



THE DECADES OF MODERN EXCLUSION OF SC/STS THROUGH UNION & STATES BUDGET: A CRITICAL ANALYSIS

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ABSTRACT

This paper analyse the real situation of exclusion of SCs/STs through Budget and diverting allocated sub-plan funds. Adivasis and Dalits have been deprived of a staggering over decades by successive governments. Dr. B.R. Ambedkar have been explained in deeply for socially and economically disadvantaged sections that the notion of inclusive growth is that the benefits of growth should reach socially disadvantaged sections like the Scheduled Castes (SC) and Scheduled Tribes (ST). There have been several programmes, progressive legislations and constitutional safeguards to help SC and ST Central as well as state governments have missed the vital dimensions of economic liberation and educational equality of the SCs and STs, The government of India trying to bridge the gap between the Dalits/Adivasis and other castes by improving the socio-economic and political development through budget allocation in order crafted a policy called the Scheduled Caste Sub Plan (SCSP) and Tribal Sub Plan (TSP). The evaluation reports are expressing disappointment over the central and state government departments spending less than the budgeted expenditure on SC/ST sub-plans. The central and state governments are systemic denial, diversion of budgetary allocations since last three decades. The analysis results emphasised that the most of Union and state budgets were grave issues of denial, non-utilisation and diversion; another common trend is that about 70 percent of the allocated amount goes for survival schemes and not for developmental schemes, which fall under the economic sector. This research results clearly shows that economic development of SCs and STS is not the priority of governments. There is an immediate need to arrange that an

independent Authority as social audit commission under the chairmanship of Prime Minister to be created for the Progression of SC and STs with necessary administrative, executive and accountability mechanisms to monitor SCSP and TSP funds.

Key words: Exclusion, Union budget, Utilization of allocated funds, Economic development, unspent funds, government departments

JEL Classifications: D63, H61, Q48, Q49

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Introduction

India is one of the few countries that has recognised the significance of targeted budgeting, which is critical to ensure that historically discriminated communities need specific measures to address the economic gaps that exist. Over the past decade, the policy discourse on tracking public expenditure in the country has gained more importance. One of the main reasons for the increasing scrutiny of government budgets and their implementation has been the strategies followed by civil society organisations (CSOs), mass movements and international development agencies working in the country. The situation is quite grim across the country. A lot of talk on development for the marginalised is simply still speech-making and more needs to be done for this to become a reality. There were many reports showed that the main trends of insufficient allocations and how a very small percentage of the allocated amount reaches the communities. The governments accountable to their promises made through the budgetary allocations in the Scheduled Caste Sub Plans and Tribal Sub Plans, which were crafted to bridge the development gap between Dalits/ Adivasis and other castes.

Among the disadvantaged sections of society, SCs and STs have been the most excluded and neglected throughout the process of development programmes and policies of successive Union and state governments. They have remained the most disadvantaged sections due to socioeconomic exploitation and isolation over a long period. For thousands of years, they have been pushed to low income generating occupations, inferior trades, unhygienic environment and menial jobs. Although Untouchability has been abolished by the

Constitution, caste rigidities continue to confine many SC workers to low-status occupations.(Jawed Alam Khan (CBGA), Ashutosh Kumar Vishal, Ragini Sharma, 2011)¹

This paper analyse the real situation of SC/STs excluded through union budget and state budgets that the allocated funds were diverting since the decades in India. In order to ensure direct “policy-driven” benefits for Scheduled Castes (SCs) and Scheduled Tribes (STs) through specific interventions, researcher will analyse the constitutional provisions for SC/ST sub-plans,analyse the special component plan for SCs (SCSP)and the tribal sub plan (TSP), five year plans allocation funds for SC/ST sub-plan. On the other side unspent funds from SCP-TSP plan union budget and state budgets.

The Planning Commission during the 1970s introduced plan strategies known as the Special Component Plan (SCP) and the Tribal Sub Plan (TSP). The earlier approach for development intervention for SCs and STs relied solely upon “incidental” benefits flowing to them from various interventions by the government. The proportion of SC/STs was these communities in the total population (16% and 8% respectively at the national level as of 2001). However, even though the SCSP and TSP have been operational for over 30 years, numerous problems exist in terms of the way they are being implemented.

Constitutional Provisions for SCs and STs

The Constitution of India provides many safeguards for the welfare, development and protection of SCs and STs in order to address their socio-economic exploitation and isolation over the centuries. There are many constitutional safeguards for the welfare, development and protection of SCs and STs in the country:

- Article 14 – Equal rights and opportunities,
- Article 15 - Protection against discrimination on the grounds of caste, religion, race, sex
- Article 46 - Educational and economic interests of weaker sections,
- Article 275 (1) – Grants-in-Aid for promoting the welfare of STs and raising the level of administration,
- Article 330, 332 and 335 - Stipulates reservation of seats in the Lok Sabha, Legislative Assemblies and government services, Protection of Civil Rights (PCR) Act, 1955 &

¹Jawed Alam Khan (CBGA), Ashutosh Kumar Vishal, Ragini Sharma and Umesh Babu (DAAA-NCDHR) 2011, Implementation of the Scheduled Caste Sub Plan & Tribal Sub Plan in the Union and State Budgets of India published by Centre for Budget and Governance Accountability (CBGA) National Campaign on Dalit Human Rights (NCDHR)

Prevention of Atrocities (POA) Act, 1989 – Protection of STs and SCs from social discrimination like Untouchability, exploitation and atrocities.

The two statutory Commissions viz., National Commission for Scheduled Castes and National Commission for Scheduled Tribes have an important role in protecting the rights, interests and welfare of the SCs and STs. There are constitutional provisions in the Fifth and Sixth Schedule for administrative dispensation and protection of tribes in the central Indian states and north-eastern region. In 1996, a constitutional provision was made with the enactment of the Provision of Panchayats (Extension to the Scheduled Areas) Act, 1996, that conferred special powers to the Gram Sabha in Fifth Schedule areas. Further, the government enacted the Forest Rights Act 2006 and the Land Rehabilitation & Resettlement Policy in 2007, in an attempt to address the basic concerns of land and forest rights. Though these constitutional provisions are in place, their effective implementation by the state governments has proved to be a great impediment for the welfare and development of the SCs and STs. While the constitutional provisions address the legal rights and attend to concerns of ‘social justice’ of the disadvantaged, these groups have largely remained economically backward for more than 50 years. Despite these provisions, effective implementation of government schemes that attempt to address ‘economic empowerment’ of SCs and STs remains a critical area of concern (NCSC & NCST Report, 2011)².

According to National Sample Survey Organisation (NSSO) data 2004-05, the incidence of poverty by caste and occupation indicate that 75% of households among SCs belong to agricultural labourers and 67% are in urban casual labour categories, while for STs the numbers are higher at 56% and 75% respectively. The incidence of poverty and its intensity are higher among SCs and STs as compared to the national average (CBCA and NCDHR Report, 2011)³.

A study conducted by the National Commission for Enterprises in the Unorganised Sector (NCEUS) in 2007 states that ‘88 per cent of the SCs and STs belong to the poor and vulnerable group in India’. While SC/STs are also denied from economic and productive

²NCSC and NCST report (2011) Scio-economic conditions of SCs and STs in India Published by National Council for Scheduled Caste and Scheduled Tribes, New Delhi

³CBCA and NCDHR Report (2011) Implementation of Scheduled Caste Sub Plan & Tribal Sub Plan in the Union and State Budgets of India published by Centre for Budget and Governance Accountability and National Campaign on Dalit Human Rights, New Delhi.

assets (such as land), education becomes a significant attribute towards gainful, remunerative and productive employment for them(R. D. Maurya , 2015)⁴

However, here too, SCs and STs trail behind the national average having lower literacy rates (including higher gender disparity), lower enrolment rates, and higher rates of educational deprivation. The gaps in school dropout rate between the SC and general population shows an increasing trend in the higher levels of schooling. Further, in the area of higher education, the gross enrolment ratio for SCs is 6.4 % as against 10% for the country as a whole in 2000 (Eleventh Plan)(Chandra Pal, 2010)⁵.

