Operational Guidelines for
Formulation, Implementation and Monitoring of Tribal Sub-Plan and Article 275(1) grants

1. Introduction

1.1 The basic objective of the Tribal Sub-Plan (TSP) is to allocate government resources equitably between the overall population and tribal population. Majority of the tribal population is less vocal, has been traditionally disadvantaged, live in remote places, and for these reasons do not get their due share of the resource in terms of the percentage of their population of the population of the Country or in a State. Even when resources are allocated proportionate to the population, the actual expenditure is low because of difficulty in implementation of programs, lack of vocal demand from tribal people, leading to the argument that the capacity of tribal people and areas dominated by tribal people to absorb government resources is low. As a result, even this money allocated on the basis of population lapses – an euphemism for transfer to non-tribal people in subsequent financial year.

1.2 While this failure to make proportionate allocation of government resources for tribal population / areas is bad enough, it becomes egregious when the basic parameters – human development indices (HDI) and infrastructure – are compared between tribal and whole population / areas. The per-capita cost of infrastructure for tribal is higher than rest of the population because tribal population is dispersed, often in small hamlets and in hilly and inaccessible areas. Literacy, life span, IMR and MMR, income levels, food security etc. are worse for tribals than that of rest of the population. The problem has been further exacerbated by (a) continuous presence of extremist groups who resort to violence even to prevent basic social programs like health, education, livelihood etc. (b) large scale displacement through government-sponsored programs like reservoirs, declaration of their habitats as reserve forests and wild life
sanctuaries, mining etc., thus depriving the tribals from both food from the forests and collection of forest produce which could have given them cash income. In view of the above, equitable distribution of government resources for tribal people would mean that the amount which is actually spent for them should be more than their entitlement as per population percentage.

1.3 While the CSS plan outlays for social sector and livelihood has increased, and both these are important for tribal people and others living in areas with predominant tribal population – the access to these schemes by such people has been restricted due to various reasons. In addition to the problems of physical access, the absence of functionaries of line departments is a severe handicap. The ITDAs were to facilitate such access. But over the years, several scheme-specific bodies at district level including DRDAs have become stronger whereas ITDAs have become weak in most of the States. (One exception is Andhra Pradesh). The ITDAs have to be strengthened. In smaller concentration of tribals who are particularly in need of support, micro projects have to be strengthened or set up where they do not exist. Blocks where ST population is higher than 50% must have ITDAs. In most urban areas, there is very little manpower for addressing problems of tribals and this needs creation of new agencies or deployment of functionaries from the Department of Tribal Welfare to suitable agencies.

2. **Current trend and way forward:**

2.1 Substantive amount of TSP funds are still utilized for infrastructure. Certain types of infrastructure like school building and hostels should continue to be priority in tribal areas. However, support from schemes of Ministry of Human Resource Development should also be tagged.

2.2 In addition to the Centrally Sponsored Schemes funds in many States, State plan fund are available now for roads, drinking water, sanitation, livelihood,
electricity, solar power and so on. Therefore, to the extent possible, funds from these sources should be tagged.

2.3 The literacy gap between tribals and non-tribals continue to be alarming. It has been noticed that the drop out rates of day-scholars is much more than the drop out rates of boarding schools. The construction of boarding schools however, remains different across the country.

2.4 Boarding schools also have the advantage of protecting children from being kidnapped in disturbed areas or being trafficked otherwise. In fact larger boarding schools provide better protection. The density of teachers in larger schools is also better and absenteeism of teachers is less in larger schools.

2.5 When the ITDA and the Tribal Welfare Department have a strong line of engineering set up as in case of Andhra Pradesh, the construction of school buildings is faster. However, the construction is much poorer and absorption of funds is much lower where the engineering personnel available with the Tribal Welfare Department is low. The reason is that in the absence of its own engineering department, money is given to other engineering Departments like PWD for whom our projects are not priority. There are other issues in education like getting back children who have dropped out of school for no particular reason.

2.6 While there is no shortage of funds for livelihood sector like agriculture, animal husbandry, horticulture, handicrafts, handloom, skill development etc. under various Centrally Sponsored Schemes, the access of tribal population to such schemes continues to be poor for reasons mentioned at para 1.3 above. Depletion of forests and displacement has further exacerbated livelihood problems. In view of this, the ITDAs have to play a role in facilitating delivery of public goods and services, and particularly carry the schemes relating to livelihood to the people. In addition to having people who can facilitate the
personnel in charge of programs in line departments to access the tribal people / areas, the personnel of ITDAs etc must have basic knowledge of various schemes and their feasibility in specific areas.

