms:-

- i. The schemes which have the potential to accelerate the pace of development of the SCs and to bridge the socio-economic development indicators between SCs as compared to the advanced sections of the society.
- ii. The schemes should secure quantifiable benefits to the scheduled caste households or are as majorly inhabited by the scheduled castes.

- iii. Those schemes should be included in the SCSP that enhance the incomes of the target group and lead to the development of assets such as those related to sectors like- agriculture, animal husbandry, dairy development, fisheries, and Agriculture/allied sectors.
- iv. The States should give priority to such schemes which provide basic minimum services like primary education, health, drinking water, nutrition, rural housing, and link roads and electrification to SC villages.

5.3 The States/UTs having SC population shall fix clearly defined targets, based on parameters like educational status, enrolment, occupation, health indicators, per capita income, access to basic amenities like drinking water, housing etc. taking into account the national targets. Efforts should be made to achieve the assigned targets.

## 6. Scheduled Caste Sub Plan Fund

6.1 The State governments should build a Scheduled Caste Sub Plan Fund for generating resources for implementing the schemes for the development of the SCs. They should evolve norms on the basis of which they should apportion a part of their total plan outlay every financial year for being utilised under SCSP. This outlay should be proportionate to the scheduled caste population, as per the latest census figures. This should be called the '**Scheduled Caste Sub Plan Fund**'. Similarly, women population proportionate fund should be allocated out of the Scheduled Caste Sub Plan Fund for targeted programmes for Scheduled Caste women. Before commencement of the next financial year, the Nodal department of the State Governments should communicate to the line Departments, a tentative plan outlay which has been earmarked for preparation of Scheduled Castes Sub-Plan.

6.2 Nodal departments must ensure that the funds are earmarked in the following manner:-

- SCSP fund should be made available only for supporting the Sub Plans appraised and approved by the Nodal Agency of the State Government.
- The funding under various schemes / programmes including flagship programmes should be provided to the scheduled caste individuals or SC households, both in physical and financial terms as well. Thus, the expenditure under SCSP should be meant only towards filling the development deficits as an additional financial support over and above the normal provisions which should be available to SCs like others in various schemes.
- Notional allocations are mere paper figures that do not have flows/schemes directly benefitting SCs. Therefore, practice among the States showing notional allocations should be avoided.
- The synergy of inter-sectoral programmes and convergence with other schemes should be ensured for better utilisation of resources.
- The nodal department should ensure timely release of funds to the concerned development departments who in turn should ensure immediate release of funds to their field level implementing agencies. Any lapse on the part of field level implementing agencies in timely utilization of funds and proper implementation of the schemes may be viewed seriously.
- The funds under SCSP should be earmarked under a single budget demand-head under the control of the Nodal Department and the State should devise a mechanism for direct/speedy transfer of funds.



## **Norms for the SCSP Schemes**

6.3 The Nodal Agency, while indicating allocation of the Scheduled Castes Sub-Plan Fund to the Scheduled Castes Sub-Plan Schemes shall observe the following norms namely:

- i. Schemes which are exclusively benefiting Scheduled Caste individuals or Scheduled Caste households, 100% of Scheme cost shall be allocated and accounted for under Scheduled Castes Sub-Plan fund;
- ii. For Schemes benefitting Scheduled Caste habitations, 100% of Scheme cost shall be allocated and accounted for under the Scheduled Castes Sub-Plan fund.
- iii. In case of other habitations the cost shall be allocated and accounted for under Scheduled Castes Sub-Plan in proportion of the population of the Scheduled Castes;
- iv. For general Schemes, included in the Sub-Plans, benefitting Scheduled Castes individuals or Scheduled Caste households, alongwith others, the Scheme cost shall be allocated and accounted for under the Scheduled Castes Sub-Plan, in proportion to the Scheduled Caste beneficiaries actually covered;
- v. In respect of non-divisible infrastructure works a portion of the Scheme cost, as may be determined by the State government, will be deemed to have been attributed for Scheduled Castes Sub-Plan. This fraction cannot, however, exceed one-third of the percentage of SC population in the state.