Special Component Plan for SCs (SCSP) and the Tribal Sub Plan (TSP)

In this regard, the Planning Commission has come to play a vital role by adopting a plan strategy for balanced and equitable development across various regions and sections of the population. Ever since Independence, the Government of India has adopted the strategy of preparing annual and five-year plans to reduce regional disparities and to meet the development needs of the marginalised communities. However, the planning process has largely been top-down in nature and, hence, not catered to the needs of the disadvantaged sections of society. Over the past one-and-half decades, development issues relating to economic growth, international trade, industry, agriculture, poverty, unemployment and regional disparity have been the subject of intense debate among policy analysts and other stakeholders. Despite its professed focus on the development of the SCs and STs, none of the five-year plans since 1951 have been able to weave in the pressing concerns of the SCs and STs with regard to the above-mentioned sectors/issues(Chandra Pal, 2010)⁶.

The most important initiative by the Planning Commission was creation of the Special Component Plan for SCs (SCSP) and the Tribal Sub Plan (TSP) in the 1970s recognising the special need for a distinction between ‘incidental’ benefits for SCs and STs from the existing government interventions and ‘direct policy-driven’ benefits, wherein the government designed special programmes and interventions for them. The Planning Commission introduced specific strategies of SCSP and TSP for channelling Plan funds for the development of SCs and STs in accordance with the proportion of SCs and STs in the total population (that is, 16% and 8% respectively, at the national level as of 2001) . The funds

⁴R. D. Maurya (2015),Challenges of Chronic Poverty Among The Dalits In India Published by Journal of History and Social Science, Vol: VI, ISSN: 2229-5798, <http://www.jhss.org/printartical.php?artid=8>

⁵Chandra Pal, (2010) Important Strategies forSpecial Component Plan (SCP) for Scheduled Castes (SCs) and Tribal Sub Plan (TSP) for Scheduled Tribes (STs) Published by Planning commission, New Delhi

⁶ Abide..

earmarked for SCSP/TSP should be placed under separate budget heads/sub-heads by each ministry/department. The fund cannot be diverted for any other purposes and should be used exclusively for the benefit of SCs and STs

The Scheduled Caste Sub Plan (SCSP) and Tribal Sub Plan (TSP) were formulated in 1979 and 1974, respectively, to bridge the development gap between Scheduled Castes (SCs), Scheduled Tribes (STs) and the rest of society. The principles of equitable resource distribution, social justice and inclusion were fundamentals to these policies, and the schemes under these policies are to be designed to ensure direct benefits to the SC/ ST communities and initiate an equitable growth model across the country.

Scheduled Caste Sub Plan (SCSP) – Aims and Strategy

The strategy of Scheduled Caste Sub Plan (SCSP) since evolved in 1979 is aimed at:

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

The strategy of Scheduled Caste Sub Plan envisages channelising the flow of outlays and benefits from all the sectors of development in the Annual Plans of States/UTs and Central Ministries at least in proportion to their population both in physical and financial terms. Implementation of SCSP and TSP is not being done uniformly in all States/UTs.

Present situation of SC/STs in India

According to Census 2011, Scheduled Castes form 16.6% and Scheduled Tribes form 8.6% of the population. Together, they constitute 25.2% of India's population. Along with Muslims, the three social groups (DAM, i.e. Dalit, Adivasis and Muslims) constitute the largest block of the most vulnerable and marginalised social groups, which represent the bottom-most section on all socio-economic indicators in the country.

Official figures from 2010-11 show that the highest incidence of poverty is found among Adivasis (32.5%), followed by Dalits (29.6%), which is higher than the national average (21.6%) for the same period. The high instance of poverty is linked to absorption of the labour force in the economy. Official figures for the same period reveal that a majority of Dalit and Adivasis labourers work as casual wage labourers 51.2% Dalits and 42.5%

Adivasis with abysmally low and irregular incomes. Their access to regular salaried jobs is limited, with only 14% of Dalits and 8.1% of Adivasis gaining employment therein(NCDHR Report, 2016)⁷.

According to Socio-Economic and Caste Census (SECC-2011) the government of India have been published through socio-economic and Caste Census data showed that out of the 24.4 crore households in India, 17.9 crore live in villages, which is 73.3% of all households in India. Out of these, 10.7 Crore households are deprived. Close to 30% rural households are landless and do the manual causal labour for bread winning; 13% live in one room huts (with kacha walls or roof) and 22% of them are from SC/ST category. More than half (56%) rural households in India are landless. 36% rural people are illiterate in India.

This figure was recorded 32% in Census 2011. Out of the remaining 64% literate, around 20% have not completed primary school. 35% of urban Indian households qualify as poor Around 1.80 Lakh households are still engaged in manual scavenging for livelihood. Largest number of manual scavengers in India is in Maharashtra state. Close to 64 thousand out of 1.80 Lakh households in entire country are engaged in manual scavenging in Maharashtra for living. Maharashtra (63,713) is followed by Madhya Pradesh (23,093), Uttar Pradesh (17,619), Tripura (17,332) and Karnataka (15,375) and Punjab. India's 0.1% population is comprised of transgender. Highest proportion of transgender is in Andaman & Nicobar Islands, West Bengal, Gujarat, Odisha and Mizoram(SECC,2015)⁸.

Table: 1. SC/STs Households Excluded

Automatic Exclusion	All Households	SC Households 18.45%	ST Households 10.98%	Women Headed 12.88%	HH with Disabled Person 6.08%
	Automatically excluded 39.35%	Automatically excluded 5.06%	Automatically excluded 2.36%	Automatically excluded 4.57%	automatically excluded 2.07%

Sources: SECC data 2015

⁷NCDHR Report (2016) Dalit Adivasi Budget Watch: 2015 to 2017 Published by National Campaign on Dalit Human Rights-Dalit Arthik Adhikar Andolan, New Delhi

⁸SECC 2015, Socio-Economic Caste Census Published by the Ministry of Rural Development Government of India <http://www.secc.gov.in/welcome>

Table: 2. SC/STs Households Deprivation

Deprivation	All Households	SC Households 18.45%	ST Households 10.98%	Women Headed 12.88%	HH with Disabled Person 6.08%
	One or more Deprivation criteria 48.56%	One or more Deprivation criteria 13.28%	One or more Deprivation criteria 8.18%	One or more Deprivation criteria 7.24%	One or more Deprivation criteria 3.16%

Sources: SECC data 2015

Table: 3. SC/STs Households Land Ownership

Land Ownership	All Households	SC Households 18.45%	ST Households 10.98%	Women Headed 12.88%	HH with Disabled Person 6.08%
	Landless households 56.41%	Landless households 12.98%	Landless households 5.47%	Landless households 8.21%	Landless households 3.22%

Sources: SECC data 2015

Further, landlessness among Dalits has increased since 1991. In 1991, 70% of total Dalit households were landless or near landless (owning less than one acre). This increased to 75% in 2000. The prevalence of such high levels of poverty and economic disparity among the most vulnerable and marginalised population indicates, at best, a limited success of a planned and redistributive economy. Further, it has been re-enforcing caste and caste-based divisions of our society, and severely compromising basic human rights of children.

Methodology Adopted

The Methodology based on secondary data obtained from the selected States, Ministries of Tribal Affairs, and Ministry of Social Justice & Empowerment, Minister of Social Welfare, NIT Aayog reports and Planning Commission reports. The main analysis focus on understanding of sub-plan budget analysis, there can be 5 stages of effective budget implementation: (a) allocations; (b) targeted allocations; (c) expenditure; (d) Unspent allocated funds and (e) diverted sub-plan funds. In this research, the researcher will have dealt extensively with the first four analyses of sub plan budgets. And analysis the physical

achievement or the implementation part, for the reason that the final part will tend to obscure a more clear understanding the how the SC/ST sub-plan funds diverted for other works.

The secondary data obtained from the selected States, Ministries of Finance, Minister of Social Justice & Empowerment, Minister of Tribal Affairs, Planning Commission report. Large volumes of information on Union and state budgets, norms and guidelines for selected schemes, and the data on intended beneficiaries of the selected schemes under the study was collected. The information was also procured from the relevant Union Ministries and selected state government offices.

