



# SOCIAL INCLUSION

October 2022



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# **Thematic Report**

# **SOCIAL INCLUSION**

**September 2022**



# PREFACE

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The Government of India (GoI) spends close to Rs. 14 lakh crores annually on development activities, through nearly 750 schemes implemented by Union Ministries. In 2019, the Development Monitoring and Evaluation Office (DMEO), NITI Aayog was assigned the task of evaluating 28 Umbrella Centrally Sponsored Schemes, which are schemes/programmes funded jointly by the Centre and the States and implemented by the States. This historic exercise, undertaken between April 2019 and February 2021, evaluated 125 Centrally Sponsored Schemes, under 10 Sectors, together covering close to 30% of the GoI's development expenditure, amounting to approximately Rs. 3 lakh crores per annum.

As a part of the evaluation studies, the Centrally Sponsored Schemes were also assessed based on various cross-sectional themes such as accountability and transparency mechanisms, use of technology, convergence, gender, social inclusion, regulatory framework, climate change, behaviour change, Research and Development and private sector participation. These evaluation studies adopted a mixed method approach and underwent a review process involving consultations with NITI Aayog subject matter divisions, concerned Ministries and Departments, and external sector experts. For the cross-sectional analysis across sectors, additional secondary research was undertaken by DMEO, and the findings were reviewed by experts in the respective domain in order to optimize the robustness of the evidence generated across the sectors.

The present report is an outcome of the cross-sectional assessment of Social Inclusion across all the Centrally Sponsored Schemes. In this report, we seek to assess social inclusion across various government schemes. The report also develops a theoretical framework based on existing literature for assessing the performance of schemes, Sectors and Ministries/Departments against measures of social inclusion- Role of Tribal Sub-Plan and ST-SC Sub-Plan, exhibited in the design and implementation of schemes.

We hope that this report will help in strengthening elements of Social Inclusion in the design and implementation of central and state government programs. Systems for institutionalizing social inclusion in government will lead eradication of discrimination and contribute to the achievement of national priorities and to the well-being of all sovereign citizens of India.



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DMEO team has been at the core of the cross-sectional analysis, and this report would not have been possible without the contributions of Ms. Meghanjali Routh, Mr. Ankit Choudhary and Ms. Amrita Singh, who worked tirelessly on every last detail of this herculean endeavour, under the guidance of Mr. Akhilesh Kumar, Director and Ms. Disha Bhattacharjee, M&E Specialist. The team would also like to thank Mr. Vijender, for his support at various stages of the study. Across the cross-sectional reports, Dr Shweta Sharma, Director also oversaw coordination, standardization and monitoring of the processes.

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In accordance with the massive scope and scale of the exercise, this report owes its successful completion to the dedicated efforts of a wide variety of stakeholders.

**Director General,  
Development Monitoring and Evaluation  
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# EXECUTIVE SUMMARY

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As supplementary evidence for continuation of schemes from 2021-22 to 2025-26 (coterminous with 15<sup>th</sup> Finance Commission cycle), DMEQ, NITI Aayog commissioned third party evaluations of 125 Centrally Sponsored Schemes (CSS) under 28 umbrella CSS across 10 packages or sectors. Apart from evaluation of fulfillment of schemes' objectives, these studies also undertook an overarching review on 13 cross-sectional themes covering pertinent and emerging areas such as climate change, gender, private sector participation, accountability & transparency etc. 'Social Inclusion' [specifically the Role of Tribal Sub-Plan (TSP) and Scheduled Caste Sub-Plan component of the scheme in mainstreaming of Tribal and Scheduled Caste population] is one such theme which was reviewed for all the 119 schemes under the purview of this evaluation exercise. This paper is an attempt at understanding the need and role of social inclusion at sector and institutional level and exploring the possible pathways to inclusion.

In every country, some groups confront barriers that prevent them from fully participating in political, economic, and social life. These groups may be excluded not only through legal systems, land, and labour markets, but also discriminatory or stigmatizing attitudes, beliefs, or perceptions. Disadvantage is often based on social identity, which may be across dimensions of gender, age, location, occupation, race, ethnicity, religion, citizenship status, disability, and sexual orientation and gender identity (SOGI), among other factors. This kind of social exclusion robs individuals of dignity, security, and the opportunity to lead a better life. Unless the root causes of structural exclusion and discrimination are addressed, it will be challenging to support sustainable inclusive growth and rapid poverty reduction.

Performance under the Role of Tribal Sub-Plan (TSP) and Scheduled Caste Sub-Plan component of schemes across sectors is assessed through various parameters, viz. fund allocation, fund utilization and inclusiveness in scheme design. The analysis was done at two levels: the sector and the scheme. The key parameters for analysis, including Relevance, Effectiveness, Efficiency, Sustainability, Impact, and Equity (REESIE), have been selected based on international best practices in evaluation and with the help of relevant data sourced from the 9 evaluation package reports pertaining to the section on Role of Tribal Sub-Plan (TSP) and Scheduled Caste Sub-Plan.

# 1. BACKGROUND

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## A. SOCIAL INCLUSION: DEFINITION AND SCOPE

Terms such as ‘inclusive growth’ or ‘social inclusion’ have now become part of the common lexicon of governments and other development agencies across the globe. This theme has gained currency in recent times owing to major socio-economic transitions and trends that the world has been witnessing in recent times. Several factors such as demographic shifts, economic volatility, climate change, food price shocks, armed conflict, civil protests, human migration and the recent COVID-19 pandemic are creating tremendous pressure on societies globally. These factors are disproportionately impacting socially disadvantaged groups by exacerbating existing marginalization and vulnerabilities.

The term ‘social inclusion’ traces its origin to several theoretical constructs of social welfare that straddle diverse disciplines of development economics, political science, sociology and philosophy. However, the term has come to assume a wide array of connotations globally for different stakeholder groups and across different geographical regions. The World Bank Group defines social inclusion as “the process of improving the terms for individuals and groups to take part in society”. It involves “improving the ability, opportunity, and dignity of those disadvantaged on the basis of their identity, to take part in society”<sup>1</sup>. A fair society offers equal opportunities to all its members; however, various social groups continue to be excluded or are at a disadvantage owing to their identity which includes gender, race, caste, ethnicity, religion, geographical location, sexual orientation, economic or disability status, among others.

Social Inclusion is integral to the vision for new India and it is a core theme of the Government of India’s development agenda. NITI Aayog, in its Strategy for New India@75, has clearly defined objectives for India to achieve by the year 2022-23, one of which is to build an inclusive society. The COVID-19 crisis has further highlighted the need for strong social protection measures covering different vulnerable groups across the country.

### ● **Appreciating Group-based Inequalities**

The pledge to ‘leave no one behind’ is a fundamental principle underlying Agenda 2030 and the Sustainable Development Goals. Its emphasis on prioritizing the welfare of the most disadvantaged groups and reducing group-based inequalities has the capacity to bring about transformative change<sup>1</sup>. No goal is considered to be met unless it is met for everyone.

In the human development discourse, the importance of appreciating group-based inequalities or ‘horizontal inequalities’, has been emphasized by many scholars. Quite often the horizontal inequalities are contrasted with ‘vertical inequalities’, inequalities among people (Stewart, 2008). Group-based inequalities tend to be more ‘durable’ (Tilly 1999), and to require a policy lens that is sensitive to how discrimination constrains human development attainment.

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<sup>1</sup> Urban, Disaster Risk Management, Resilience and Land Global Practice, World Bank (2019), Social Inclusion. Last accessed on 12<sup>th</sup> August 2021

There are emerging discussions around the relative significance of ‘vertical’ inequality (based on measured outcomes at household level, such as income), versus ‘horizontal’ or group-based inequality, with particular groups of people lagging behind as a result of social exclusion. Group-based inequalities may have many sources – commonly, there has been a focus on what are known as ‘ascribed’ characteristics, those that are not subject to change, such as gender, age and ethnicity or religion. It is also emphasized how socio-economic status is associated with outcomes in other dimensions, such as education or health, while a large body of work considers how spatial location – sub-national region, urban/rural zone, informal settlements – may determine people’s life chances (Samman, 2014).

Patterns of deprivation are more complex and multi-dimensional than what is implied by income or consumption measures alone. Even for households of similar income levels, the actual experience of poverty varies dramatically based on where they live with respect to their access to the basic social services like schools, health centres, drinking water, sanitation, and improved energy sources. The availability of well-run social infrastructure and free or low-cost services in the vicinity of the poor is a crucial determinant of their quality of life. The positive effect of income is muted when it comes to education and health care. Poor socially excluded groups, more than any other group, rely on basic public services to meet their needs for health and education (Kabeer 2010). The failure of such services to address their needs is a major factor in explaining the uneven pace of progress across social groups. ‘Basic capabilities’, in particular, such as the ability to be nourished, literate and numerate, should not be shaped by circumstances such as gender, ethnicity or the place where one is born.

In the study of group-based inequalities – what Naila Kabeer has termed ‘intersecting inequalities’ (Kabeer 2010), she draws our attention to four types of inequalities – cultural, spatial, economic and political – and argues that it is ‘the mutual—and intersecting—nature of these inequalities that reinforces the persistence of social exclusion over time’. Across regions, she argues, we can trace the effects of these inequalities by looking at how different social groups – characterized by intersections of gender, ethnicity, class and spatial location – fare in relation to one another. Addressing such inequalities, she argues, is necessary to tackle social exclusion – and requires anti-discriminatory legislation; the collection of disaggregated data; attention to the resource base, infrastructure and social service needs of excluded groups; as well as social protection.

#### ● **Human Rights vs. Human Dignity**

All our social systems deprive large portions of people of their basic human needs and decent living. They are known by various labels such as destitute, marginalized and even vulnerable. Members of these deprived sections of the society often live in an extreme condition of ill-being which results in their failure to meet a basic minimum living standard. This notion of destitution is closely related to the notion of inability to meet basic needs. They survive by doing a variety of informal activities such as gathering food from the village commons, making baskets, selling minor forest produce, etc.

Vulnerable groups are those groups whose resource endowment is inadequate to provide sufficient income from any available source. As per the World Bank a vulnerable section in a population is one that has some specific characteristics that put them at higher risk of falling into poverty than others.

Human rights have to be based on principles of dignity and freedom. Unfortunately today, “both are severely compromised” because a lot of human beings cannot meet their basic needs of food, peace, freedom, and education.

### ● **Determinants of the Human Dignity**

Perhaps there is a now an urgent need to formulate the common determinants of the human dignity along with the measurable outcome indicators to be monitored on a real-time basis in the pattern of the ‘Aspirational Districts’. A new and more holistic measure of human dignity will be an estimate of the minimum economic cost for a household to fulfill eight basic needs: food, energy, housing, drinking water, sanitation, health care, education, and social security. In order to enable and empower the disadvantaged sections of the society access these basic needs in an equitable manner, the need will be to calculate the minimum monthly income for the level of consumption required to meet these needs; assuming that infrastructure and access points are available at an efficient cost. This measurement of the minimum economic cost can perhaps form the basis for a new national vision of India for a dignified level of living for the disadvantaged and vulnerable groups/sections.