2.7 Against this background, the role of ITDA / micro projects has become more important than it was decades ago. Besides, the engineering units, the micro project also have to work as link between the line departments for social and livelihood sectors and the tribal population.

2.8 The Forest Rights Act has also cast additional responsibility on the field staff of the Tribal Welfare Department. The main responsibility is to enable Gram Sabhas to take informed decisions. These agencies also must be pro-active when the rights of the forest dwellers are affected adversely. While MGNREGA supports land development and watershed for increased productivity of land settled under FRA, absence of supporting staff for implementing the scheme has resulted in low absorption of funds available for supervision of these works. This requires additional technical staff for ITDA / micro projects etc.

2.9 The high MMR and IMR in certain pockets of the country show that some of the pregnant mothers are not covered under immunization. These relate to women who go out to hills for agriculture or those who live in small hamlets. It would be necessary that the ITDA etc. take the responsibility of getting the pregnant mothers to the immunization centre or taking the ANM to these remote hamlets.

2.10 The above picture shows that the priority for expenditure of TSP and Article 275 grant has to shift to create administrative base in the remote and tribal pockets. In case of dispersed population of tribals, for example, in States like Maharashtra, Karnataka and Rajasthan, there is no agency dedicated to deliver the programs meant for Schedule Tribes. There has been also considerable displacement of tribals from their traditional hamlets initially because of
declaration of their habitat as reserved forests etc., irrigation projects and later because of mining projects and violence. Many of these people have become wage labourers in urban areas. Many of them lack decent habitat. There is no institution for delivery of benefits to such tribal population. Therefore, new outfits have to be setup for these pockets.

2.11 2011 census also shows that new Block and pockets have emerged with more than 50% tribal population. New institution like ITDA have to come up in these areas.

2.12 To sum up, there is necessity for new administrative units for helping tribal people in the following cases:

(a) Urban areas where the population of Scheduled Tribes exceeds 10,000.
(b) A special set up with support from MoEF for people who have been relocated from sanctuaries.
(c) Additional grants for tribal people who were displaced and deracinated because of hydel projects, land acquisition, and transfer of forest land to government / private firms.

3. Nodal Department

3.1 At the State level, the Department in-charge of Tribal Welfare shall be the nodal department for TSP. The nodal department shall be consulted for all expenditure relating to TSP component.

4. Tribal Research Institute (TRI)

4.1.1 The Director of TRI should be a full time officer.
4.1.2 The Ministry is considering to make TRI, Bhubaneswar a National Institute.

4.1.3 The budget for research for 2014-15 has also been enhanced.

4.2 In terms of capacity building, there are areas in which the TRI should be strengthened in terms of manpower. Training of tribal people relating to livelihood is one issue. It is also observed that Tribal Welfare Service officials are not provided basic training after recruitment in some places. The TRIs have to be strengthened for this purpose. The third aspect of capacity building relates to in-service training on laws relating to tribals both for officials and elected tribal leaders. Such Laws would include Forest Rights Act (FRA), PESA Act and Regulations in Scheduled Areas.

4.3 Tribal Museums funded from the Ministry of Tribal Affairs should be attached to TRIs. This is not about territorial turf between departments. Once the Tribal Museum goes out of the TRI, a knowledge deficit arises within the TRI. This also creates an impression that the Tribal Museums are only of tourist value and not about knowledge of tribals.

4.4 Capacity building programs of MoTA, State Governments and other CSS / State Plan Schemes should access TRIs for capacity building of officials, elected representatives, teachers etc. and funds received towards this should be in a bank account under the control of TRI.

4.5 Out of these funds, the TRI should have the freedom to hire consultants for research and teaching.
5. **Inter-State Allocation**

5.1 At present, Inter-state Allocation is based largely on the proportion of tribal population of a State. However, it is to be seen that the per capita cost of infrastructure is higher where tribal population is dispersed. Secondly, weights have to be given for sector specific schemes. For example, in case of education, some weight has to be given for extent of illiteracy. Therefore, inter-se allocation between the States will be as follows:

<table>
<thead>
<tr>
<th>Support to Institutions like ITDA, micro projects etc.</th>
<th>According to the percentage of population.</th>
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<tr>
<td>Support for education</td>
<td>50% weight for population and 50% illiteracy i.e. gap between literacy of tribals in a State and overall literacy in the country</td>
</tr>
<tr>
<td>Infrastructure</td>
<td>50% on the basis of population and 50% for areas.</td>
</tr>
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</table>