Objective

1. To study SC/ST exclusion situation in India
2. To evaluate the budget allocation for SC/STs under sub-plan
3. To analyse the utilisation of sub-plan funds and unspent funds
4. To suggest key policy recommendations for proper utilisation of SC/STs sub-plan funds

Review the Status of SCs/STs sub-plan Funds Situation

The Government of India, Ministry of Social Justice and Empowerment will intimate the tentative allocation of SCA to State Governments/UT Administration at the beginning of the financial year and will release the first instalment of SCA on the basis of SC Population and relative backwardness of States/UTs during the first quarter of the financial year. The State Governments/UT Administrations should furnish the information on effort based criteria {the criteria at (c) and (d) mentioned in Para 3 (i)} and the utilization of SCA released to them during the previous year and first instalment released during the current year, in the month of August every year. This will ensure the release of second instalments in the beginning of the second half of the financial year.

As on today, 29 States/ 7 UTs and only 17 Central Ministries/ Departments have been practicing in formulation of SCSP. A Standing Tripartite Committee was constituted in the Planning Commission in 1999 to review the implementation of the Special Strategy of SCSP for SCs, TSP to STs and to resolve various policy related issues in respect of Central Ministries/ Departments as well as State Governments. The Central Standing Tripartite Committee (CSTC) reviews the implementation of SCSP and TSP and guides the nodal Ministries of Social Justice and Empowerment and Tribal Affairs in ensuring of earmarking

of funds by the service oriented Central Ministries/Departments and States/UTs (Ministry of Social Justice and Empowerment 2016)⁹.

Analysis of the SCSP/TSP shows that even though there is an overall inadequate allocation and expenditure of funds, still one has to recognize the fact that considerable funds have been allocated towards SCSP and TSP by the States/UTs and Central Ministries/Departments in different modalities through their plans, central Sector, Centrally Sponsored Schemes, Special Central Assistance Schemes/Programmes, besides through NGOs via Multilateral and Bilateral Organizational funds (World Bank, Asian Development Bank, International Funds for Agricultural Development, etc..) the crucial problem to attend to here is the non-utilisation or diversion of such allocated funds .

A review of the status as SCSP and TSP strategies implemented during the past three decades for the welfare and development of SCs and STs indicates broadly four major issues:

1. Inadequate allocation of funds as per the SC and ST population in the states;
2. Non-utilisation of even the allocated funds;
3. Implementation and administrative bottlenecks;
4. Improper delivery mechanisms at the field level;
5. Lack of appropriate schemes or ill designed schemes, that is schemes under SCSP and TSP are under the current modern growth sector.

The schemes are also designed in such way that they do not ensure that the real beneficiaries will be SCs/STS that is filling SCSP/TSP mandates by making paper allocations where population proportionate budgets are reported as SCSP/TSP allocations and utilisations as for example: expenses shown under staff salary, office expenses, construction works and others that have no direct relevance to the development of SCs and STs although they are marked as allocations for SCs and STs

Evidence shows that the implementation as SCSP/ TSP has been gravely deficient both in the states and at the centre. Instead of genuinely planning for SCs/STs in a manner that would ensure that critical gaps in their development are closed so that a level-playing field is created for these communities with the rest of the population(in education, housing, health, employment, access to civic amenities, entrepreneurship, etc) the SCSP/TSP has been reduced to a mere accounting exercise. That is several Central Ministries/State Departments

⁹Ministry of Social Justice and Empowerment (2016) Review the status of special component plan for SCs and STs sub-plan funds utilization published by Minister of Social Justice and Empowerment, New Delhi.

simply ‘book’ a proportion of their expenditure (as per the population proportion of SCs/STs) under the SCSP Head or TSP Head. This ‘accounting approach’ to the SCSP/TSP assumes that a proportion of the existing schemes are ‘paid for ‘ by the SCSP/TSP funds implemented for SCs by the Ministry of Social Justice and Empowerment and for STs by the Ministry of Tribal Affairs, specifically for SCs, and STs, there is no special or specific planning for SCs/STs/ in addition, little or no attempt is made by other Ministries/Departments to develop new schemes and programmes with greater and creative potential to address the development needs of SCs/STs.

Analysis Results

At present, all Union ministries and departments allocating fund under SCSP-TSP report these allocations separately under minor head code 789 and 7962 in accordance with the guidelines. But at the state level, except for Gujarat, Madhya Pradesh and Kerala, all other studied states have opened the SCSP & TSP minor head codes. Even though some states publish separate budget books and some show allocations under specific major heads, it does not fully serve the purposes of opening minor head 789 and 796

It is important to mention here that the policy guidelines state that “SCSP and TSP funds should be non-divertible and non-lapsable”. But our analysis reveals that under SCSP, out of total 294 schemes, 205 are non-direct in nature; under TSP, out of total 307 schemes, 212 schemes are non-direct in nature. In these non-direct schemes, there is also a major chance of diversion of SCSP-TSP funds for purposes that do not lead to the actual development of SCs/STs.

The SCSP-TSP policy supports, “ earmark funds under SCSP/TSP from the Plan outlay, at least in proportion of percentage of SC/ST population under separate budget head/ sub-head for each ministry/department in Union and States”. However, over the years, the performance of the Union and state governments has been disappointing to meet this end. It has miserably failed to follow the prescribed norms. As a result, one can account for substantial under allocations in various Ministries/departments.

Allocation of funds in Five Year Plans for SC/STs 1951-2017

After independence, Government of India followed the development of SCs and STs. The below table shows that how the funds were allocated in per cent age from first five year plans to twelfth five year plan. During First Five Year Plan (1951-56) the strategy followed was removal of Untouchability and improving the living conditions of SCs through

betterment of health, education, and economic life for total integration of these groups with the rest of the country. In the Second Five Year Plan (1956-61) development programmes for SCs have been formulated with the object of improving their social status and providing them full educational and economic opportunities.

During Third Five Year Plan (1961-66) development programmes for SCs were implemented to supplement benefits from programmes of agriculture, cooperation, irrigation, small industries, communications, education, health, housing, rural water supply and others. In the Fourth Five Year Plan (1969-74) programmes for the welfare of backward classes including SCs were proposed for full integration with the development plans of the district. State Governments were supported for providing house-sites to members of the SCs and other weaker sections and conferring proprietary rights on homestead land already occupied by them. The Untouchability was abolished in 1955 and the practice of Untouchability has been made a cognisable offence.

Table: 4. Allocation of Funds in the Five Year Plans for SC/STs since 1951-2017

Five Year Plans	SC % of Funds allocated %age	ST % of funds allocated %age
First Five Year Plan (1951-56)	0.76	0.06
Second Five Year Plan(1956-61)	3.56	1.08
Third Five Year plan(1961-66)	3.1	0.60
Fourth Five Year Plan(1966-74)	2.5	0.4
Fifth Plan(1974-78)	0	4.25
Sixth Plan(1980-85)	0	1.65
Seventh Plan(1985-90)	9.6	3.28
Eighth Plan(1992-97)	9.7	3.26
Ninth Plan(1997-02)	7.5	3.22
Tenth Plan first two years(2002-04)	7.5	4.6
Eleventh Plan(2007-12)	7.1	4.7
Twelfth Plan(2012-17)	7.6	4.5

Sources: Planning Commission Report, 2013

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formulated with the object of improving their social status and providing them full educational and economic opportunities. The Untouchability was abolished in 1955 and the practice of Untouchability has been made a cognisable offence. During Third Five Year Plan (1961-66) development programmes for SCs were implemented to supplement benefits from programmes of agriculture, cooperation, irrigation, small industries, communications, education, health, housing, rural water supply and others. In the Fourth Five Year Plan (1969-74) programmes for the welfare of backward classes including SCs were proposed for full integration with the development plans of the district. State Governments were supported for providing house-sites to members of the SCs and other weaker sections and conferring proprietary rights on homestead land already occupied by them.

The Fifth five year Plan (1974-78) outlays for the Centre and the States have been raised considerably for educational incentives, subsidised housing, and various agricultural programmes and on Finance and Development Corporations. The 20-Point Economic Programme was announced by the Prime Minister in 1975 and priority has been accorded to the implementation of the schemes falling under this for the development of SCs including abolition of bonded labour.

Sixth Five Year Plan (1980-85) is the first plan which gave due emphasis for the development of SCs in terms of Special Component Plan for providing comprehensive development with a due share of benefits in physical and financial terms from the various programmes of every sector. The other strategies adopted in this Plan are Special Central Assistance (SCA) to Special Component Plan (SCP), Scheduled Castes Development Corporations in the States (SCDC) through cluster and saturation approach in a Block, District and State.