We may perhaps introduce a targeted or non-universal programme for giving assured basic income to persons of only the vulnerable groups belonging to the disadvantaged social groups communities such as SCs, STs, Other Backward Classes, Economically Backward Classes, Nomadic, Semi-Nomadic and De-Notified Tribes, Safai Karamcharis and Religious Minorities. Vulnerable groups among the above mentioned social groups are those groups whose resource endowment is inadequate to provide sufficient income from any available source and have some specific characteristics that put them at higher risk of falling into poverty than others. Targeted schemes appear to deliver substantial improvements in welfare compared to universal programmes. Targeted Basic Income Programme (TBIC) can be introduced by degrees, and in conjunction with other ongoing policies and programmes. This would necessitate identifying the basis for giving assured basic income to the members of the vulnerable groups. Basic income should be introduced as a kind of compensation for disadvantaged social groups who have remained dispossessed for decades from the opportunities and resources required to lead a minimal acceptable standards of a dignified life. Hence, the meaning of ‘basic income’ should be construed as programmes in which payments are high enough to meet basic living expenses for dignified living. Many countries have implemented transfer programs that seek to target beneficiaries: that is, to identify who is poor and then to restrict transfers to those individuals. Greater transparency of the lists of eligible beneficiaries will be important to effective implementation of a proxy-means test-based scheme.

### **a. What is Social Exclusion?**

According to Silver, “Social exclusion is usually defined as a dynamic process of progressive multidimensional rupturing of the ‘social bond’ at the individual and collective levels”<sup>2</sup>. It encompasses various forms of social disadvantages including lack of access to quality education, health, and housing, in addition to material poverty. Social exclusion results from a failure of a society to grant equitable access and recognition to different spheres of life such as education, health, job opportunities and resources, etc”<sup>3</sup>. Amartya Sen has aptly observed that “Social exclusion can, thus, be constitutively

<sup>2</sup> Silver, Hilary, (2007), The Process of Social Exclusion: The Dynamics of an Evolving Concept, Last accessed on 12<sup>th</sup> August 2021

<sup>3</sup> C.J. Sonowal, TISS, (2017), Indian Tribes and Issue of Social Inclusion and Exclusion Last accessed on 12<sup>th</sup> August 2021



a part of capability deprivation as well as instrumentally a cause of diverse capability failures”<sup>4</sup>. De Haan also propounded that social exclusion depicts both the multidimensional outcomes as well as the processes of deprivation<sup>5</sup>. According to various theorists, social exclusion is a process rather than an outcome and due to the multidimensional nature of this process, there is an interaction of multiple dimensions of disadvantage which may reinforce one another, thereby exacerbating the impact. Social exclusion has a strong correlation to poverty as it creates interrelated, multidimensional and chronic deprivations.

Exclusion from society in all its dimensions has adverse and debilitating effects on human capital development as it exacts substantial social, economic and political costs. Inequitable growth and rising inequality can threaten the social fabric of any society and provide drivers for social unrest and rising crime due to their self-reinforcing and cumulative impact. India’s widening inequalities in terms of income and access to basic services are further aggravating the historical divisions of class, caste, gender and other social identities. Social exclusion may be erroneously interpreted to be the same as poverty and income inequality and, as an extension, social inclusion may be viewed as being limited only to financial inclusion. The term social inclusion, however, transcends the elimination of poverty and requires that the broader issue of social exclusion be addressed. It is important not only in terms of economic rights and opportunities but also in terms of voice and empowerment of all social groups<sup>6</sup>. Social inclusion in many cases may not be about economic or income disparity at all, for instance discrimination against Lesbian, Gay, Bisexual and Transgender (LGBT) is practiced commonly even in many high-income developed societies against high-income individuals.

As per a World Bank Group publication<sup>7</sup>, a sustainable path towards ending extreme poverty and promoting shared prosperity would also involve creating an inclusive society, not only in terms of economic welfare but also in terms of the voice and empowerment of all groups. An inclusive society must have institutions, structures and processes that empower local communities, so they can hold their governments accountable. It also requires the participation of all groups in society, including traditionally marginalized groups, such as ethnic minorities and indigenous populations, in decision-making processes.

Social inclusion perpetuates social justice, which is both a process and a goal<sup>8</sup>. The aim of social justice is to ensure that each individual, irrespective of their caste, sex, race or other identity, has an equal opportunity to be a contributing member of society. It aims at ensuring equal access to opportunities for all, thereby advancing their growth and development. It ensures access to quality resources such as education, healthcare and employment.

## B. SOCIAL INCLUSION IN INDIA

In Indian society, traditionally, social classes were divided based on the caste system, wherein everyone is ascribed a caste based on the family they are born into. This has continued in some form or the other in recent times. This “class” based classification of social groups is known to be among

4 Sen, Amartya, Office of Environment and Social Development, Asian Development Bank, (2000), Social Exclusion: Concept, Application and Scrutiny, Last accessed on 12<sup>th</sup> August 2021

5 de Haan, Arjan, (1999), DFID London, Social Exclusion: Towards a Holistic Understanding of Deprivation, Last accessed on 12<sup>th</sup> August 2021

6 United Nations, Department of Economic and Social Affairs, (2019), Analyzing and Measuring Social Inclusion in a Global Context Last accessed on 12<sup>th</sup> August 2021

7 International Bank for Reconstruction and Development/The World Bank (2013), Inclusion Matters: The foundation for shared prosperity Last accessed on 12<sup>th</sup> August 2021

8 Adams, M., Bell, L. A., & Griffin, P. (Eds.). (2007). Teaching for diversity and social justice (2nd ed.) New York, NY: Routledge, Last accessed on 12<sup>th</sup> August 2021

the world's oldest and longest surviving forms of social stratification and also of "human oppression, subjugation and degradation"<sup>9</sup>. As part of this legacy, some of the key segments which continue to face social injustice and exclusion, based on their identity at birth, are the Scheduled Castes (SC), Scheduled Tribes (ST) and Other Backward Classes (OBC). These groups of people have been systematically denied rights and opportunities based on their caste at birth. According to the Census 2011, these vulnerable groups together constituted about 70 percent of India's total population. Over the decades, India has witnessed a major reduction in multi-dimensional poverty. According to the Global Multidimensional Poverty Index (MPI) 2021 (Unmasking disparities by ethnicity, caste and gender) released by the United Nations Development Programme (UNDP) and the Oxford Poverty and Human Development Initiative (OPHI), five out of six multidimensionally poor people in India are from lower tribes or castes. The Scheduled Tribe group accounts for 9.4 percent of the population and is the poorest, with 65 million of the 129 million people living in multidimensional poverty.

Even though the traditionally disadvantaged groups across states, castes, religions and ages have experienced the maximum decrease in Multidimensional Poverty Index through the decade, indicating that they have been moving up, they continue to remain amongst the poorest strata of the society. A study analysing the India Human Development Survey (IHDS 2011) data showed that the annual income of SC and ST households are respectively at 80 percent and 70 percent of the average annual household income at an all India level. Furthermore, average income of OBC and Muslim households is comparatively better, at 90 percent of the overall average income<sup>10</sup>.

In contrast, those defined as the 'forward castes' (Brahmins and Non-Brahmins) have 1.4 times the average household income. The same study also analysed the wealth/assets across the social groups, using the same data, and found that STs, SCs and Muslims had lower assets than the average household whereas forward castes had more assets compared to the average household showcasing significant disparities between the lower and upper castes, thus perpetuating caste-based disadvantage.

SCs, STs, OBCs, Safai Karamcharis, De-notified Tribes (DNTs), Notified Tribes (NTs) and Semi-notified Tribes (SNTs) belong to the poorest economic strata of Indian society and face severe economic and social exclusion, segregation in housing, denial, and restrictions of access to public and private services and employment. They tend to constitute a substantial proportion of casual labour in the country. In a breakdown analysis of caste data in public and private sector, it was found that discrimination accounts for 19.4 percent and 31.7 percent lower wages for SC in the public and private sectors respectively when compared to the higher castes<sup>11</sup>. This shows that unequal labour market outcomes are caused due to systemic inequalities in a caste-based society. Backward classes such as SCs face extreme exclusion from society in terms of access to education, healthcare, government services, markets, employment and use of land and water resources. Although major progress has been made in reducing multidimensional poverty in India, acute deprivation is prevalent in nutrition, health, school education and sanitation for 364 million Indians<sup>12</sup>. More than half of all multidimensionally poor individuals in India live in the four poorest states – Bihar, Jharkhand, Madhya Pradesh and Uttar Pradesh. These constitute 196 million multidimensionally poor people. There is, however, accelerated progress in many states. For instance, Jharkhand recorded the maximum strides among all states in reducing multidimensional poverty. Similarly, Arunachal Pradesh, Chandigarh, Nagaland

9 Yengde, Suraj, Penguin Random House India Private Limited, (2019), Caste Matters, last accessed on 19<sup>th</sup> September 2021

10 Bharti, Nitin Kumar, (2018), Wealth Inequality, Class and Caste in India, 1961-2012, Last accessed on 22<sup>nd</sup> Nov 2021

11 Singhari, S., & Madheswaran, S., Working Paper 361, The Institute for Social and Economic Change (2016), Social Exclusion And Caste Discrimination in Public and Private Sectors in India : A Decomposition Analysis, Last accessed on 6<sup>th</sup> Nov 2021

12 UNDP (2019) 2019 Global Multidimensional Poverty Index (MPI), Last accessed on 22<sup>nd</sup> Nov 2021

and Bihar have also made significant strides. Poor nutrition is the main reason which contributes majorly towards the MPI across most of the states<sup>13</sup>. This is followed by no family member holding a minimum of six years of education as another contributing factor. There has been a reduction in the nutrition deprivation in India from 44.3 percent to 21.2 percent in 2005-06 and 2015-16 respectively<sup>14</sup>. Besides this, there has been a decrease in the rate of child mortality from 4.5 percent in 2005-06 to 2.2 percent in 2015-16<sup>15</sup>. There has also been a decrease of several challenges such as deprivation of cooking fuel, sanitation and safe drinking water.

While multidimensional poverty has reduced in India significantly, inequality has been rising sharply. Chancel and Piketty's analysis of income inequality in India from 1922 to 2015 reveal that the accrual of national income by the top one percent earners is at its highest since 1922. According to their research, whilst the share of national income accrued by this group had reduced from 21 percent in late 1930s to 6 percent in early 1980s, it has risen to 22 percent in the recent period<sup>16</sup>. While the income growth has been considerably higher than previous decades, in the period post 2000, this is not translated in the growth of the bottom 50 percent of income earners, which grew at a significantly lower rate compared to the average growth, since the 1980s. The inequality is further reflected by the higher than average growth rate of top 10 percent and top 1 percent of income earners, during the same period.