## **7. Selection of the Sub Plans and Budget Provision**

7.1 The Schemes that fulfill the requisite norms will be recommended by the Nodal Agency for inclusion in the Annual Plan proposals of the State Government and placed for approval before the Scheduled Castes Development Council. Upon approval of the budget by the Scheduled Castes Development Council, the Scheduled Castes Sub-Plan will be included in the Demands for Grants for the departments of the State Government. There will be a separate major Budget Head for the Scheduled Castes Sub-Plan. An exclusive division in the Finance Department of the State Government should perform the functions relating to Budget implementation and allocation of SCSP.

7.2 Budget Release Orders should be issued to each Department of State immediately after passing of the budget by the State legislature.

7.3 The funds remaining unutilized during a particular year should be credited into a separate fund, which will be used for the Schemes exclusively meant for the benefit of Scheduled Castes.

## **8. Monitoring and Evaluation of SCSP**

8.1 The Vigilance and Monitoring Committees may be constituted with a view to fulfilling the objective of ensuring quality of expenditure, particularly, in the context of large public funds being spent under the programmes relating to the SCSP. These Committees would keep a watch on the implementation of the Programmes as per the prescribed procedures and Guidelines.

8.2 The objective is to put in place a mechanism to monitor the execution of the Schemes involving the people's elected representatives, other members of civil society and non-governmental

organizations, in the most effective manner and within the given time frame so that public funds are put to optimal use. These Committees are also to effectively liaise and coordinate with the different departments of the State Governments.

8.3 The Committee will monitor the selected Schemes of the SCSP empowerment implemented in the State/District/Block and closely watch the flow of funds at various channels including the funds allocated, funds released by both Centre and the State, utilization and unspent balances under each Scheme.

8.4 The District/Block level committees will review the progress of implementation of schemes and utilization of funds on monthly basis and the State level committees will review the progress on quarterly basis.

8.5 The State/District and Block level committees should be constituted on the pattern of committees constituted by the Ministry of Rural Development by involving elected members (MPs, MLAs and Panchayat members, and other prominent leaders in the districts) for monitoring of these programmes. Meetings of the Vigilance & Monitoring Committee at each level are to be held after giving sufficient notice to the Hon'ble MPs/MLAs and all other Members.

8.6 Evaluation to assess the impact of schemes implemented under SCSP, on the socio-economic conditions of SCs may be got conducted by the nodal department on regular basis. Dissemination of information to SCs all over the State/UT about the schemes/programmes available for their development may be the responsibility of the nodal department.

#### **9. Transparency and accountability**

Each Department of the State Government should ensure transparency and accountability at all levels in the implementation of Scheduled Castes Sub-Plan Schemes.

No.M11012/03/2013-SJ & SW  
Planning Commission  
(SJ & E Division)

- i. Each Department should host the documents in their respective public domain.
- ii. The States should place the funds earmarked for SCSP under a separate Minor Head below the functional major head/sub-major heads to ensure their non-divertability to any other scheme.
- iii. Social auditing should be done every year. A grievance redressal cell for time-bound redressal of complaints within three months should be set up.
- iv. The performance/outcome budget on SCSP should be published every year providing details about the schemes and programmes implemented for the benefits of SCs, accessibility of the targeted SC beneficiaries to the intended benefits of the Schemes/programmes and trends in identified socioeconomic indicators indicating clearly the gaps between SCs and other groups of the population.
- v. The nodal department may also ensure the follow up of the schemes implemented and maintenance of proper records on assets created under SCSP in District/Block etc.
- vi. The State Governments will formulate an appropriate Scheme, to award incentives for commendable performance and disincentives for proven negligence and lack of due diligence, in discharge of responsibilities by the concerned functionary or official.
- vii. The Nodal Department of the State governments should lay before each House of State legislature, where there are two Houses (and where there is one House of State legislature, before that House), an Annual Report on outcome of implementation of Scheduled Castes Sub-Plan containing Department-wise achievements and the un-utilized funds during the financial year under report.