During Seventh Five Year Plan (1985-90) the thrust was on (a) economic development of SCs for raising their income to cross the poverty-line; (b) Basti-oriented schemes for improvement in the working and living conditions of SC Basties; (c) liberation of scavenging and employment of the sanitation workers; (d) educational and skill development; (e) promotion of occupational mobility of the SCs and (e) special attention to SC women and children. National Scheduled Castes and Scheduled Tribes Finance and Development Corporation (NSFDC) to extend loans-cum-subsidies to various income-generation activities and the enactment of the Prevention of Atrocities (POA) Act, 1989 for the welfare of SCs and STs were the other important strategies of this plan.

In the Eighth Five Year Plan (1992-97) high priority was given to remove untouchability, suppression of rights, usurious money lending, land alienation, non-payment of minimum wages etc. It was observed that during the Ninth Five Year Plan under the Central sector allocation for SCSP had been picked up (10.63%) which was almost on line with the allocation under State Sector (11.24%). The SC and ST population was 16.5% and 8.1% respectively as per 1991 census. It is observed that in all the Five Year Plans allocation under SCSP has not been made as per the proportionate percentage of Scheduled Castes in the State and at the Central level.

The 11th Five-Year Plan also echoed this through its slogan of “inclusive growth”, by introducing new schemes/programmes and additional budget support for the development of the marginalised. The 11th Plan promised to restructure policies for faster, more broad-based and inclusive growth of SCs. For overall empowerment of the tribal people, the Plan proposed that STs should participate and manage their own development process. In the twelfth five year plan the terms of most social indicators the Scheduled Castes (SCs) and the Scheduled Tribes (STs) among social groups are the most marginalised (Planning Commission Report 2013)¹⁰

Status of Allocation funds under SC/ST sub-plan

The policy clearly states to “Earmark funds under SCSP/TSP from the Plan outlay, at least in proportion of percentage of SC and ST population (16.2 and 8.2) under separate budget head /sub-head for each Central Ministry/ department. Allocation of SCSP & TSP in the last Five Years (Plan-Due-allocation-Targeted)

Table: 5. Due allocation for SCSP funds for the last five years

Years	Plan Allocation	Due Allocation		SCSP Allocation		Targeted Allocation	
		% of Allocation	Amount	% of Allocation	Amount Rs.Cr	% of Allocation	Amount Rs.Cr
2011-12	3,35,521	16.6	55,696.5	9.37	31434.46	NA	NA
2012-13	3,91,027	16.6	64910.5	9.49	37113.03	2.06	8036.19
2013-14	4,19,068	16.6	69565.3	9.92	41561.13	2.53	10591.14
2014-15	5,75,000	16.6	95450	7.51	43208.08	1.86	10689.6
2015-16	4,65,277	16.6	77236	6.63	30850.88	1.86	8792.7

¹⁰<http://planningcommission.nic.in/plans/planrel/fiveyr/welcome.html>

The table reflect that due allocation supposed to allocate 16.6 per cent, but in reality the union government had been allocated only 9.37 per cent in the years of 2011-12. Followed the highest allocation 9.92 per cent of the SCSP funds allocation in the year of 2013-14 and 9.49 per cent of the SCSP funds, whereas decreasing 9.92 per cent to 7.51 per cent have been decreased and from 7.51 per cent age to 6.63 percentages decreased from union budget. Percentageshares of allocation. We can be observing that there has been decreasing year by year and uneven allocation of funds for SCs across ministries and departments at the union government level in terms of percentage of share. The majority of the funds did not allocate and did not spent according to SCSP guidelines with SC population proportion of 16.6 per cent age.

Table:6. Due Allocation of Funds under TSP

Years	Plan Allocation	Due Allocation		TSP Allocation		Targeted Allocation	
		% of Allocation	Amount	% of Allocation	Amount Rs.Cr	% of Allocation	Amount Rs.Cr
2011-12	3,35,521	8.6	288454.81	5.5	18466.23	NA	NA
2012-13	3,91,027	8.6	33628.32	5.55	21710.11	1.76	6887.28
2013-14	4,19,068	8.6	30639.85	5.87	24598.39	2.01	8423.3
2014-15	5,75,000	8.6	49450	4.65	32184.23	1.48	8516.75
2015-16	4,65,277	8.6	40013.83	4.3	19999.59	1.59	7399.15

After due analysis, the above tables give a picture of due allocations under SCSPTSP, actual amount allocated as per Statement 21 and 21A focusing on the direct or Targeted scheme that directly can be utilised by the SC/ST communities either as individuals, families.

The table shows, 5 years series data of which 4 years all the three variables mentioned above are analysed. For the year 2012-13, it is analysed that Rs. 391027 is the amount of total plan out which the due allocation should be Rs. Cr. 64910.5 for SCSP and about Cr 33628.32 for TSP but only Rs. 8036.19 expected to reach the SC community and about Rs. 6887.28

expected to reach ST community. This points towards under allocation over the last five years. On an average about 8.5% has been allocated for SC community as opposed to the designated 16.2%. Meaning therefore, that there has never been population proportionate allocation in the last 5 years. As one can see that the actual allocation that directly benefited the community is only an average of about 1.6% for SC and 1.3% for ST.

Figure: 1. Current Allocation Trends of SC Sub-plan Funds

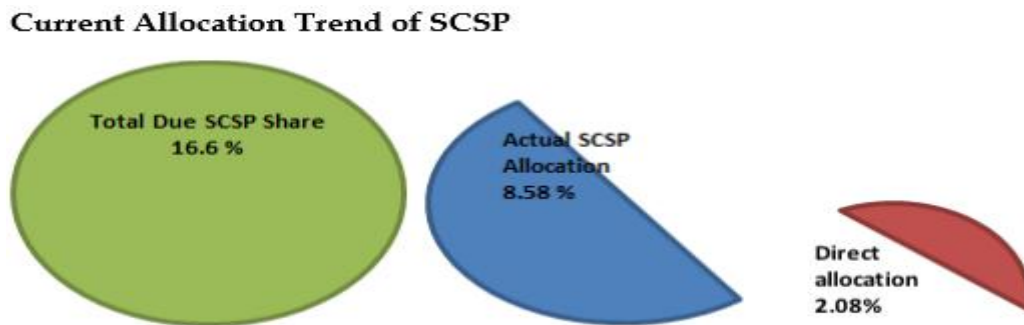
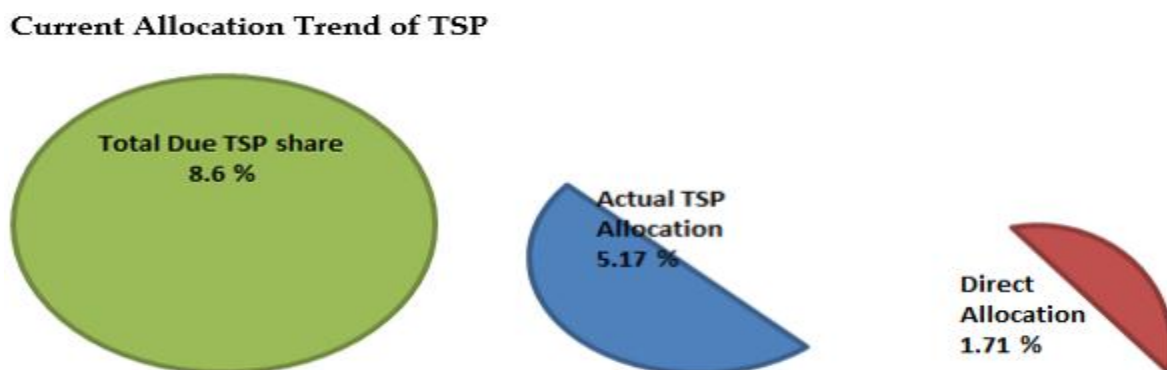


Figure: 2. Current Allocation Trend of ST sib-plan funds



The above figures clearly indicates that suppose the total due SCSP share 16.6% and for TSP share 8.6%, but in reality the union and state government have been actual SCSP and TSP allocation 8.58%, 5.17% only, whereas direct allocation only 2.08% for SCSP and 1.71% only allocated for their development. It shows clearly the modern excluding of SCs/STs through union & state budgets in India.