The Oxfam India, "Inequality Kills" report<sup>17</sup> projects a stark picture of the economic disparities in the country. The inequalities between different social groups have substantially increased in India. The Gini Wealth Coefficient (statistical measure of income or wealth inequality) of the country has moved up from 81.2 percent in 2008 to 85.4 percent 2018.

## Catalyzing Capital Markets For Social Sector

In the Indian social system, there are still huge sections of people who have relatively remained excluded and deprived of their basic human needs for a decent living. Outcomes for some people experiencing disadvantage have not been commensurate with the inputs. Sincere efforts and creative ventures to empower the poor and the excluded are the new social imperatives that must not be delayed.

How we improve the living standard of the disadvantaged groups of our society is a big challenge before the policy planners? The social sector is rarely financed for capacity and scale. In fact, government cannot afford to meet all of the growing demand for social services, and that philanthropy and generosity are insufficient to fill the gap. The important challenge therefore is to make development a profitable enterprise in order to attract private sector investments to diffuse the deficits in development finance.

Private investment and a robust private sector are fundamental drivers of economic growth and job creation, which are key ingredients to help tackle poverty. We need to create effective and efficient instruments for market to penetrate into the social sector. There are many well known

13 Pradeep. B Kadun, Ravindra Gadkar, ResearchGate (2014), Social Exclusion-Its types and impact on Dalits in India, Last accessed on 12<sup>th</sup> Nov 2021

14 Footnote no 12

15 Footnote no 12

16 Chancel, Lukas and Thomas Piketty (2017), "Indian income inequality, 1922-2015: From British Raj to Billionaire Raj? Last accessed on 22<sup>nd</sup> Nov 2021

17 Oxfam India, "India Supplement 2022—Inequality Kills", <https://www.oxfamindia.org/knowledgehub/workingpaper/inequality-kills-india-supplement-2022>. Last accessed on 22<sup>nd</sup> January 2022

capital markets experts who have been advocating and backing this narrative of “bringing capital markets for the social sector”.

Examining how private sector development can be leveraged to support poverty reduction and sustainable, equitable and inclusive economic growth is very crucial. Governments around the world are now contemplating for creating channels for social service delivery through purpose-driven finance.

### **Impact investment**

Impact investing or purpose-driven finance are the new investment approaches that have emerged globally amongst governments and markets in response to this important challenge. Impact investment refers to the provision of finance to organizations with explicit expectations of financial returns as well as measurable social outcomes. Increasingly, a wide range of investors are interested in generating positive social and environmental returns in conjunction with profits.

High net worth individuals (HNWI), foundations, and some government agencies presently make up the greater part of the impact investing market. It is proving to be a powerful tool to bring different combinations of people, ideas, and resources to tackle difficult social issues and enable successful solutions to achieve scale. Impact investment solutions are already being used to finance initiatives in aged care, health, social housing, education, clean water and sanitation, financial inclusion, and sustainable agriculture and development.

#### ● **Outcome-based funding**

The Global Partnership for Results-Based Approaches (GPRBA) has launched a new Multi-Donor Trust Fund (MDTF), called the Outcomes Fund. By supporting outcomes-based financing and other results-based blended finance approaches at scale, the Outcomes Fund aims to improve social, infrastructure, and environmental outcomes for poor and vulnerable populations. Over the past decade, outcome-based funding mechanisms have attracted a great deal of attention.

Due to the ever-increasing pressure on public budgets, there is growing interest in finding ways that public budgets can leverage private capital for social and environmental outcomes, like the Sustainable Development Goals (SDGs). The growth of outcomes-based models is evident in the growth of impact bonds, a category of outcome-based funding. Impact bonds are issued in a variety of areas - health, education, etc. - in an effort to leverage additional private capital and stimulate long-term market changes.

Outcome-based funding models (also known as “Pay for Performance” and “Results-Based Financing” models) refer to financing mechanisms in which a funder makes payments based on specific achievement of predetermined outcomes. The full payment is only received if the agreed upon outcomes - such as measurable and independently verifiable social or environmental impacts - have been achieved. In such a system, private finance initially drives the delivery of the desired outcomes, and only after pre-established outcomes (impacts) have been verified is concessional financing made available by a buyer of the outcomes, usually a foundation, development finance organization, or government.

With funding tied to results, service providers (i) are incentivized to achieve critical outcomes, and (ii) have greater autonomy to respond to the project needs and course correct where necessary. This is in contrast to traditional fee-for-service government contracts, where service providers are held accountable for delivering pre-defined services, but not necessarily on innovating to find more effective ways to achieve outcomes for their

beneficiaries. Outcome-based financing excels at driving innovation that leads to greater impact for beneficiaries and lower costs for funders.

#### ● **Impact bonds**

Impact bonds (IBs) are one type of outcome-based contract. In contrast to traditional public service contracts which tend to link payments directly to the inputs and activities of the service, outcome-based contracts focus on improving the level of life for service users, rather than individual services, by linking payments to outcomes. Social impact bonds (SIBs) are a form of outcomes-based contracting, in which a third-party investor provides the upfront capital to finance service delivery, and is repaid (with a premium) if specified outcomes are achieved. An IB as a partnership aimed at improving the social outcomes for a group of citizens or 'beneficiaries.' Payments will only be made if specified social outcomes are achieved. Impact bonds can be leveraged by governments who wish to fund innovation with reduced risk.

Even though India has a thriving social enterprise ecosystem; many organisations struggle to access the capital they need. Policies and processes need to be streamlined to enable easy access to several instruments, including equity and debt investments as well as market-based, innovative solutions such as social and development impact bonds (SIBs and DIBs) or outcomes funds for ensuring accrual of sustained social dividends.

#### **Pay for Success**

Payment for success (PFS) is an approach to outcomes-based funding. PFS provides payment for services based on measurable progress and outcomes. It has been used to support initiatives such as early education, job training, criminal justice reform, and health interventions where the most desirable results are achieved over time (elementary-school readiness, long-term employment, reduced recidivism, improved health). The up-front costs of implementing these programs are usually covered by mission-focused investors. As government funding for social welfare declines, attention has been focused on new financing mechanisms — such as social impact bonds and pay-for-success contracts — that may be able to attract private investment to meet society's critical social needs.

#### ● **Blended finance instruments**

Blended finance instruments, such as loan guarantee funds (LGFs) and syndicated funds, may be used to achieve significant impact and generate greater social returns for CSR. A further way in which companies can become catalysts is to encourage new forms of partnership.

#### ● **Social Impact Guarantee**

The Social Impact Guarantee (SIG) is a new type of outcomes-based funding model that offers money-back guarantees in order to accelerate innovation and improve program results. SIGs combine the core benefits of outcomes-based funding models like the social impact bond (SIB) and development impact bond (DIB) and enable public, philanthropic, and impact investing organizations enjoy the SIG's insurance-like features. In the long run, it would encourage new players, such as insurers, to participate in social investment and also deepen our understanding of impact risk, fostering a better-functioning market for impact. A SIG is, in effect, a distillation of the SIB. It aims to remove these barriers by making the flow of funds closely resemble existing processes while paring away the borrowing component of the SIB.

### ● **Community Investment Guarantee Pool**

The Community Investment Guarantee Pool (CIGP) is a first-of-its-kind vehicle within community development finance. It pools the guarantee commitments of a wide spectrum of mission-minded investors into one entity. In turn, the Pool provides guarantees to intermediaries, such as community development financial institutions (CDFIs), for three sectors: affordable housing, climate change and small business. The strength of philanthropies' balance sheets makes them ideal for unlocking and crowding in capital, needed to rebuild our economies. With a pooled model, philanthropies prorate their risk, find new ways to collaborate, increase their impact, and give intermediaries a one-stop-shop to turn to when they need credit enhancement to get a project financed.

### ● **Overhead costs**

While Indian companies have primarily trusted nonprofits to implement their CSR programs, they would benefit from partnering with organizations with other kinds of competencies. Nonprofits have been campaigning for years for funders to end their practice of providing full support for programs and services while cutting overhead costs. As a result, organizations are caught in a vexing “starvation cycle” that constrains their ability to invest in essential infrastructure and creates conflict, even dishonesty, between grant makers and grantees. Many funders and intermediaries have recently joined nonprofits in calling for a new approach to grant making. The model they collectively support centers on an idea that we call “Pay-What-It-Takes” (PWIT) philanthropy—a flexible approach grounded in real costs that would replace the rigid 15 percent cap on overhead reimbursement followed by most major foundations.

### ● **Regulatory frame and functioning ecosystem**

The impact investing market infrastructure is not fully developed, as current intermediaries are relatively small. Further, investment incentives and a supporting regulatory frame are missing. The impact investing market can be developed if actions are taken to establish a functioning ecosystem. It is essential to equip key stakeholders with the core conditions for decision-making across different facets of impact investment market activity in India.

Development Finance Institutions (DFIs) and Multilateral Development Banks (MDBs) should intentionally seek to develop and create investment opportunities, rather than invest in near-ready market opportunities. It will be crucial to focus on pipeline development, pioneering, demonstrating investments, and early-stage investments, which in turn will require increasing high-risk capital - such as grants, equity investments, mezzanine financing including convertible debt and contingent grants, and guarantees.

Our social sector needs the creation of instruments that will allow market forces to enter it, and there are in fact a number of well-meaning backers of this plan who are working to extend capital markets into the social sector. This requires a shift away from an approach focused on individual investment to a pooled portfolio approach. Several barriers stand in the way of this new approach including a lack of upfront funding, the inability to maintain focus and a reluctance to accept the risks of failure. The impact investment ecosystem provides a solution to these challenges.

By themselves, Indian companies are cognizant that they may not move the needle on critical development problems. CSR funding, is a fraction of the overall funding needed for social development in India. However, catalytic models like those highlighted here leverage



traits unique to companies—including rigor, the ability to innovate, and the willingness to collaborate—that can lay the groundwork for greater efficiency and impact, and facilitate scaling. Companies need to shift focus in two ways: from individual to ecosystem, and from delivering services to building capacity and enabling the market. In other words, companies need to become catalysts for development.

#### ● **Paradigm change**

Mobilizing market forces for contributing to social welfare is a great challenge. It requires a thorough understanding of the socio-economic environments as well as of the specific markets with which the oppressed, suppressed, deprived, disadvantaged and vulnerable people are connected to. In addition to this, making use of market dynamics to achieve development objectives calls for out-of-the box thinking, which leads to innovative approaches and experimentation.

Making markets work for the poor is a promising approach which calls for involving the private sector in development tasks, to creating wealth for the poor and to making many development tasks more sustainable and more effective. This may require a paradigm change in the way development agencies function: instead of top-down planning methods that produce many promises and few deliveries, development agencies should focus on what works.