## **Guidelines : Proposed Revised Guidelines for Implementation of TSP by the States/UTs**

### **1.1 Objective:**

The objective of the TSP is to bridge the gap between ST population and others by accelerating the development of STs by securing to them :

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

### **1.2 Role of Nodal Department**

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

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

The Nodal Department shall:

- i. Identify socio-economic indicators to highlight development deficits of ST population
- ii. Conduct a critical gap analysis to assess the deprivation of STs on identified socio-economic parameters
- iii. Identify priority-areas under TSP in consultation with line departments .
- iv. Prepare a comprehensive perspective TSP and Prepare Annual TSP documents taking into account various sources of funding
- v. Examine various on-going schemes and their budgetary allocations and suggest new schemes on the basis of assessment and discussions with the concerned line Departments
- vi. Suggest strategic measures, set target-oriented specific socio-economic indicators for various programmes/schemes in consultation with the line departments;
- vii. Grant approval for introduction of new schemes.
- viii. Grant approval for re-appropriation of TSP funds from one department to another after mid-year review.
- ix. Undertake scrutiny of the schemes/programmes submitted by the line departments to ensure that (i) concerned departments are providing for STs in their budget and plans funds and guidelines to the same extent as is available to other populations, in proportion to their requirement, (ii) that only those schemes/programmes, that fulfill the criteria of securing

No.M11012/03/2013-SJ & SW  
Planning Commission  
(SJ & E Division)

direct benefits to ST individuals, households and localities and are aligned to the strategic objectives of TSP are included in the TSP. (iii) service delivery standards under various departmental schemes are established and adhered to.

- x. Submit such proposals, with their evaluation, to the Executive Committee for appraisal.
- xi. Design a comprehensive monitoring framework with well-defined indicators
- xii. Co-ordinate progress of various schemes/ programmes .
- xiii. Devise a mechanism for speedy transfer of funds directly to field formations under intimation to District Headquarters, instead of being routed through District Headquarters, by enforcing on them a system of accountability for effective utilization of the funds.
- xiv. Conduct evaluation to assess the impact of schemes implemented under TSP, on the socio-economic conditions of STs on regular basis.
- xv. Ensure the follow up of the schemes implemented and maintenance of proper records on assets created under TSP in District/Block etc.
- xvi. Ensure that service delivery is standardized and adhered to in time-bound manner.
- xvii. Ensure transparency and accountability at all levels in the implementation of TSP schemes and dissemination of information electronically relating to schemes/programmes, allocation and expenditure along with physical targets and achievements in respect of each department and placing this information in public domain.
- xviii. Ensure that all the institutional mechanisms are established at various levels , i.e State, District, Block, Gram Sabha etc., as laid down in the guidelines.
- xix. Ensure that the gaps still remaining under the TSP financing pattern are highlighted for each ITDPs/ITDAs/MADA/Cluster/State level at the time of TSP financial allocations so as to facilitate the synchronization of the gap filling role of the Ministry's scheme SCA to TSP with the gaps identified in TSP.
- xx. Ensure that time bound action is initiated by various departments to meet the requirements of these guidelines.

### 1.3 Perspective Document and Annual Plans

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

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

- i. Strategy to address the gaps and deficits in terms of relevant schemes taking into consideration the strengths of the tribals community, allocation of funds, fixing physical targets to address inter-tribal and inter-habitation variance /inequalities in their socio-economic status and an equity based approach. The needs of the Particularly Vulnerable Tribal Groups (PTGs) will be accorded priority with focused approach and special attention to improve their conditions of food security, health and education for mainstreaming these sections.
- ii. The strategy should define priorities for the TSP with a focus on long-term sustained gains in relation to area development.
- iii. Likely flow of benefits, in financial as well as physical terms, and specific steps required for accessing benefits by the tribals from each of the national (and State) level Flagship Schemes.
- iv. Role and contribution of NSTFDC and State level STFDC and TRIFED etc.