Case Analysis of Five States Targeted allocation

As per Jadhav Committee Guidelines, the “target allocation” means that the budgetary allocations towards schemes directly benefit the SC/ST communities through focus on individual, cities, villages and hamlet or community. This analysis finds that as a result of major allocations made towards non-targeted schemes/ programmes, a very nominal share of the SCSP-TSP is left that is allocated towards “targeted schemes”. At the Union Level, in

2016-17, only 18% of the total SCSP allocations are direct/ targeted allocations. Similarly, analysis of the states revealed that in Karnataka, Jharkhand, Rajasthan and Uttar Pradesh, 12%, 20%, 30% and 20%, respectively, were direct/targeted allocations. Kerala preforms better in comparison to the other states, with 97% of allocations being direct/targeted in nature.

Table: 7. SC/ST sub-plan allocated funds in state budgets

Name of the Sate	Due allocation(Rs Crore)		Total Allocation(Rs Crore)		Targeted Allocation(Rs Crore)		Targeted Allocation as % of due allocation	
	SC	ST	SC	ST	SC	ST	SC	ST
Kerala	2146	342	1740	652	1696	608	79	177.9
Maharashtra	8787	6957	6654	6247	2732	3113	31.1	54.1
Haryana	6384	00	5040	00	1972	00	30.9	00
Telangana	10415	6290	10042	6450	2895	3299	27.8	52.4
Andhra Pradesh	8402	2717	8707	3100	2276	1022	27.1	39.4
Bihar	11515	914	12226	1022	2452	239	21.3	25.4
Odish	7811	10420	7236	10280	1512	2582	19.4	24.8
Gujarat	5767	00	3998	00	1090	00	18.9	00
Madhya Pradesh	11287	15081	11782	16200	2088	4083	18.5	27.1
Delhi	3192	00	807	00	531	00	16.6	00
Uttar Pradesh	26224	760	21575	259	4353	33	16.6	4.4
Rajasthan	15570	11809	6915	5457	2075	899	13.3	26
Jharkhand	4818	9637	2125	11518	420	1762	8.7	18.3
Karnataka	12260	5019	8889	3771	1035	217	8.4	4.3
India	47301					217		19

The analysis results across 15 states reveals that states like, Delhi, Rajasthan and Jharkhand have allocated less than their population proportion of SCs. The denial amount is as high as 13.33% (Rs 2,746 crore), 9.89% (Rs 8,655 crore) and 7.56% (Rs 2,430 crore), respectively. States like Gujarat, Haryana, Odisha and Telangana have also allocated less than the required allocation for Dalits, with the denial amount crossing Rs 5,340 crore for all

these states. Contrarily, in some states, there has been over allocation under SCSP. These states are Andhra Pradesh, Madhya Pradesh and Bihar, and amount is Rs 1,512 crore.

The case of TSP reveals that in most of the states the allocations were either in proportion to the population or in excess, with Jharkhand and Kerala topping the list of the states allocating Rs 1,881 crore and Rs 310 crore in 2016-17 respectively. These allocations were 5.07% and 1.32% more than the due mandatory amount. However, this did not translate into allocations being made towards programmes, in accordance with the guidelines issued by the Planning Commission. A deeper analysis of the TSP allocations shows that more than half the funds allocated under TSP are spent on schemes and programmes that are very general in nature and have no direct implications towards the development of the community in question.

Status of Implementation of SCSP and TSP

Even though the SCSP and TSP have been in place for over 30 years, the results in terms of welfare and development of SCs and STs remain way below expectation. This is revealed by several research studies and the performance audit on SCSP and TSP by the Comptroller and Auditor General of India (CAG), 2006-07, that point to numerous problems in implementation of the sub plans.

In 2009-10 and 2010-11, plan allocation and release of plan funds by the Union Governments and many States like in Bihar and Rajasthan have not been made in proportion to the population of SCs and STs. There has been a remarkable improvement in the allocation in Bihar and Rajasthan budgets in 2011-12. A large amount of fund under SCP and TSP is real allocations in states as well as in the Union budget. It's a kind of notional allocations which show mere paper figures and do not flow through special schemes or tailor made project directly benefitting SCs or STs. There exist anomalies between SCSP statements given by the Planning Commission/Departments at Union and State levels and the respective DDG (Detailed Demand for Grants) allocations in the Union and State Budgets passed by Parliament and State Assemblies. The plan allocation by various line departments meant for SCs and STs does not have the enough scope for tailor made projects and Schemes suitable to their specific needs. Most of the current schemes are for survival, and not for development or empowerment. No focus on entrepreneurship, employment and skill development projects. There remain critical administrative bottlenecks in implementation of the development programmes/schemes. Sufficient administrative, executive and accountability mechanism meant SCs and STs are not in place in States and districts. Budgetary norms are not being

followed appropriately. There has been poor utilisation of the allocated funds for the welfare of SCs and STs. Funds meant for SCSP and TSP funds have been diverted to other sectors and purposes. Lack of transparency in many state budget in terms of accessing public information on SCs and STs , many State budgets do not publish summary statement on SCSP/TSP Poor service delivery mechanisms in the field level also constrain attainment of development outcomes.

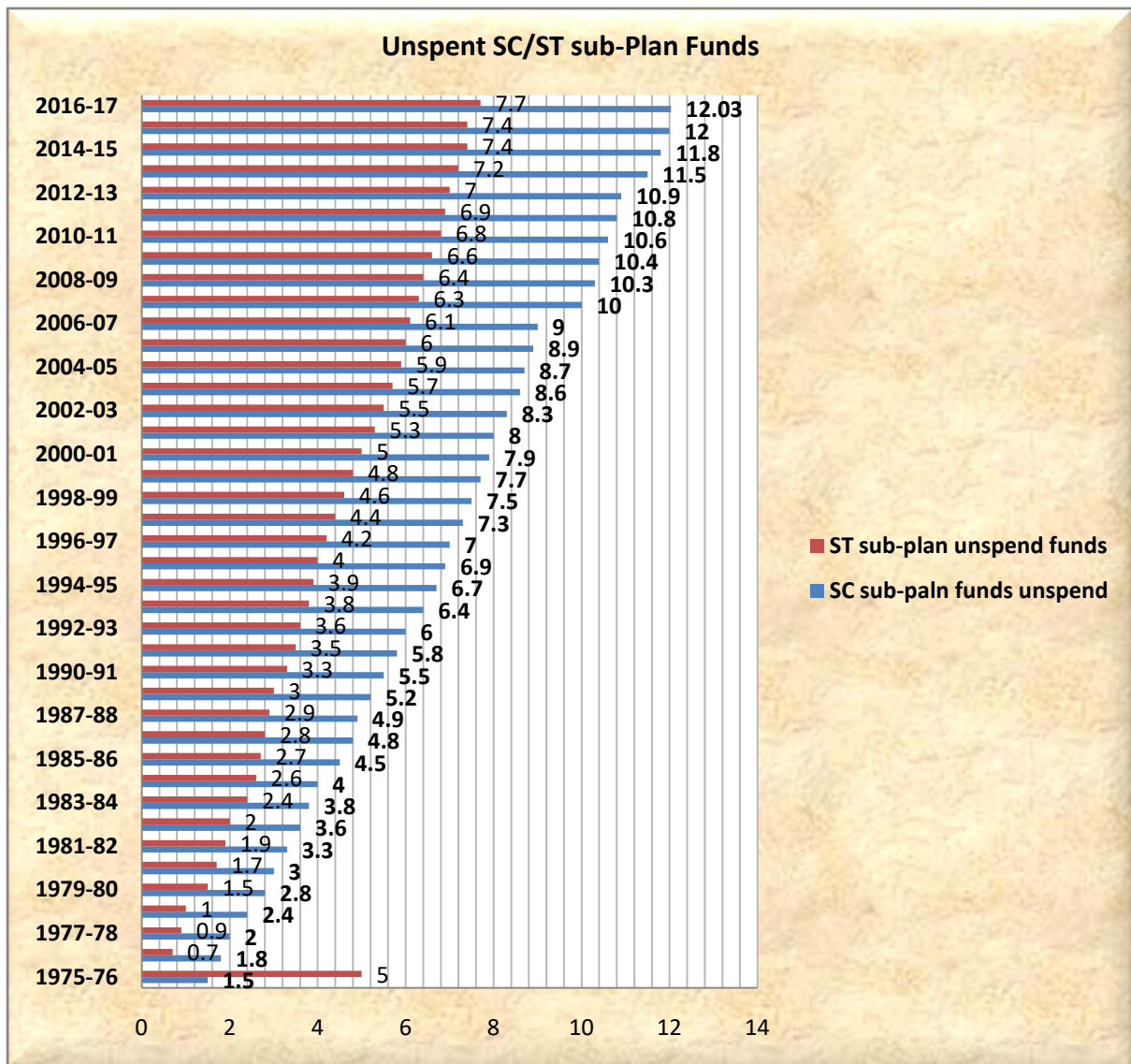
Analyse the Diverted allocated SC/STs sub-plan funds and unspent funds