We need plenty of investment-ready social entrepreneurs with an understanding of the investment landscape, a risk-taking mindset, and sufficient expected returns to offset the investment transaction costs. With an active social enterprise space and an engaged investment market, impact investing takes advantage of private sector efficiency and capital to achieve social sector goals (Prasad, 2022).

## **C. HISTORICAL TRENDS AND EVOLUTION OF SOCIAL INCLUSION POLICIES**

In the 1931 Census, the then government under the British Crown, for the first time, systematically categorized certain castes as depressed classes. Subsequently, the Government of India Act 1935 provided for notification of socially disadvantaged castes as ‘Scheduled Castes’, and a list of such castes was accordingly notified in the Government of India (Scheduled Castes) Order 1936. The Indian Constitution, in 1950, inter-alia, abolished “untouchability” and provided several special safeguards for the ‘Scheduled Castes’, to ensure that they can attain equality with the other social groups in the shortest possible time.

Notwithstanding, ‘untouchability’ continues to persist in twenty-first century India with 27 percent of households having admitted to practicing this ‘abolished’ practice, according to an analysis of the Indian Human Development Survey 2011-12, in which 30 percent of households belonged to rural areas and 27 percent to urban areas. This is reflective of the deeply entrenched and pervasive nature of casteism that continues to rupture the social fabric of the country.

### **a. Constitutional provisions for protection of vulnerable groups**

Given the huge proportion of vulnerable groups in India, social justice and inclusion has been a priority for the Indian State. The Constitution of India has prescribed protection and safeguards for the SCs, STs and other weaker sections, either specially or by way of insisting on their general rights as citizens with the object of promoting their educational and economic interests and removing social disabilities. The terms Scheduled Caste and Scheduled Tribes are present in the Constitution and there are provisions for Other Backward Classes as well.

The Preamble to the Constitution ensures all citizens social, economic and political justice. Articles 14, 15, 16 and 17 of the Constitution advocate different parameters of social justice. Article 14 provides each individual equality before laws within the territory of India, while Article 15 prohibits discrimination against any citizen on grounds of religion, race, caste or place of birth. Article 16 provides equality of opportunity for all citizens in matters relating to employment. Article 16(4A) speaks of “reservation in matters of promotion to any class or classes of posts in the services under the State in favour of SCs/STs, which are not adequately represented in the services under the State”. Article 17 has helped do away with all manifestations of the concept of ‘untouchability’. Article 46, with its provision of promoting the educational and economic interests of the weaker sections of the society, especially those of scheduled caste and scheduled tribe, lies at the heart and soul of social justice. This Article protects them from all forms of exploitation and social injustice.

The Constitution provides for the preferential treatment of the backward classes for their upliftment in society. Article 330 and Article 332 of the Constitution respectively provide for reservation of seats in favour of the scheduled castes and the scheduled tribes in the House of the People and in the legislative assemblies of the states. Under Part IX, relating to the Panchayats, and Part IXA of the Constitution, relating to the municipalities, reservation for scheduled castes and scheduled tribes in local bodies has been envisaged and provided. Article 335 provides that the claims of the members of the scheduled castes and the scheduled tribes shall be taken into consideration, consistently with the maintenance of efficiency of administration, in the making of appointments to services and posts in connection with the affairs of the Union or of a state. Article 338 provides for a National Commission for the Scheduled Castes and Scheduled Tribes with duties to investigate and monitor all matters relating to safeguards provided for them, to inquire into specific complaints and to participate and advise on the planning process of their socio-economic development, etc. All the above provisions work towards eliminating social exclusion in different forms.

## **b. Evolution of social inclusion themes in Five Year Plans**

In 1950, the Government of India established the Planning Commission as India’s apex planning body to create and execute India’s Five-Year Plans. India’s first Five Year Plan was tabled in Parliament in 1951 and for over the next six decades, Five Year Plans continued to be India’s model of development planning. Five Year Plans were developed up to the 12th plan period (2012-17). The Five-Year Plans in India evolved based on the needs of the times and focused on key development priorities. The focus of the initial plans (I and II) were broadly on economic development in areas such as agriculture, irrigation, power, transport and industrial development. However, from a social inclusion perspective, they also emphasized on provision of basic services such as water and sanitation and on women empowerment. During the III, IV and V plan periods, the focus of planning expanded to cover balanced regional development, rural welfare, poverty alleviation and social equality and justice. The VI and VII plans gave considerable emphasis on growth, reducing unemployment, self-reliance and social justice. Post-liberalization, in the early 1990s, the focus of the VIII and IX Five Year Plans were on enabling accelerated economic development and bringing renewed emphasis on social objectives through affirmative action and by universalization of education and healthcare. The X, XI and XII plans strongly advocated inclusive growth principles, balancing economic growth together with improving the condition of vulnerable sections of the society such as women and children, backward classes through services such as health, education and employment generation.

A summary of how the Five Year Plans have focused on the social inclusion agenda over the years is provided below:



**Table 5:** Social development and inclusion focus under India's Five-Year Plans

Plan and Period	Description
First Five Year Plan (1951-56)	<ul style="list-style-type: none"> <li>♦ Broadly focused on primary sector (e.g. agriculture, power, and transport), but also put considerable focus on social development areas</li> <li>♦ Water supply and sanitation were included in the national agenda and subsequently the first National Water Supply Programme was launched in 1954 as a part of the government's health plan</li> </ul>
Second Five Year Plan (1956-61)	<ul style="list-style-type: none"> <li>♦ Led to announcement in Industrial Policy in 1956 accepting the establishment of socialistic pattern of society as the goal of economic policy, with focus on production, investment, and employment</li> <li>♦ It emphasized that "social welfare is concerned with the wellbeing of entire community"</li> <li>♦ Introduced the concept of Mahila Mandals to act as focal points of development of women at the grass root level</li> <li>♦ Provided for welfare measures such as women should be protected against injurious work and should receive maternity benefits, and included crèches for children, and the principle of equal pay for equal work</li> </ul>
Third Five Year Plan (1961-66)	<ul style="list-style-type: none"> <li>♦ The plan considered for the first time the aim of balanced regional growth</li> <li>♦ This gave special emphasis on women and children welfare. Most significant event was the establishment of Department of Social Welfare in the country in 1964 <ul style="list-style-type: none"> <li>★ In social welfare, the largest share was provided for expanding rural welfare services and condensed course of education</li> <li>★ Laid down a set of 'national minimum' for standard of living focused on food, work, educational opportunity, health and sanitation facilities, housing and minimum level of income</li> </ul> </li> </ul>
Fourth Five Year Plan (1969-74)	<ul style="list-style-type: none"> <li>♦ This plan focused on growth with social justice and equality</li> <li>♦ Focus was on creating employment and for providing a 'national minimum' to people, and laid emphasis on weaker sections of the society</li> <li>♦ Family planning was touched upon for the first time during this plan. It also gave special attention to the need of the destitute children</li> </ul>
Fifth Five Year Plan (1974-79)	<ul style="list-style-type: none"> <li>♦ The plan had major focus on poverty alleviation, leading to the 'Twenty point Programme' of the government</li> <li>♦ Proposed to achieve two main objectives: removal of poverty (Garibi Hatao) and attainment of self-reliance</li> <li>♦ The price wage policy was initiated to mitigate the effect of high rate of inflation on wage earners</li> <li>♦ Promotion of high rate of growth, better distribution of income and significant growth in the domestic rate of savings were key instruments</li> <li>♦ Several new programmes were launched; important among them was Integrated Child Development Scheme (ICDS) launched in 1975. There was also a National Policy on Children developed in 1974 and National Children Board was consequently set-up</li> </ul>
Sixth Five Year Plan (1980-85)	<ul style="list-style-type: none"> <li>♦ The plan focused on decreasing poverty and unemployment. Schemes such as Training of Rural Youth for Self-Employment (TRYSEM) that provided slack season unemployment were introduced</li> <li>♦ Poverty alleviation was given priority and Integrated Rural Development Programme, National Rural Youth Employment Programme and Tribal Rural Youth for Self-Employment scheme were launched</li> <li>♦ Focus was on improving quality of life of people with special reference to economically and socially weaker sections, through a minimum needs programme</li> <li>♦ Special Programme for Women and Children (SPWC) launched in 1983</li> </ul>

Plan and Period	Description
Seventh Five Year Plan (1985-90)	<ul style="list-style-type: none"> <li>♦ Growth, modernization, self-reliance and social justice were the guiding principles for this plan</li> <li>♦ Decentralization of planning and public participation in development were emphasized. There was also focus on alleviation of poverty and reduction in interclass, inter regional and rural-urban disparities</li> <li>♦ The Jawahar Rojgar Yojana (JRY) was launched in 1989 with an aim to create wage employment for the rural poor</li> <li>♦ National Literacy Mission was launched in 1988</li> </ul>
Eighth Five Year Plan (1992-97)	<ul style="list-style-type: none"> <li>♦ The decentralization of planning happened, with the 73rd and 74th Constitutional Amendment Act bringing Panchayati Raj under the constitutional mandate</li> <li>♦ An increased thrust was on the social sector- education and healthcare</li> <li>♦ The plan created facilities for universalization of elementary education, health for all by the year 2000, mid-day meal programme was also launched in August 1995</li> <li>♦ It attempted to accelerate economic growth and thereby improve the quality of life of the people</li> <li>♦ Mandal Commission recommended affirmative action of reservation for OBCs, which was introduced along with existing reservation for SC and ST groups</li> </ul>
Ninth Five Year Plan (1997-02)	<ul style="list-style-type: none"> <li>♦ The plan focused on “Growth with Social Justice &amp; Equality”</li> <li>♦ There was a renewed emphasis on ‘social’ objectives and basic minimum services such as safe drinking water, primary health services, universalization of primary education, and nutrition support to certain groups</li> </ul>
Tenth Five Year Plan (2002-07)	<ul style="list-style-type: none"> <li>♦ The plan set-up ‘monitorable targets’ for development, including reduction in gender gaps in literacy, wage rate, access to potable drinking water, etc</li> <li>♦ State-wise break up of targets and growth was done to ensure balanced development of all states</li> <li>♦ National Rural Employment Guarantee Act, 2005 was approved and implemented in the form of National Rural Employment Guarantee Scheme (NREGS)</li> <li>♦ Social and economic empowerment of women and gender justice was also focused</li> </ul>
Eleventh Five Year Plan (2007- 12)	<ul style="list-style-type: none"> <li>♦ The plan focused on several interrelated components such as rapid growth, reducing poverty, creating employment opportunities, access to essential services in health and education, extension of employment opportunities, environmental sustainability and reduction of gender inequality</li> <li>♦ The Right to Children to Free and Compulsory Education Act 2009 was also enacted and launched during this period</li> </ul>
Twelfth Five Year Plan (2012-17)	<ul style="list-style-type: none"> <li>♦ The broad aims of this plan were to achieve “Faster, Sustainable and more inclusive growth”</li> <li>♦ The plan aimed towards betterment of the conditions of SC, ST and OBC and minorities</li> <li>♦ Focused on generating at least 50 million employment opportunities for youth, eliminating gender and social gaps through welfare measures</li> <li>♦ The 14th Finance commission set-up in 2015 recommended devolution of higher share of taxes from centre to states, thereby enabling the states to play a greater role in development at local levels based on their needs</li> <li>♦ The United Nations adopted Sustainable Development Goals (SDGs) in 2015 and set-up targets to be achieved by the countries by 2030. The country also subscribed to these goals and directed its schemes for achieving the targeted outcomes</li> </ul>

## D. SOCIALLY EXCLUDED CLASSES

Social exclusion permeates Indian society far beyond caste discrimination (SC, ST, OBC and DNTs/S DNTs) and also includes vulnerable groups who face discrimination based on their religion (religious minorities), age (senior citizens, street children), economic status and occupation (economically weaker sections, homeless, manual scavengers), physical and mental ability (people with disabilities, mentally ill, victims of alcohol and substance abuse) and their gender identity (transgender people).