- v. Critical evaluation to assess whether the ongoing schemes/ programmes have the potential to accelerate the pace of development of STs and result in bridging the gap in development in a time-bound manner.
- vi. mechanisms/surveillance system to ensure utilization of funds meant for the intended purpose.
- vii. Evaluation as to how TSP has and is likely to help the STs in respect of the following key areas concerning STs:
  - a) Prevention of land alienation and indebtedness
  - b) Access and control over forest and effective implementation of FRA and PESA, wherever applicable
  - c) Involuntary displacement due to development projects, proper rehabilitation
- viii. Outcome Analysis with critical evaluation of implementation strategies in terms of effectiveness of schemes/programmes.

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

#### 1.4 Selection of schemes/programmes

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

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

#### 1.5 Earmarking/ Allocation of funds

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

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

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

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

- i. The expenditure under TSP is meant only for filling the development deficit, as an additional financial support, **over and above the normal provisions which should be available to STs, like others**, in various schemes, including in flagship programmes.
- ii. The funds under TSP are earmarked from the total plan outlays (not excluding the investments under externally aided Projects-EAPs and any other scheme), not less than the



No.M11012/03/2013-SJ & SW  
 Planning Commission  
 (SJ & E Division)

population proportion of STs in State as per 2011 Census and in tune with problem share of the ST population..

- iii. The funds should be earmarked well in advance, at least six months, prior to commencement of the financial year. The size of the TSP fund thus earmarked shall be communicated to all departments for commencing process of preparation of TSP of each department.
- iv. There shall not be any notional allocations, that don't have flows/schemes directly benefiting STs.
- v. Special attention shall be paid to allocate more funds to STs residing in the Scheduled Areas.
- vi. Due to physical remoteness and difficult terrain of tribal habitations, financial norms may need to be higher in tribal areas as compared to general areas. This should be ensured so that service standards in ST areas are not compromised.
- vii. Every State/UT shall undertake skill mapping and allocate funds under TSP for skill development of tribal youth and set targets in the light of the monitorable targets under poverty and employment in the 12th Five Year Plan. The target under 12th Five Year Plan is to generate 50 million new work opportunities through skill development.
- viii. The synergy of inter-sectoral programmes and an integrated approach/convergence with other schemes/programmes are ensured for efficient utilization of resources.
- ix. The departments, in consultation with Nodal Department, shall prepare the TSP to promote equity in development among various social groups within STs.
- x. To ensure non-divertibility, funds under TSP shall be earmarked under a separate Minor Head below the functional major Head/Sub-Major Heads
- xi. The TSP funds, under Minor Head shall comprise sector-wise and scheme-wise allocations and actual expenditures incurred
- xii. To ensure effective and optimum use of resources, the re –appropriation of TSP funds from one Department to another Department should be facilitated after mid-year review . Appropriation of TSP funds from one Department to another Department shall be with the approval of the Nodal Department.
- xiii. The State government may devise a mechanism for speedy transfer of funds directly to field formations under intimation to District Headquarters, instead of being routed through District Headquarters, by enforcing on them a system of accountability for effective utilization of the funds.

**1.6 Norms for allocation**

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

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

Sl No	Type of Scheme	Cost to be allocated and accounted for under TSP
1.	Exclusively for ST individuals or ST households,	100%
2.	For Scheduled Tribes habitations	100 %
3.	Benefiting mixed habitations	In proportion of the population of the STs in the habitation.