As per guidelines, a part of the budget proportionate to at least the population of SCs and STs at both central and state levels is to be set aside for these marginalised sections. The current population of SCs and STs in India is 16.6% and 8.6%. So, 16.6% and 8.6% of the Union budget should be allocated to SCSP and TSP, respectively. The same applies to the states too. Not just that, each ministry, whether state or central, has to keep aside the same percentage of their total funds for SCSP and TSP to carry out individual, family or habitat development works and welfare schemes for SCs and STs(CBCA and NCDHR Report , 2011)¹¹.

The SCSP & TSP policy guidelines mention “a dedicated unit for effective functioning may be constituted in every Central Ministry/Department for the welfare and development of SCs/STs as a nodal unit for formulation and implementation of SCSP/TSP . From our analysis it emerges that this is an important instrument necessary for optimum utilisation of funds available under SCSP-TSP. There are majority of the reposts concluded that the majority of the SCSP-TSP sub-plan funds were diverted for other plan budgets and also the majority funds were did not spent according to given schemes and development programmes for SC/STs. By analysing the actual allocated budget and expenditure for union budget since 1975 to 2016 had remained unutilised under SCSP. In TSP, the utilisation status is equally grave at Union level.

¹¹CBCA and NCDHR Report (2011) Implementation of Scheduled Caste Sub Plan & Tribal Sub Plan in the Union and State Budgets of India published by Centre for Budget and Governance Accountability and National Campaign on Dalit Human Rights, New Delhi.

Figure 2. Diverted and Unspent allocated SC/STs sub-plan funds



Source:Source: Respond to RTI request/IndiaSpend.org, 2016

Note: CAG Report 2016, NITAayog Report 2016, Planning commission and NCDHR report 2016

The above figure clearly showed that the decades of SC/ST sub-plan funds were diverting since 1975 to 2016 for different purposes and the majority of the funds not spend reported by NITI Aayog, Comptroller and Auditor General (CAG) report, NCDHR report and the Planning Commission’s reports.

The analysis results clearly emphasizing that the most of the Union and state budgets were grave issues of denial, non-utilisation and diversion SC/ST sub-plan funds to other departments. In the above figure showed for year of 2016-17 that SC/STs sub-plan funds 7.7

per cent of the funds were did not spent for SC and for ST 12.03 per cent of the funds did not spent. Another common trend is that about 70 percent of the allocated amount goes for survival schemes and not for developmental schemes, which fall under the economic sector. This clearly shows that economic development of SCS and STS is not the priority of governments. If governments don't want to continue with the master-slave relationship, along with survival schemes, they should initiate long-term holistic development projects. There were the majority of the funds did not used to build physical assets for the institutions. There are many welfare schemes have not been designed to address specific needs and challenges of SC/STs and all the schemes were developed by based on the political parties' interventions, but not need, demand of the participation of SC/STs. Rather than, those schemes designed for the entire population, and the nodal ministry is 'assuming' that SC/STs will also benefit from it along with other sections of the population.

Apart from there were many schemes example of the National Rural Drinking Water programme focus on provisioning of piped water supply in rural areas. However, in some parts of the country, like most of the SC/ST communities did not provided even drinking water pipeline facilities and some hilly regions, where piped water supply cannot be provided. What is more appropriate for such habitations is something like a Spring Box, where there are eternal springs. But the guidelines of this scheme do not take this additional difficulty and challenge pertaining to SC/STs into account.

Similarly, it is pointed out that Ministry of Human Resources Development is also callous while using SCAP and TSP funds for general purposes like building capital assets. But under the HRD minister is not using for skill development, entrepreneurship development, fulfilment of reservations and equipping SCs and STs to compete successfully for open competition jobs and posts.

Plan Guidelines Violating Framed Rules Again and Again

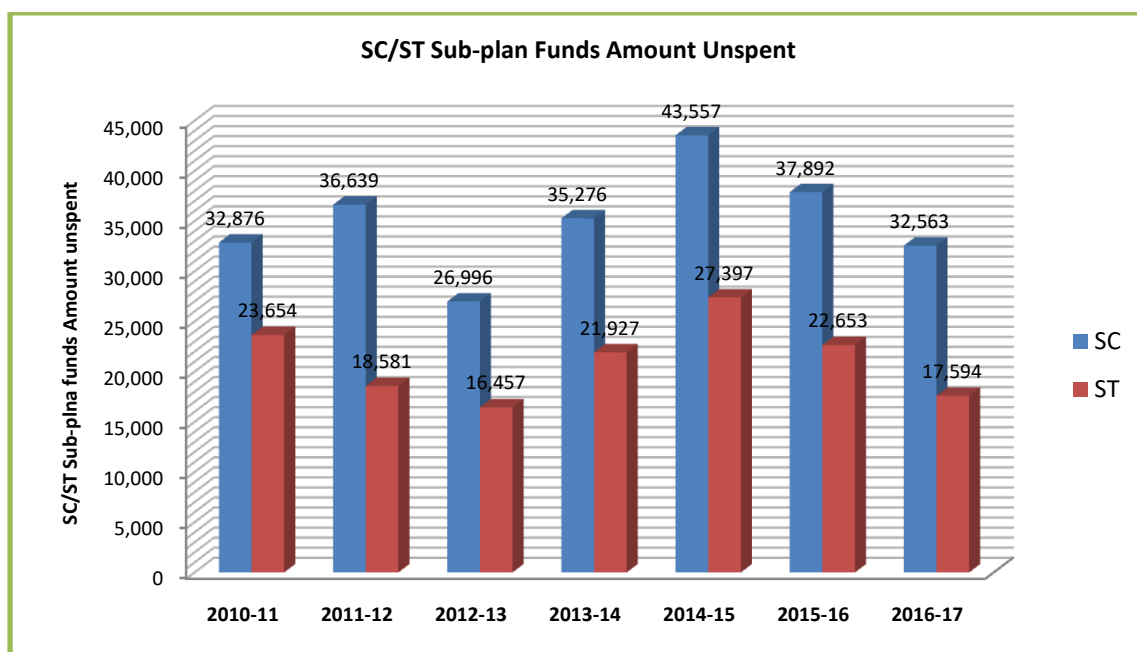
Since the decades the SCP and TSP strategies being implemented for the welfare and development of SCs and STs indicate broadly four major issues:

- (i) Inadequate allocation of funds as per the SC and ST population in the States,
- (ii) Non-utilisation of even the allocated funds,
- (iii) Diversion of SCP and TSP funds to other sectors at the end of the annual plan,
- (iv) Implementation and administrative bottlenecks and improper delivery mechanism at the field level.

(v) Even though inadequate allocation of funds have been made but still considerable funds have been allocated towards SCP and TSP by the States/U.Ts, Central Ministries/Departments through their plan, non-plan, Central Sector, Centrally Sponsored, Special Central Assistance Schemes/programmes besides the NGOs through Multi-lateral organisational funds.

Unfortunately, The unspent amount either lapsed or given back to the Centre is eight times larger than India’s agriculture budget, enough to fund India’s rural road construction projects for the next 15 years and larger than the gross domestic product of Serbia, Nepal or Jordan. If India were to distribute the Rs 2.8 lakh crore among all of India’s 250 million STs and SCs, each would get Rs 11,289. The unspent Rs 2.8 lakh crore falls under two funds: Tribal Sub Plan (TSP), started in 1974-75, and Scheduled Caste Sub Plan (SCSP), begun in 1979-80, to channelise funds from general budgets to STs and SCs.