**Figure 3: Who are the socially excluded in India?**

Scheduled Caste	Scheduled Tribes	Religious Minorities	Other Vulnerable Groups
1241 ethnic groups	705 ethnic groups	19.3% of the total population	<ul style="list-style-type: none"> <li>OBC- 41.7%</li> <li>DNT- Data Not Available</li> <li>PwD- 2%</li> <li>Senior citizens 8.56%</li> <li>Victims of substance abuse 650 lakhs</li> <li>Beggars/destitutes 6.69 lakhs rural households</li> <li>Street children - 200 lakhs</li> <li>Transgenders- 4.87 lakhs</li> </ul>
16.6% (20.14 cr) of India's population	8.6% (10.43 cr) of India's population	<ul style="list-style-type: none"> <li>Muslims (14.2%)</li> <li>Christians (2.3%)</li> <li>Sikhs (1.7%)</li> <li>Buddhists (0.7%)</li> <li>Parsis (0.006%)</li> <li>Jains (0.4%)</li> </ul>	
19.9% of households engaged in begging, charity and alms belong to SC	Population of ST below poverty line was 45.3% in rural areas and 24.1% in urban areas		
Population of SCs below poverty line was 31.5% in rural and 21.7% in urban areas during 2011-12	75 groups identified as PVTG		

**Source:** Census 2011, Annual Reports of Ministry of Tribal Affairs, Ministry of Social Justice and Empowerment, Ministry of Minority Affairs and UNICEF

**Table 6: Demographics of SCs and other vulnerable groups**

Scheduled Castes	
Population	20.14 Cr persons (16.63% of India's population)
Groups	1263
Households engaged in begging, charity and alms belonging to SC	19.9%
Population of SCs below poverty line	31.5% (rural); 21.7% (urban)
Other Vulnerable Groups	
OBC	41.7% (NSSO 66th Round, 2009-10)
DNT	Data not available
PwD	2.68 Cr persons (2.21%) (Census 2011)
Senior Citizens	10.36 Cr persons (8.56%) (MoSJE AR 2019-20)

**Source:** NSSO 66th Round 2009-2010, Census 2011, Annual Reports of Ministry of Social Justice and Empowerment

### a. Scheduled Castes

Scheduled Castes (SC) are notified in the Constitution of India as per provisions in Clause 1 of Article 341. They include marginalized castes in India that have historically suffered from extreme social and economic backwardness and discrimination, arising from the age-old practices of untouchability and, therefore, require special efforts for safeguarding their interests and rights.

## *Demographic Profile of the Scheduled Castes*

As per Census 2011, India's Scheduled Castes (SC) population stood at 20.14 crore or 16.63 percent of the country's total population as against 16.2 percent as per the 2001 Census. In terms of the rural-urban distribution, 76.4 percent of India's SC population resided in rural areas, declining from 79.6 percent in 2001, whereas it increased to 23.6 percent in 2011 from 20.4 percent in 2001 in the case of urban areas. The SC population's decadal growth rate during 2001- 2011 in rural areas was low (15.7 percent), whereas it was much higher (41.3 percent) in urban areas, indicating a higher level of urbanization and migration from villages to towns and cities. Out of the total 6.54 crore population enumerated in the slum areas in the 2613 cities and towns in India during the 2011 Census, 1.34 crore or 20.4 percent were SC.

The Scheduled Castes population indicates a pattern in terms of their spread across states: over 60 percent of India's SC population is concentrated in just six states including the states of Uttar Pradesh (4.14 crore), West Bengal (2.15 crore), Bihar (1.66 crore), Tamil Nadu (1.44 crore), Andhra Pradesh (1.38 crore) and Maharashtra (1.33 crore). The states with the highest proportion of SC in their population are Punjab (31.9 percent), Himachal Pradesh (25.2 percent), West Bengal (23.5 percent), Uttar Pradesh (20.7 percent) Haryana (20.2 percent) and Tamil Nadu (20.01 percent).

## *Overview of the legislative safeguards*

The Constitution provides an elaborate mechanism for the protection, safeguarding and upliftment of SCs spanning Article 17, 46, 335, 15(4), 16(4A), 338, 330 and 332, as described in the previous section. In addition, major legislative provisions have been enforced across the years to uphold the constitutional mandate for safeguarding the interests of the SC community.

- Protection of Civil Rights Act 1955 enacted in furtherance to Article 17 of the Indian Constitution is a punitive legal provision for checking the illegal practice of untouchability and is implemented nation-wide by the respective state governments and union territory administrations with assistance from the Central Government.
- The Scheduled Castes and Scheduled Tribes (Prevention of Atrocities Act) 1989 was brought into force on 30th January 1990 to provide a legal safeguard against any crimes and atrocities by the general population against SC/STs. An amendment of this Act namely, The Scheduled Castes and Scheduled Tribes (Prevention of Atrocities) Amendment Act, 2015, enforced on 26th January 2016, has increased the stringency of the principal Act. New categories of actions have been added to the list of offences including denial of access to public spaces; women have been provided safeguards against sexual assault and exploitation; rights of victims and witnesses have been added; and establishment of special courts and special public prosecutors are amongst the various amendments introduced to improve this important legislative safeguard for the marginalised community.

## *Status of Inclusion of Scheduled Castes*

Scheduled castes have continuously lagged behind most other social groups in India, particularly other caste Hindus and religious minorities (except Muslims), on various social, economic and political indicators of development despite several constitutional safeguards and government policies and schemes for inclusive development.

### ⦿ **Unequitable access to gains within the community**

The problem is additionally compounded by the divisions that exist within caste themselves. Within SCs, the multiple divisions and sub-divisions of castes, i.e. sub-castes and other ethno-centric considerations, have stymied equal access to resources. The strain of conflict within the inner strata of marginalized groups was expounded by the Hon'ble Supreme Court, wherein the court observed that despite the continuous implementation of affirmative action, the benefits, as envisaged by principles of reservation, have not trickled down. The more affluent amongst the marginalized, it said, tend to monopolize the resources and entitlements, leading to the severely marginalized being deprived of the potential benefits<sup>18</sup>. Caste, with all its purported negative connotations and consequences, is also “used as social capital and a modern tool for upward mobility”<sup>19</sup>, an aspect often forgotten in the study of this issue.

### ⦿ **High Incidence of poverty in SC population**

In terms of economic status, SCs continue to exhibit higher incidence of poverty as compared with the general population. As per a Planning Commission analysis of the change in poverty levels by social groups in rural and urban India between 2004-05 and 2011-12 (based on the Tendulkar Committee Methodology), the percentage of SC population below the poverty line in rural India reduced from 53.5 percent in 2004-05 to 31.5 percent in 2011-12. However, the overall population below the poverty line in rural India declined from 41.8 percent to 25.7 percent during the same period. Similarly, the percentage of SC population below the poverty line in urban India came down to 21.7 percent in 2011-12 from 40.6 percent in 2004-05, whereas the overall population below the poverty line in urban India declined to 13.7 percent from 25.7 percent during the same period. Over time therefore, we see marked improvements across poverty levels and accessibility for SCs in both urban and rural areas, similar to the rate of decline in poverty between urban and rural areas.

### ⦿ **Denial of equal access to shared assets and opportunities**

SCs struggle to access good quality public services, which is reflected in low levels of education, employment opportunities and access to healthcare and other basic amenities. Poor access to improved livelihood options faced by SCs is reflected in terms of low asset ownership (land and property). These groups are mostly engaged in employment of poor quality (e.g. casual wage labourers), with low participation in regular salaried jobs, and especially in sunrise/growing sectors.

- ❖ **Property and assets:** SCs experience significant discrimination in the ownership of productive assets such as land and property and face unfavourable markets for the sale and purchase of goods and services. The “historical process of denial of right to property” for decades to SCs has resulted in their occupation as low paid casual wage labour, thus reinforcing their state of poverty. They continue to live in segregated residential areas, usually slums, and are not able to fully participate in the local economies.
- ❖ **Employment opportunities:** They are engaged in employment of poor quality; a majority of them are working as casual wage labourers with very low and irregular

<sup>18</sup> The Supreme Court of India, (2020), Chebrolu Leela Prasad Rao vs. State of Andhra Pradesh, Last accessed on 12<sup>th</sup> Nov 2021

<sup>19</sup> Vaidyanathan, Prof. R, Westland Publications Private Limited, (2019), Caste as Social Capital: The Complex Place of Caste in Indian Society.

incomes. Their access to regular salaried jobs is limited and while their share in public sector employment has improved, the rapid shrinkage of government jobs in the post- liberalization era has had an unfavourable effect on these marginalized groups. In-terms of representation in central government positions, at the position of Joint Secretary, out of 275 postings, 13 or 4.73 percent are SC and 19 or 6.91 percent are OBCs. Similarly, at Additional Secretary level, out of 93 postings, six or 6.45 percent are SC, with zero representation for OBCs. At the Secretary level, out of 89 postings, there is only one belonging to SC according to an article published in The Print by Moushumi Das Gupta on 5 August 2019 (Gupta) (Gupta #)<sup>20</sup>. On the other hand, despite a faster growth in private sector opportunities in recent years, it is still extremely limited. A large proportion of SCs are unable to partake of their share in the 'shining' sectors—those characterized by high growth and accounting for higher share of new job creation. Similarly, the ownership of non-farm enterprises among SCs is proportionately much lower as compared to that of other groups. Access to credit and markets is also a major problem that they face in running their enterprises.

