

Annexure 7

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

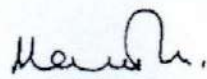
Yojana Bhavan, Sansad Marg,
New Delhi, Dated the 18th June, 2014

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 31st 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 Secretaries of all States/UTs.

Copy to : (i) Secretary, Ministry of Social Justice & Empowerment, Shastri Bhavan, New Delhi.

✓ (ii) Secretary, Ministry of Tribal Affairs, Shastri Bhavan, New Delhi.

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Revised Guidelines for Implementation of Tribal Sub-Plan (TSP) by the States/UTs

1.1 Objective:

The objective of the Tribal Sub-Plan (TSP) is to bridge the gap between Scheduled Tribe (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 Tribal Sub-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.

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- 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 full-fill the criteria of securing 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 tribal's community, allocation of funds, fixing physical targets to address inter-tribal and inter-habitation variance /inequalities in their socio-economic status and equity based approach. The needs of the Particularly Vulnerable Tribal Groups (PTGs) will be accorded priority with focused approach and special

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- 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 full-fill 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 along-with 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.

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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 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.

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Appropriation of TSP funds from one Department to another Department shall be with the approval of the Nodal Department.

- xiii. The State government may device 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.

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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:

- 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

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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 full-fill 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

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- 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

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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.

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

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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 devise some parameters indicating performance in implementation of TSP for key field functionaries.
- 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.

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- 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.

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