Figure: 3. SC/ST sub-plan Funds Amount Unspent



Source: Respond to RTI request/IndiaSpend.org, 2016

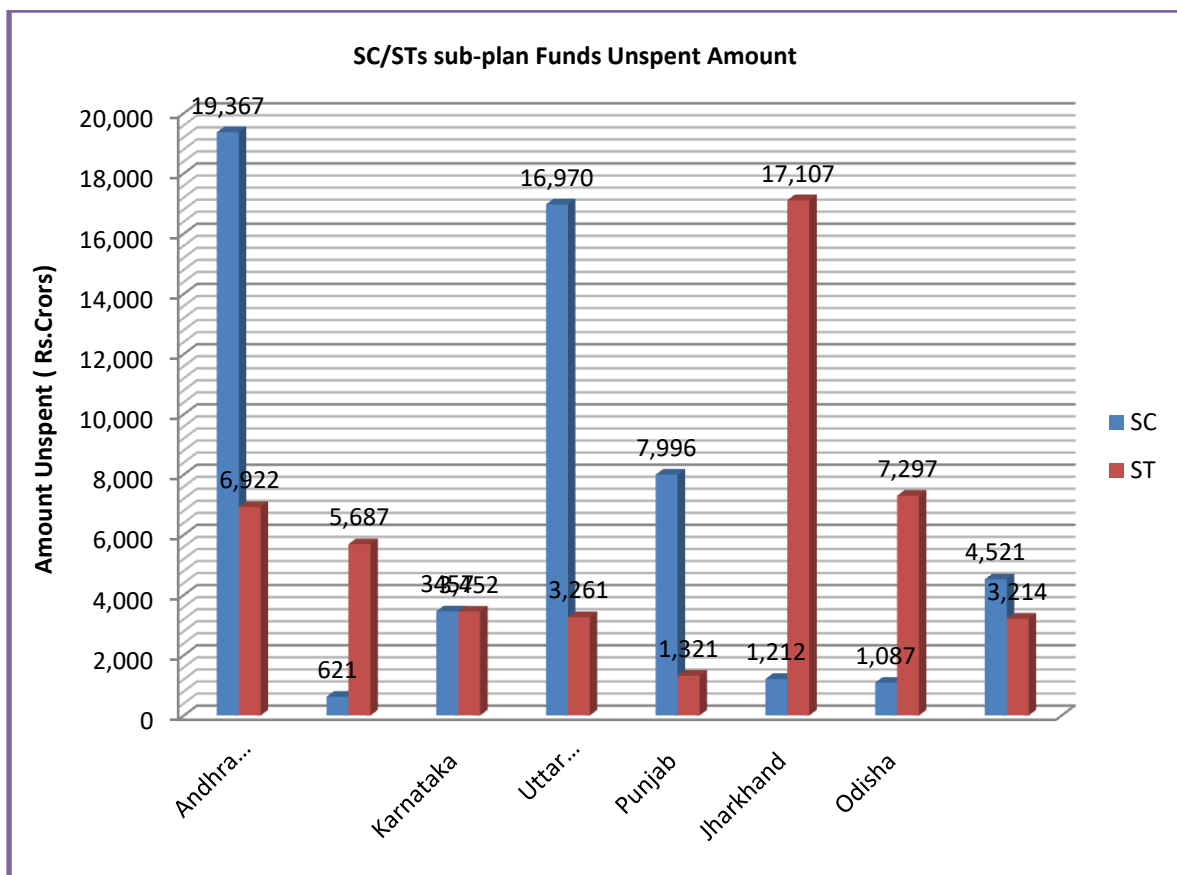
The above figure indicates that for the seven years allocated funds were not spent for the SCP-TSP. The majority of the funds Rs. 43,557 crore were not spent in the year of 2014-15 for SCP and for TSP Rs. 27,397 not spent, while least 26,996 crore in the year of 2013-14 for SC and for TSP Rs. 16,457 crore were not spent in the year of 2012-13. However the analysis results showed that overall seven years the total amount is more than three states budget. Instance, the human resource development ministry has to set apart funds under the two strategies for building schools, providing nutritious meals and scholarships and other

similar measures for SCs and STs. Similarly, the agriculture ministry has to set aside funds for providing subsidised seeds and fertilisers and crop insurance to SC and ST farmers.

Analysis of States budget Situation

The States are not following all the guidelines issued by the Ministry of Social Justice & Empowerment, Ministry of Tribal Affairs and Planning Commission in the implementation of the SCP, TSP, SCA to SCP, SCA to TSP and grants under Article 275(1) of the Constitution. The allocation of funds towards SCP and TSP are not as per the population proportion of SCs and STs in the States except a few States. The State governments are allocating SCP and TSP from the divisible and indivisible sectors and major funds to the tune of 60% to 65% funds are being allocated from the indivisible sectors like irrigation, agriculture, industry, power, roads & bridges which have only 10% to 15% coverage of SC and ST areas and even less percentage of actual beneficiaries. See the figure for eight states analysis results showed below:

Figure: 4. Analysis of SCP-TSP funds unspent among eight states.



Source: Response to RTI request/IndiaSpend.org 2016

The figure 4 analyse the implementation of the SCP and TSP in the selected States indicate that, none of these States are following the stipulated guidelines of SCP, TSP. The figure showed the Andhra Pradesh is the main defaulter state to allocation fundstowards SCP-

TSP. the allocated funds even less than and unspent funds Rs. 19,367 cores within three years. And also Andhra Pradesh is not keeping up to date information in the SCP-TSP websites Even Andhra Pradesh not willing to give any expenditure information under RTI request. Following other states like Uttar Pradesh is the next highest state for unspent allocated funds for Scheduled Caste communities. Whereas, Jharkhand is the highest state for unspent allocated funds for Scheduled Tribes in India. Orissa (for both SCP and TSP) and Bihar (for SCP) other States have not allocated SC and ST population proportionate funds during last three years budget. In the other previous periods also the same trend is seen. As dealt in detail in the earlier chapters, even these States allocations are only notional in nature like the other States. These States are allocating funds towards SCP and TSP from the divisible and non-divisible sectors/departments and whatever shortage accrued to these sub-plan outlays are being accounted mainly from the non-divisible sectors.. Even these less allocated SCP and TSP outlays have also not been utilized fully in the States. The tribal dominant States like Chhattisgarh and Orissa have utilized their TSP funds to the extent of 45 to 50% only for tribal development. The sectorial allocation and utilization of funds, fixing of targets and achievements are comparatively better in the States of Kerala followed by Gujarat State. Some States like Maharashtra and Gujarat are setting realistic targets and showing achievements against various schemes of the departments in their SCP and TSP documents by compiling them regularly. During the terminal years of the 10th Plan, other States like Orissa, Punjab and Chhattisgarh have started setting targets against various schemes and depicting the achievements.

The funds being allocated as grants in the form of SCA to SCP, SCA to TSP and Article 275(1) of the Constitution have also not been fully utilized in Bihar, Chhattisgarh and Orissa States and other States like Gujarat and Punjab have utilized higher amount than the release due to accumulation of previous year's backlog funds. Some States (Bihar, Punjab, and Chhattisgarh) did not receive full amount due to non-production of utilization certificates, completion of projects in time, non-preparation of viable projects, and release of funds in time to implementing agencies etc which indirectly shows the administrative bottlenecks, coordination problems between the Finance and nodal departments and administrative efficiency particularly at the field level. There is no uniformity in the utilization of funds for various schemes/programmes by the States for these funds. The real unspent amount will be even higher, because data on expenditure are not available for many years with the various state governments in India. Thirty-six years on, the situation has not changed much.