- ❖ **Access to quality education:** The high incidence of poverty among SCs is also significantly correlated with their comparatively low levels of education and skill training as compared to other social groups. A large proportion of SC children are dependent on government schools which are typically characterized by high levels of teacher absenteeism, poor capacities and performance standards; the quality of education in these schools has been deteriorating over the years. The drop-out rate tends to be much higher for SC children, when compared with the national average. There is also a significant under- representation of SC teachers in school education, which, in turn, creates a social distance between students and teachers. The children of SCs face various forms of discrimination in schools from both teachers and other students, which makes their experience painful and studies less attractive. Whereas caste, as a social institution, is symbolic of “ascriptive hierarchy”, meritocracy is viewed as a leveller and a democratizing force that removes the play of inherited social identities. However, the intimate interaction of caste and meritocracy results in a vicious cycle of access and inclusion. For instance, the play of caste and merit at premier educational institutes in India is reflected in the mostly upper caste section of society occupying these spaces. According to the Ministry of Education, of the 6043 faculty positions in 23 Indian Institute of Technology (IITs) across India, 149 or less than 3 percent of the faculty members belong to SC<sup>21</sup>. A similar observation has been made in the case of Indian Institute of Management (IIMs), wherein only 11 faculty members belong to the SC/ST community across the 20 IIMs<sup>22</sup>. Of these, faculty members from the reserved categories are not represented in 12 IIMs. It becomes important to note that merit is merely an outcome of an individual's socio-economic and cultural capital which is leveraged by dominant classes as a justification for their unwillingness to challenge social inequalities<sup>23</sup>.

20 <https://theprint.in/india/governance/of-89-secretaries-in-modi-govt-there-are-just-3-sts-1-dalit-and-no-obcs/271543/>

21 Lok Sabha (2019), Government of India Ministry of Human Resource Development, Department of Higher Education Lok Sabha Unstarred Question No. 2480, Last accessed on 2<sup>nd</sup> November 2021

22 Rajya Sabha (2019), Government of India Ministry of Human Resource Development, Department of Higher Education Rajya Sabha Unstarred Question no 578, last accessed on 2<sup>nd</sup> Nov 2021

23 Yengde, Suraj, Penguin Random House India Private Limited, (2019), Caste Matters, last accessed on 19<sup>th</sup> September 2021



- ❖ **Access to basic healthcare:** The general apathy of health service providers towards marginalized groups aggravates their plight. The incidence of malnutrition is highest among the SC households which are typically in the lowest income groups. The likelihood of SC children being malnourished is about 1.4 times higher than that of children belonging to other social groups even after controlling for education and the health of mothers<sup>24</sup>. Most of the Anganwadi Centers (AWCs) in the mixed caste villages under ICDS are located in upper caste hamlets or upper caste houses, whereby SC children find it difficult to access the scheme<sup>25</sup>. The SC localities are also neglected in terms of the delivery of nutritional support services by service providers. The differential access to various basic services under public healthcare for SCs has an adverse impact on their health outcomes which, in turn, has put them into a vicious circle of poverty. Studies from across the country have revealed unequal access to healthcare based on caste differences. Kerala has made substantial progress in achieving improved health outcomes and has lower inequalities in healthcare across social groups compared to other states. Notwithstanding, evidence from the state reveals that inter-caste disparity is an underlying factor in the overall disparity exhibited by the state, with the per capita health expenditures reflecting the caste hierarchies in the state<sup>26</sup>. A study carried out to understand the class inequalities in household health expenditure in Kerala found that the issue of access to healthcare, in the context of inadequate public healthcare provisioning and absence of healthcare insurance, coupled with reliance on private care providers, was compounded for those with greater healthcare needs and chronic ailments<sup>27</sup>. Evidence from a study on out-of-pocket expenditure (OOPE) for institutional deliveries across India found that degree of distress financing for institutional deliveries was higher for mothers belonging to the SC/ST groups as compared to other groups<sup>28</sup>.
- ❖ **Access to basic amenities:** While there has been significant improvement in access to safe drinking water, still, nearly a fourth of the SC population does not have such access as per the 2011 Population Census, and there are no more recent studies available. Access to safe drinking water is critical as it prevents water-borne diseases and related morbidity. There is also evidence of discriminatory access to safe drinking water for SCs, particularly in the rural areas, as they may be allowed to fetch water only after the other caste households have taken their turn<sup>29</sup>. The location of such facilities in upper caste localities also affects the overall access to such facilities by the SC households. Similar access issues are also observed for safe sanitation and electricity, amongst other basic amenities.

24 P.Mamgain, Rajendra; Oxfam India (2013), Situating Scheduled Castes And Scheduled Tribes in the Post-2015 Development Framework, Last accessed on 16<sup>th</sup> Nov 2021

25 Lopamudra Paul, Social Science Spectrum, (2018), Unmet Need of Integrated Child Development Services (ICDS) among Economically Weaker Sections in Indian Society, Last accessed on 16<sup>th</sup> Nov 2021

26 Mukherjee Subrata, Slim Haddad and Delampady Narayana., International Journal for Equity in Health, (2011), Social class related inequalities in household health expenditure and economic burden: evidence from Kerala, south India. Int J Equity Health, Last accessed on 22<sup>nd</sup> Nov 2021

27 ibid

28 Mishra, Suyash and Sanjay K, Mohanty., International Journal for Equity in Health, (2019), Out-of-pocket expenditure and distress financing on institutional delivery in India, Last accessed on 22<sup>nd</sup> Nov 2021

29 Jaiswal, Vaishali., & Joon, Vinod., Epidemiology International (2017), Status of Trends in Provision of Safe Drinking Water and Sanitation in India : Evidence from Census, Last accessed on 7<sup>th</sup> September 2021

### ● Prevalence of atrocities and discrimination against SCs

Incidents of atrocities and discrimination across various parts of the country are still common despite having a legislation in place for protection of civil rights and prevention of atrocities against this group. The crime rate against SCs has increased by an estimated 25 percent between 2001 and 2016, which is reflective of the alarming extent of discrimination<sup>30</sup>. The type of crimes vary from murder, rape, kidnapping/abduction, assault on women/children, to dacoity, robbery, arson and hurt by means of physical force. Exploitation and abuse at the hands of the upper classes continues to interrupt the progress of the lower classes.

Much of these issues can be attributed to the historical prejudices faced by these groups, and its associated notion of untouchability. This, in turn, has denied them numerous rights including the right to education, the right to choose a vocation for employment, the right to good habitation, the right to clean water and sanitation and the right to participate in political and cultural spheres.

### b. Scheduled Tribes

Scheduled Tribes, commonly termed as Adivasis (literally “original inhabitants”), are referred to in Article 366 (25) of the Constitution of India as those communities which are scheduled in accordance with Article 342 of the Constitution. Article 342 provides for specification of tribes or tribal communities or parts of groups within tribes or tribal communities which are deemed to be for the purposes of the Constitution the scheduled tribes in relation to a state or union territory. Therefore, the list of scheduled tribes is notified for each state or union territory and it is valid only within the jurisdiction of that state or union territory and not outside<sup>31</sup>.

The number of individual ethnic groups notified as STs in India is 705, according to Census 2011. These tribal communities live in various geo-climatic and ecological conditions ranging from plains and forests to hills and desert areas<sup>32</sup>. Tribal groups in the country are at different stages of economic, social, and educational development. While some tribal communities have been mainstreamed, there are 75 scheduled tribes known as PVTGs, who are characterized by pre-agriculture level of technology, stagnant or declining population, extremely low literacy and subsistence level of economy<sup>33</sup>.

### *Constitutional Provisions for STs*

The Constitution of India provides various safeguards for socio-economic development of Scheduled Tribes and has already been discussed in the previous section.

### *Demographics*

As per the 2011 Census, the ST population of the country was 10.45 crore, accounting for 8.6 percent of the total population, which saw a growth from 8.4 crore in 2001 (8.2 percent) with a decadal growth of 23.66 percent against a decadal growth of 17.69 percent for the general population. Very large proportion (89.97 percent) of the country's tribal population lives in rural areas and 10.03 percent

30 Mallapur, Chaitanya, Alison Saldanha., IndiaSpend (2018), Over Decade, Crime Rate Against Dalits Up 25%, Cases Pending Investigation Up 99%, Last accessed on 18<sup>th</sup> September 2021

31 EPW (2010), Scheduled Tribes and the Census: A Sociological Inquiry, Last accessed on 30<sup>th</sup> January 2021

32 Department of Social Security, GOI, (1965), The Report of the Advisory Committee on the Revision of Lists of Scheduled Castes and Scheduled Tribes, Last accessed on 26<sup>th</sup> January 2021

33 Ministry of Tribal Affairs, GOI(2019), Scheme of Development of Particularly Vulnerable Tribal Groups(PVTGs), Last accessed on 26<sup>th</sup> January 2021



in urban areas. Over 70 percent of India's STs are concentrated in 7 States, which include Madhya Pradesh (14.7 percent), Maharashtra (10.1 percent), Odisha (9.2 percent), Rajasthan (8.9 percent), Gujarat (8.6 percent), Jharkhand (8.3 percent) and Chhattisgarh (7.5 percent). States/UT with the highest proportion of STs include Lakshadweep, and North Eastern states (Mizoram, Meghalaya, Arunachal Pradesh and Nagaland).

### *Extent of social exclusion of ST*

Scheduled Tribes suffer from serious deprivations and are at the bottom-most rung of the socio-economic ladder when compared to any other social groups. A World Bank brief published in 2011 titled 'India's Adivasis' states that despite a decline of one-third in the poverty rate of the tribal population between 1983 and 2011, nearly half the country's Scheduled Tribe population (about 5.2 crore people) still remains in poverty, an indication of their low starting point. Tribals account for a fourth of the population living in the poorest wealth decile. Their poverty rates are closer to where the general population was 20 years ago. Poverty maps of India show deep pockets of poverty in states with tribal concentrations. Also, these are pockets where tribal insurgent movements have gathered force.

As per Census 2011 data, the literacy rate among India's tribal population was a measly 58.96 percent as against the overall literacy level of 72.99 percent for the entire country. Only 52 percent of the ST households had access to electricity and 87 percent households used firewood/crop residue or cow dung cake for their fuel needs. Data also shows that the proportion of rural Adivasi households that do not own any land (not even homestead land) increased from 16 percent of all Adivasi households in 1987-88 to 24 percent in 2011-12.

- **Physical and cultural isolation**

Unlike SCs, in the case of STs, untouchability is not the key driver of social exclusion. Exclusion and discrimination in case of STs largely emanates from their geographical and cultural isolation from dominant population groups and large-scale displacement from their traditional lands and forests.

- **Limited access to economic opportunities**

The economy of most tribes in India is driven by subsistence agriculture and collection of minor forest produce. A large number of tribal communities in rural areas of India are still dependent on forests for their livelihood, and, therefore, provisions for basic necessities like food, fuel, housing material, etc. are made from the forest produce in this forest-based tribal economy. In 2006, the Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act tried to address this by recognizing the customary rights of forest dwellers, including the right over commons areas, as well as the right to manage and sell forest produce. However, implementation of the Forest Rights Act (FRA) has been unsuccessful, with inadequate community awareness, conflicting legislations, lack of dedicated structural implementation, administrative roadblocks, and motivational deficit in governance structures.