5.2 It will be more difficult to specify a quantitative norm for allocation of TSP fund between different areas of a State. There are also issues like getting children from disturbed areas and remote areas to residential schools and skill development centres located in urban areas both for safety and higher quality of education. However, a suggested norm of computing the actual fund flow for TSP for different kind of schemes is tabulated below:

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

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Type of scheme</th>
<th>Cost to be allocated and accounted for under TSP</th>
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<tbody>
<tr>
<td>1.</td>
<td>Exclusively for ST individuals or ST households</td>
<td>100%</td>
</tr>
<tr>
<td>2.</td>
<td>For Scheduled Tribes habitations</td>
<td>100%</td>
</tr>
</tbody>
</table>
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 areas based development projects / activities
   25% in respect of the States / UTs having up to 10% ST population

7. Reimbursement of fee for higher education in self-financed private institution
   To be fully met from TSP fund

6. Establishing Standards for Service Delivery

6.1 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 area 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 consultation 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 practices. The standards are to be
maintained in infrastructure development, teacher training, Meals, support to students and support to teachers.

6.2 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 emphasized 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 in conducted as per the guidelines of RBSK, NRHM.

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

7. Formulation of TSP

7.1 Every line Department having a TSP component will distribute the TSP allocation between different areas separately, specify the allocation going to TSP areas. The nodal department will communicate this to the district ITDA etc. The ITDA will prepare specific plans taking into account their own resources and the resources available under various departments.

7.2 The nodal department will monitor from time to time the actual flow of funds to these areas. In areas where no ITDA etc. exists, the District Collector will monitor such flow once in a quarter.

7.3 The State Secretary in-charge of Tribal Welfare Department will monitor flow of funds at least once a quarter.
7.4 A Committee headed by the Chief Secretary will monitor the flow of funds to the TSP and the expenditure at least once a year before the end of the financial year.

7.5 There should be a mechanism under which any fund of any department which is not spent and which was meant for TSP will be credited to the budget of the nodal department in the next financial year and the nodal department will allocate this money to ITDA etc. for taking up programs in the respective sectors.

7.6 The TRI will setup a Monitoring Cell to assist the ITDA, Collectors and nodal departments in monitoring the program.

8. Expenditure from SCA – TSP / Article 275 (1) grants

8.1.1 In view of the situational analysis, the grants from Gol will be in the following order of priority.

8.1.2 Strengthen ITDAs / dedicated micro projects / create new ITDAs.

8.1.3 Support additional manpower in livelihood and engineering wings within ITDAs etc.

8.1.4 Strengthen Tribal Research Institutes as stated above.

8.1.5 Residential Schools and support to Government hospitals in tribal areas.

8.1.6 Support to linkage with livelihood projects.

8.1.7 Any other project relating to wellbeing of tribals.

8.2 Stand-alone projects like upgradation of breed without forward and backward linkages will not be supported.
8.3 In case of special situations, exceptions can be made to the above with the approval of the Competent Authority.

9. Transparency, Accountability and social Audit:

9.1 When works are taken up in a particular area, the beneficiaries / villages / habitations will be informed through the Gram Panchayats and Gram Sabha.

9.2 When individual beneficiaries are benefited, the names and the nature of benefit should be disclosed to the Gram Sabha and the Gram Panchayat. The disclosure will include the amount of money spent, the amount of money spent by individual beneficiaries, incomplete works, funds required for completion of incomplete works.

9.3 The ITDA will take pro-active role in bringing to the notice of the tribal people various Centrally Sponsored and State Plan schemes from which the people can benefit. They will also facilitate access of the people to the functionaries in-charge of these schemes.

9.4 An independent evaluation of the scheme and its impact will be made through reputed institutions once every two years. Institutions like Tribal Research Institute and State Institute of Rural Development of one State may also be engaged in evaluation of scheme of another State.

10. Project proposals under SCA-TSP and Article 275 (1) grants will be approved by a Committee consisting of:-

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<tr>
<td>1.</td>
<td>Secretary, Ministry of Tribal Affairs</td>
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<td>2.</td>
<td>FA, MoTA</td>
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<td>3.</td>
<td>Advisor, Planning Commission</td>
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<td>4.</td>
<td>JS / Director in charge, MoTA</td>
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5. Representative of State Government - invitee
6. Any other expert co-opted for a particular state or a particular category of project - Member

(Hrusikesh Panda)
Secretary
4.3.2014