All State Governments as same as Andhra Pradesh

This state of affairs cannot be blamed on the Modi government alone. The following figures show how this farce has played out in budget years before the last one. An example of NDA government and UPA government allocation due and expenditure for SCP

Table: 8. SCP funds allocated NDA government and UPA government

Scheduled Castes	
2014-15	National Democratic Alliance government
Allocation due	Rs 95,450 crore
Allocation given	Rs 43,208 crore
Allocation used exclusively for Dalit welfare	Rs 10,690 crore
2013-'14	United Progressive Alliance government
Allocation due	Rs 69,565 crore
Allocation given	Rs 41,561 crore
Allocation used exclusively for Dalit welfare	Rs 10,591 crore

Scheduled Tribes	
2014-'15	National Democratic Alliance government
Allocation due	Rs 49,450 crore
Allocation given	Rs 32,184 crore
Allocation used exclusively for ST welfare	Rs 8,517 crore
2013-'14	United Progressive Alliance government
Allocation due	Rs 36,040 crore
Allocation given	Rs 24,598 crore
Allocation used exclusively for ST welfare	Rs 8,423 crore

Sources: Union Budget documents 2012- 2015

Case Study of States Budgets

The problem extends from New Delhi to all other states. In each state, the allocation of public expenditure for Scheduled Castes and Tribes should be decided by their percentage in the state's population. But some states don't abide by this, allocating less money than the population percentage demands. Worse, in these states – as also where the allocation is fair – the money is often diverted.

For instance, the AamAadmi Party's Delhi budget (2015-'16) assigned Rs 3,214 crore for Dalit welfare. But only Rs 231 crore (or 8%) ultimately went towards the intended purpose the remaining 92% (or Rs 2,973 crore) was diverted, according to the findings of the National Campaign on Dalit Human Rights. Diverted where? Other welfare schemes that weren't specifically meant for Dalits. Here are a few other examples of states diverting the spending meant for Dalits and tribals:

Odisha (in 2014-'15): The ruling party BijuJanata Dal rerouted Rs 172 crore from the Scheduled Caste Sub Plan towards major irrigation and road improvement projects, and Rs 12.41 crore towards the construction of buildings for police welfare.

Jharkhand (in 2014-'15): From the Rs 97.75 crore allocated by the building and construction department under the Tribal Sub Plan, Rs 50 crore was spent on constructing a circuit house. Another Rs 25 crore was diverted towards a court, and yet another Rs 21 crore towards a government residential building. That's Rs 96 crore out of Rs 97.75 crore gone. In 2013-'14, the previous budget year, Rs 7 crore was redirected towards purchasing a trainer aircraft and a motor glider. The list goes on. There are many more instances in other states, and other years.

What happens to unused funds?

The National Democratic Alliance (NDA) has not changed the 35-year pattern of neglecting to spend the funds. The present government Prime Minister Namenda Modi's first year in office saw the highest amount unspent and also the highest percentage of amount unspent over the last three years.

Table:9 Flow of Funds for Central Ministers (SC/ST sub-plan funds)

Year	Allocation of Funds(Rs. Crore)	Expenditure(Rs. Crore)	Amount Unspent (RS. Crore)	Increases in Allocation %	Increase in Unspent (%)
2012-13	58,823,14	53,345,04	5,478.10	0	17%
2013-14	6,159.92	56,76,761.17	9,398.35	12.00	72%
2014-15	82,935	49,955.79	32,979.21	25	251%
2015-16	38,833	12,567.97	26, 265.03	0	37%
2016-17	24,005	11,391.78	12,613.77	0	53%

Source: Response to RTI request/India Spend

The above table shows very clearly that the 251 % of the allocated funds not spent for SC/STs development in the year of 2014-15. Followed by 72% per cent of the allocated funds did not spend when the UPA government, whereas NDA government also following same line without spending of SC/STs sub-plan funds. As per the guidelines, the funds that remain unspent at the end of a financial year are supposed to be transferred to a non-lapsable central pool to be used later. But that, actually, is not what happens.

The concept of transfer of unutilised TSP funds to NLCPTF (central pool of TSP funds) remained a non-starter, the comptroller and auditor general the government's auditor had noted in this 2015 audit report of TSP funds. A senior NITI Aayog official, who spoke to IndiaSpend on condition of anonymity, confirmed that unspent funds are being "lapsed", not carried forward to the next year as per rules. "The committee is informed that there has been 'poor utilisation' of the allocated funds for welfare of SCs and STs," says NITI Aayog in its latest guidelines to the states.

Where Did the Rest of the Money Go?

. The research revealed that funds supposed to be allocated to Dalits (according to the 12th Plan) are slashed at two junctures: first, at the point of allocation itself and, second, at the moment of usage. Most of the money allocated for Dalits, it found, gets diverted to general welfare projects by the government. The Dalit and Adivasi Budgets, instead of directly reaching millions of needy SCs and STs and planning for their development in education, health, civic amenities, skill development and entrepreneurship, have become mere accounting measures. There should be specific schemes are supposed to be scaled up or designed to cater to them. Instead, they are spent on general purposes like large hospitals located in cities, flyovers, stadiums, and other large infrastructure which, no doubt may be used by the overall population in general. In 2015-'16, Rs 40,014 crore was supposed to be allocated for adivasis, but Rs 20,000 crore actually was. And what went directly to them in the end was just Rs 7,399 crore. Put another way, 18.5% of the allocation due. Like with Dalits, there seems to be no effective monitoring system to ensure that the spent allocated for tribals does in fact benefit them and doesn't get diverted into general expenditure.

Conclusion

The analysis has attempted to track the allocation funds from Union & State Budgets. The assessment reveals that all five states have allocated funds in the Total Plan Outlay in proportion to the population of SCs/STs. However, the analysis shows that the majority of the

status has not allocated funds for SCs/STs in proportion to SC/STs population. The analysis of the department and scheme-wise allocations shows that there are many instances of fund diversion and misappropriation of funds earmarked for SCs. The analysis also shows that there has been poor utilisation of funds due to poor absorption capacity in the states. The assessment of implementation approaches under TSP reveals that ITDP/ITDA are unable to function due to reasons ranging from lack of adequate and trained staff, poor planning processes, and lack of adequate office infrastructure to basic facilities for staff. Besides, in several states, Project Officers at ITDP do not have sufficient work experience which compromises their ability to perform.

The plan allocation by various line departments meant for SCs and STs does not have the enough scope for tailor made projects and Schemes suitable to their specific needs. Most of the current schemes are for survival, and not for long term development or empowerment. No focus was given on entrepreneurship, employment and skill development projects.

In SCSP and TSP, still there has been a critical administrative bottleneck in implementation of the development programmes/schemes. Sufficient administrative, executive and accountability mechanism meant SCs and STs are not in place in States and districts. Budgetary norms are not being followed appropriately. There has been poor utilisation of the allocated funds for the welfare of SCs and STs. Funds meant for SCSP and TSP funds have been diverted to other sectors and purposes. Lack of transparency in many state budget in terms of accessing public information on SCs and STs, many State budgets do not publish summary statement on SCSP/TSP. Poor service delivery mechanisms in the field level also constrain attainment of development outcomes.

Another reason for this huge under-utilisation of SCSP/TSP money is the nodal ministries for different sectors failed to monitor the utilisation of funds released under SCSP/TSP. At the Union Level, only 15 ministries/departments have appointed nodal officers. In many cases, where nodal departments were

Key Policy Recommendations

Allocation should be in proportion to the SC and ST population in the Union Budget and State Budgets. Funds meant exclusively for the benefits for SCs and STs should not be used for other sectors. Union and state government line ministries/departments that have not earmarked funds so far for SCs and STs must allocate funds by introducing special/exclusive projects for SCs and STs. Main key policy recommendations as follows:

- a. ***Economic Sector Schemes must be increased:*** Growth and skill development oriented ministries and departments should also be under SCSP, which has an increased proportion of economic sector such as entrepreneurship, employment & skill development and participation related schemes.
- b. ***Special focus for SC/ST Women:*** Apart from the 10% specific allocation for women in SCSP and TSP as recommended in the above table, there should be special mechanism to prioritise women beneficiaries especially in agriculture, land and livelihood, entrepreneurship, employment & skill development, higher and professional education, social protection, housing and participation related schemes.
- c. ***Empowered Institutional Mechanism:*** At the Centre and the State level, the implementation and monitoring to be entrusted to Ministry of Social Justice and Empowerment (SCSP) and Ministry of Tribal Affairs (TSP) which are sufficiently empowered to oversee effective implementation and monitoring – these should include exclusive senior Secretary, Joint Secretaries, Economic advisors, a well-equipped research and support team in each of the ministries with necessary financial allocations.

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