- **Geographical displacement**

Large-scale geographical displacement of scheduled tribes is another major issue. Many states with high tribal populations such as Madhya Pradesh, Odisha, Jharkhand and Chhattisgarh, are also rich in mineral resources and have high levels of mining or power

infrastructure development activity. Heightened level of commercial activity in these sectors has led to overexploitation of land and water resources which sustain the local tribal populations in these states. Tribals have been losing access to their traditional lands, forcing them to migrate to cities or nearby areas to work as construction workers or as agricultural labourers. The government's 10th Five Year Plan noted that between 1951 and 1990, 2.13 crore people were displaced; 40 percent of them, or 0.85 crores, were tribal people. The large-scale displacement of STs from their native locations has pushed them into the lowest rungs of the urban poor and this is another form of violation of their human rights and dignity, causing further vulnerability and deprivation.

#### ● **Poor access to healthcare**

Shortage of basic infrastructure as well as human resources for delivery of targeted schemes constrain the quality as well as outreach of the services designed for these communities in tribal areas. As per the Rural Health Survey 2017, there is an overall shortfall (difference between required and in-position) of 21 percent, 26 percent and 23 percent respectively for sub-centers, Primary Health Centers (PHCs) and Community Health Centers (CHCs) in tribal areas at the all India level. This shortfall is much higher in tribal-dominated states; for example, the shortfall for PHCs is 52 percent in Rajasthan, 53 percent in Madhya Pradesh, 58 percent in Jharkhand, 36 percent in Telangana and 30 percent in Maharashtra. The issue is compounded by the acute and persistent shortage of personnel to deliver these services in tribal areas. For example, the same survey reveals that in tribal areas, the vacancy of doctors in PHCs is as high as 28 percent, and for nursing staff at PHC and CHC levels, it is 22 percent at the all India level, with significant shortfall and vacancies in tribal-dominated states. These shortages are compounded by high rates of non-functionality of health centers, absenteeism of personnel for delivery of services, as well as unavailability of basic drugs and equipment. For example, NFHS-4 revealed that 57 percent of STs expressed concern that no drugs would be available at the health centers, and 42 percent felt that distance from health facilities restricts their access to medical advice or treatment<sup>34</sup>.

#### ● **Poor educational progress**

Though India's education system over the past few decades has made significant progress, the literacy of the Scheduled Tribes and other marginalized groups has been a matter of concern even after so many years of independence. At 119.7, the Gross Enrolment Ratio (GER)<sup>35</sup> for ST children at the elementary level (class I-VIII) compares favourably with the All India level (104.30), but it falls drastically at the secondary level (class IX-X), standing at 53.3 with a gap of almost 12 as compared to the All India level and the GER at the Post-matric level falls further to 28.8, 10.5 points lower than the All India level. Out of every 100 ST students who entered class I, while almost 67 completed class V, only 41.9 completed class VIII and 13.9 studied up to class XII<sup>36</sup>. The comparative data for all categories is that of 100 students entering class I, 79 completed class V, about 64 completed class VIII and 30.3 studied up to class XII. In the case of tribal, dropout rates are still very high –

34 Shrivastava, Saumya, India Development Review, (2018), Why does undernutrition persist in India's tribal populations?, Last accessed on 6<sup>th</sup> Oct 2021

35 UNESCO Institute of Statistics defines GER as: "Number of students enrolled in a given level of education, regardless of age, expressed as a percentage of the official school-age population corresponding to the same level of education"

36 Ministry of Human Resource Development, GoI, (2018), Education Statistics at a Glance, Last accessed on 6<sup>th</sup> Oct 2021

35.6 percent in Classes I to V; 55 percent in Classes I to VIII; and 70.9 percent in Classes I to X in 2010-11 and significantly higher than the all India figures of 27 percent for Classes I to V (gap of 8.6 percent), 40.6 percent for Classes I to VIII (gap of 14.4 percent) and 49.3 percent for Classes I to X (gap of 21.6 percent)<sup>37</sup>.

● **Weak political participation**

Finally, physical remoteness and smaller numbers have gone together with political isolation and low voice in decision-making for the Scheduled Tribes. Restricted to remote villages, tribal groups can influence election results in only a few districts in the country. And the political leadership that represents Scheduled Tribes for the most part comes from non-Scheduled Tribe elites, making their concerns marginal in the national context. While the Indian government's response to vulnerability among Scheduled Tribes has been proactive and has included a mix of constitutional and budgetary instruments, implementation has been patchy. Due to huge ethnic variations, STs have been less effective in constituting themselves as a pan-Indian interest group. They have also not been able to effectively articulate their grievances through the formal political system. The geographical dispersion of STs and the lack of iconic leadership with a national appeal among them have prevented their effective political development.

## E. BACKGROUND OF SCSP AND TSP

The persistence and perpetuation of socio-economic backwardness despite the development efforts had warranted a specialised and focused strategy and a need for a separate policy instrument for the Scheduled Castes (SCs) and Scheduled Tribes (STs) to enable them to share the benefits of developmental growth in a more equitable manner. An Expert Committee was set up to prepare a comprehensive policy of protection, welfare and development of the STs in 1972 which produced the Tribal Sub-Plan (TSP) for Scheduled Tribes in 1976. The Tribal Sub-Plan was adopted for the first time in the Fifth Five Year Plan. The principal aim of the TSP is to bridge the gap between the STs and the general population for all socio-economic development indicators in a time-bound manner.

TSP strategy has a twin objective, namely, socio-economic development of scheduled tribes and protection of tribals against exploitation. The erstwhile Planning Commission issued guidelines on formulation, implementation and monitoring of TSP from time to time to the States/UTs and Central Ministries for the formulation and effective implementation of the TSP. The last revision was done in 2005, which inter-alia suggested (as per guidelines issued in 2006):

- a. Earmarking of plan funds in proportion to the Scheduled Caste (SC) and Scheduled Tribe (ST) population both at the Central and State levels;
- b. Scheduled Caste Sub Plan (SCSP) & Tribal Sub-Plan funds should be non-divertible and non-lapsable;
- c. Designing proper and appropriate developmental programmes/schemes/activities;
- d. Creation of separate budget heads/sub-heads for different sectors; and
- e. Creation of an effective monitoring mechanism. In 2010, a task force identified 28 Central Ministries/departments in terms of their obligation to earmark allocation in proportion to the population of STs, and revised guidelines for SCSP and TSP were released in 2014.

<sup>37</sup> Ministry of Tribal Affairs, GoI, (2013), Statistical Profile of Scheduled Tribes in India, Last accessed on 6<sup>th</sup> Oct 2021

In 2018, NITI Aayog undertook another assessment of the SCSP and TSP to identify alternative arrangements for earmarking of funds for SCs and STs. Based on the NITI Aayog's analysis and consultations with stakeholders, the guidelines were further revised, with the SCSP and TSP being renamed as Development Action Plan for SCs and STs (DAPSC & DAPST). As part of the revised guidelines, the NITI Aayog also proposed revised criteria for earmarking of funds for DAPSC and DAPST by respective Ministries/Departments, as well as revised contribution rates for some Ministries/Departments. MWCD's revised contribution to the SCSP/DAPSC remained unchanged at 20%, while the contribution to TSP/DAPST was increased from 8.2% to 8.6%.

Policy options to tackle social exclusion would require giving greater attention to the social, cultural and political dimensions of policies along with their technical and economic dimensions. A comprehensive policy will be required for the collection and dissemination of information and appropriately disaggregated data on all the disadvantaged and socially excluded groups in order to track their progress—or their failure to progress—as a result of development efforts.

The preparation of Integrated Tribal Development Projects was the first-ever attempt at comprehensive planning for an area with specific focus on the development of tribal communities. It may be noted that the tribal sub-plans conceptually are much wider than the State Plans. They are expected to comprise flow of investment from (i) State Plans, (ii) Central and Centrally Sponsored Programmes, and (iii) financing institutional besides a substantial outlay of Special Central Assistance. The preparation of the project has been undertaken in accordance with the Guidelines of the Planning Commission to the effect that they must 'attempt in broad term answer to the main issues facing the tribal communities in these areas.

An important question arises in relation to the basic conflict between the sectoral structure of administration at the state-level and the need for integrated programme at the local level. The question is as to how the numerous small programmes reaching an area as an end-process of a disaggregation exercise at the state and the national level can be woven into a meaningful pattern at that level. The probability of such an event happening of its own is negligible, particularly because even within a micro-area the various individual programmes can be taken up at any of the numerous points within the area. On the other hand, any effort to plan from below without a reasonable indication of the financial parameters becomes a catalogue of aspirations. Each area claims the highest priority in each sector because the decision on each sectoral investment is made independent of the other. Therefore, at every point in every programme of all sectors there is maximum pressure from all competing groups.

The Project-level planning requires planning input at the grassroots level e.g., family, household, village, Gram Panchayat. In the first instance, a programme prepared at the project level, or even at the block-level, is not fully operational. Considerable detail has to be filled in before we can reach the village or the family. For example, even when it is decided to have a piggery programme in a block and details are worked out, the programme may continue to be schematic; it may be just a disaggregation of the scheme approved at district, state or even at national level.

A qualitative change in the scheme is possible only when it is worked out with reference to specific villages and families with suitable tie-up of all elements like the beneficiaries, number of animals, local production of their feed with supplementation, only if necessary from outside, potential of increased local consumption and tie-up with outside market to the barest possible level, health coverage, extension education, etc. In the absence of such plans, decision on crucial issues is left to the lowest functionary who is ill-equipped for the same. It is, therefore, necessary that the Project plan comprises a number of detailed programmes with reference to specific areas and communities

in the concerned sectors. The Project can only help in ensuring that each such effort is within a broad frame which has been worked out for development of that area. The specific area can be a 'village' or a 'Gram panchayat'.

The mechanisms of TSP will have to be revisited in order to align the development plans for the STs with the village development plans (VDPs). This is possible only when the bottom up planning is compulsorily linked with the TSP at the Gram Panchayat level and not at the Taluka or Block level. The system of preparation of ITDPs/ITDAs will have to be stopped as it does not fit into the framework for preparation of the Gram Panchayat Development Plan (GPDP) of the Panchayati Raj system. In any Gram panchayat or a PESA village where the population of the tribals is more than 50%, the plan should be called tribal development plan and not the tribal sub-plan as there cannot be a sub-plan for the tribals where they constitute more than 50%. Likewise, the provisions of the PESA, Act 1996 must be implemented in a manner that the VDP are approved by the Gram Sabhas of the PESA Villages.

The mechanisms of SCSP will also have to be revisited in order to align the development plans for the SCs with the village development plans (VDPs). This is possible only when the bottom up planning is compulsorily linked with the SCSP and the TSP. Likewise, the provisions of the PESA, Act 1996 must be implemented in a manner that the VDP are approved by the Gram Sabhas of the PESA Villages.