4	General schemes benefiting ST individuals or ST households, along with others	In proportion to the Scheduled Tribe beneficiaries actually covered.
5.	non-divisible infrastructure works	estimates of likely benefits that may flow to STs may be shown as likely flow to TSP.
6.	For area based development projects/activities	25% in respect of the States/UTs having upto 10% ST population.
7.	Reimbursement of fee for higher education in self-financed private institution	To be fully met from TSP fund

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

### 1.7 Establishing Standards for Service Delivery

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

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

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

### 1.8 Formulation of TSP

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

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

No.M11012/03/2013-SJ & SW  
Planning Commission  
(SJ & E Division)

- i. TSP should be formulated at the District level by the District Planning and Monitoring Committee (DPMC).
- ii. The DPMC must reflect on the actual demand for the schemes/programmes that are to benefit STs, giving priority to equity aspect of their local aspirations and socio-economic backwardness.
- iii. The annual plan must be approved by the District Planning Committee so that it has the approval of the highest PRI.
- iv. In case of area-oriented schemes, a Block level approach should be adopted so as to facilitate the inclusion of ST habitations which remain uncovered under District level approach.
- v. The TSP at ITDP/ ITDA/ District level should form the basis for the State TSP formulation and implementation. The requirement of funds across DPMC proposals put together would generate demand for TSP requirement at the State level.
- vi. In the States having Scheduled Areas, the Gram Sabhas should undertake an exercise to identify the areas needing priority attention in villages. These priority activities may form TSP at cluster/MADA/ ITDP/ITDA level.
- vii. To prepare a realistic budget, matching sectoral priorities and actual budgetary flow, the Nodal department should consult all related Departments to :
  - a. identify priority-areas under TSP
  - b. examine various on-going schemes and their budgetary allocations and
  - c. suggest new schemes.
- viii. The approval of the Nodal Department is mandatory for introduction of new schemes.
- ix. Service delivery should be standardized and adhered to in time-bound manner.
- x. To facilitate the synchronization of the gap filling role of SCA to TSP, gaps still remaining under the TSP financing pattern must be highlighted for each ITDPs/ITDAs/MADA/Cluster/State level at the time of TSP financial allocations.

### 1.9 Appraisal and Approval

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

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

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

#### 1.10 TSP Monitoring

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

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

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

#### 1.11 Institutional Arrangements

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

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

##### State Level

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

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

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

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

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

No.M11012/03/2013-SJ & SW  
Planning Commission  
(SJ & E Division)

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

Chief Secretary- Chairperson

Secretaries of all line departments - Members

Secretary of Nodal department – Member-Secretary,

**Key functions:**

- a. Appraisal of the perspective TSP document and Annual Tribal Sub-Plan
- b. Monitoring implementation of Annual TSP Plans
- c. Evaluation of implementation of Annual TSP Plans.

The Executive Committee shall submit its report on the above matters and emerging issues to the ALC/TAC

The Executive Committee will hold its meetings every three months

**District Level**

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

Dy. Commissioner /District Collector- Chairperson

Project Officers of ITDP/ITDA – Secretary

District level officers- Members

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

**Key functions:**

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

**Gram Panchayat Level**

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

**Gram Sabha Level**

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

**Social Audit**

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

ST cluster or habitation. States/UTs shall undertake to develop adequate capacities amongst the inhabitants of the cluster/habitations.

#### 1.12 Transparency and Accountability

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

Further, the following measures shall be taken:

- a. Each department of the State/ UT shall host relevant documents, as decided by the nodal department, in the public domain.
- b. The Nodal Department may ensure the follow up of the schemes implemented and maintenance of proper records on assets created under TSP in District/Block etc.
- c. States may device some parameters indicating performance in implementation of TSP for key field functionaries.
- d. The States/UTs shall establish a web enabled MIS with software engineered data to make all information regarding release of funds and expenditure against each scheme/programmes, physical progress, etc to be equally accessed by and monitored in public domain and for faster information exchange between the various stakeholders through the network.

#### 1.13 Outcome Evaluation

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

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

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

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

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



schemes/programmes and collection of reliable data for evidence-based planning and decision making.

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

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

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

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

15/10/13