The Gram Panchayat (GP) should be declared as the Unit of Planning for the SCSP and TSP. In such GPs where the population of the SCs and STs are 50% or more than 50%, no SCSP or TSP should be made and the entire development plan should be for the SCs and STs in such villages. SCSP and TSP should be made only for such GPs where the population of the SCs and STs is less than 50%. The aggregation of the GPs' SCSP and TSP should be first done at the Block/Taluka/Tehsil level and all such SCSPs and TSPs should be aggregated at the District and then subsequently in the similar manner at the State level. The budget allocation for development of the SCs and STs majority GPs should come from State budget and the SCSP and TSP budget allocation should be used only for such GPs where the SCs and STs constitute less than 50% of the GP's population.

The involvement of the manual scavengers for sewer cleaning in municipal areas must be done only through mechanized and IT enabled robot that cleans sewers devices.

### *The Right of Self Governance*

The introduction of the Panchayat Raj system through the 73rd Constitutional Amendment is one of the most definitive steps towards institutionalizing a system of decentralized governance in independent India. The 73rd Constitutional Amendment provides substantial space for responsive and participatory governance. To extend the provisions of the constitution relating to the Panchayats to the Scheduled Areas, a special legislation called Panchayat (Extension to Scheduled Areas) Act, 1996 (PESA Act) was enacted by the Parliament. Scheduled Areas are those, which are under the Fifth Schedule of the Constitution of India where the tribal populations are predominant. The Act came into force on 24th December, 1996 and it is now applicable in the tribal areas of ten States namely, Andhra Pradesh, Chhattisgarh, Gujarat, Himachal Pradesh, Jharkhand, Madhya Pradesh, Maharashtra, Odisha, Rajasthan and Telangana that have Fifth Schedule Areas.

The fundamental spirit of the Panchayat Extension Act for tribal areas under 5th Schedule is that it devolves power and authority to Gram Sabha rather than delegation; hence it paves way for participatory democracy. The provision under Constitution and composition under this act calls for

every legislation on the Panchayat in 5th Schedule area to be in conformity with the customary law, social and religious practices and traditional management practices of the community resources. It also directs the state governments to endow powers and authority to make Gram Sabha function as Institutions of Local Self Governance, specifically on matters of enforcing prohibition of sale and consumption of intoxicant; ownership of minor forest produce; power to prevent alienation of land and restoration of unlawfully alienated land, management of village markets, control over money lending, etc.

PESA also empowered gram sabha of the Scheduled Areas to approve plans, programmes for social and economic development, identify beneficiaries under poverty alleviation programmes, certify utilization of funds by gram Panchayats, protect natural resources, including minor forest produce and be consulted prior to land acquisition. PESA envisaged that each tier of the Local Governance is independent and Panchayats at higher level should not assume the powers and authority of any Panchayat at the lower level or of the Gram Sabha. Further, it also calls for creating the appropriate levels of Panchayats similar to 6th Schedule Area, where the Administrative boundaries are Autonomous enough for self-rule.

PESA is constructed around the Gandhian concept of Gram Swaraj, the governance frame for the village republics. Gandhi's dream was included in the Constitution as Article 40, which came alive only when PESA was adopted. While the 73rd Amendment, which inserted Article 243, made the terms gram (village) and gram sabha (village assembly) a part of the Constitution for the first time, PESA gave shape to the concept of self governance through empowerment following constitutional recognition of the competence of the gram sabha.

### ***Current Status of PESA – An Uncertain Future for a Futuristic Law***

Unfortunately, like gram swaraj, the vision of the Father of the Nation, PESA remained a prophetic dream. Since its passage PESA has almost been forgotten and has not become part of mainstream political or policy discourse.

The law on tribal self rule which recognized for the first time the competence of a village assembly to manage its community resources. It also recognized for the first time that a village where one resides is not always a homogeneous population based entity but a social cohesive unit with its own self identity where people who have been ordinarily and traditionally residing for centuries with a common belief system and cultural traits apart from the manner in which they manage their natural resources. Despite such laudable objectives the states having scheduled areas have proved that it is too difficult to relinquish power in a bureaucratic power structure.

Discontent is brewing up in the tribal belt of the country and effective implementation of PESA would be a definite legal as well as political solution to redress the discontent. Kochang village in Khunti district in Jharkhand, which has been witness to the Pathalgadi movement since 2016, has become a stage for course-correction of the tribal movement for implementation of Schedule 5 of the Constitution in toto.

In recent years the legal and institutional basis for the welfare and development of Scheduled Tribe community had broadened and surveys have indicated that people in the tribal belt trust the state as the agency which can ameliorate their lot. But, implementation of PESA has not been seriously attempted by the state governments. They still want to govern the PESA areas through the centralized administration and laws that actually weaken what PESA provisions offer the tribal community. Consequently, de facto compliance with PESA remains incomplete and perfunctory.



### *Core Issues*

Many state governments have passed laws not fully in conformity with the central law. The implementation of the law has been severely hampered by the reluctance of most state governments to make laws and rules that conform to the spirit of the law.

Contentious issues like the ownership of minor forest produce, planning and management of minor water bodies and prevention of alienation of tribal lands have remained unsettled though recognized as traditional rights in PESA. Apart from that, transfer of fund and functionaries to the lower level government has not taken place after devolving statutory powers to the Gram Sabha and Panchayats.

Difficulties in implementing PESA can be broadly categorized into two: (1) Legal difficulties and (2) Political difficulties. Legal difficulties are related to the (a) definition of village, (b) gaps and inconsistencies between the Central and the State Acts, (c) clash between PESA and pre-existing laws, (d) lack of clarity about customary practices and cultural identity etc. Whereas political problems include (a) lack of political will, (b) ignorance about PESA among different segments, (c) fragmentation of well-knit tribal society because of electoral competition etc.

In the fifth Schedule Areas, villages have not been notified as per the PESA Act. Since PESA villages have not been notified, PESA Gram Sabha has also not been notified as a result PESA Act remains ineffective. Functionaries of the Gram Sabha have not been notified and the Gram Sabha Kosh (Account) has not been opened. Despite Gram Sabha having the ownership for the Minor Forest Produce (MFP), there is no justification in keeping some important MFP under the nationalized category in many States having the fifth Schedule Areas. The Minimum support Price (MSP) for the MFP announced by the central government is applicable only to the nationalized MFPs. This approach totally delinks the PESA Gram Sabha from the management of the MFP. Customary laws in the fifth Schedule Areas have not been documented and codified to enable the Gram Sabha to resolve the local dispute as per the traditions.

The tribal development plan is not being referred to the Gram Sabha for approval and also the Utilization Certificate is being accepted without approval of the PESA Gram Sabha as per the provisions of the PESA Act. Ensuring disaggregation of the tribal sub-plan allocation in a state having fifth Schedule Areas to the tribal development plans prepared at the PESA demarcated villages on the basis of the percentages of the tribal population has now become necessary to accelerate the pace of socio-economic development in the fifth Schedule Areas. Similarly, funds from other institutional sources such as Special Central assistance to the tribal sub-plan (SCA to TSP) and under article 275(1) must also devolve to the Gram Sabha Kosh so that the stakeholder community can decide the need based investment.

### *Eco-sensitive subsistence economies*

A careful reading of history indicates that the tribal people withdrew to more inaccessible hilly areas, following encroachment in their plains homelands and lived in isolated ecological niches for centuries. Their relative seclusion, coupled with intimacy with the forested environs, allowed them to evolve highly eco-sensitive subsistence economies and conservationist philosophies, which in turn sustained to their distinct way of life, ethos, high levels of creativity, wealth of utilitarian handicrafts and varied leisure activities. Their eco-sensitive and conservationist material and non-material cultures are unfortunately categorized today as backward and as a result the term tribal people is associated with poor socio-economic growth, uneven cultural development, propensity to manipulation and inability negotiate and cope with integration with the mainstream society and economy, categories that need serious re-examination.

The tribal people consider the forests to be their ancestral lands and the 'forest' occupies a central position in their economy, culture and ways of being and becoming. The tapestry of their ecological lifestyles has harmony with all life forms as the warp, woven together with the weft of conservation as an expression of a subsistent, non-accumulative and non-appropriative way of life interspersed with leisure enjoyed through cultural creativity. The symbiotic relationship between the tribal people and the forests is reflected in a conservation regime, that is rooted in both their material and non-material culture. The colonial agenda of declaring vast lands as forests and appropriating them as the exclusive property of the state using the colonial legality of 'res nullius' contributed to the progressive extinction of their rights over their traditional homelands in the forests, reducing them to encroachers in their own homes.

The Panchayat (Extension to Scheduled Areas) Act (PESA), is a crucial for PVTGs whose livelihood is dependent on forests. Under PESA, Gram Sabhas are deemed to be 'competent' to safeguard and preserve the traditions and customs of their people, their cultural identity, community resources and their customary mode of dispute resolution. PESA states the Gram Panchayat has the "Ownership of Minor forest produce" which caters to more than 50% income of the PVTGs. However this is not reflected in the State Acts and the PVTGs especially living in reserved and protected forests lack ownership and access to bamboo and other MFP. There are several instances of PVTGs getting arrested and harassed for collecting and transporting MFPs. The monopoly of state continues on bamboo, tendu leaves and other lucrative MFPs. The monopoly of state departments/cooperative federations having high inefficiencies in MFP procurement, marketing and administration is actually acting as a deterrent to the MFP collectors instead of protecting their interests.

The Forest Rights Act provides for recognizing thirteen different rights that are central to the lives and livelihoods of tribals and other traditional forest dwellers across the country. These rights include rights to land under occupation as well as customary land, ownership of minor forest produce, rights to water bodies, grazing areas, habitat of Primitive Tribal Groups (PTGs), the right and power to protect, conserve and manage community forest resources, etc.

The first key problem is the fact that a number of the states and Union Territories are yet to commence serious implementation of FRA. In the states where the FRA implementation has started, several violations of the act have taken place. Gram Sabhas have been constituted at the wrong levels making them dysfunctional and ineffective. Gram Sabhas have been bypassed and Joint Forest Management (JFM) committees under control of forest department have been empowered to implement FRA. Excessive interference by the Forest Department against the spirit of FRA has been observed in the recognition of forest rights. This involves imposition of conditions like demands for land rights can be made only by those claimants who are on Forest Department "encroacher lists" and produce fine receipts prior to 2005. Serious violations are also being made by District Level Committees like: rejection of claims without any intimation or communication to the claimants; unilateral reductions in the size of land titles granted to the claimants without proper reasoning etc.

The evictions of adivasis and forest dwellers from their habitats continue inspite of "Right to habitat" stated in FRA. Contrary forestry legislations and efforts to subvert FRA have been imposed in states like Madhya Pradesh. Community Rights and Non-land rights in the Act have largely been ignored in implementation of FRA. The Environment Ministry continued with afforestation, plantation, relocation of tiger reserves and diversion of forest land in favour of large projects that violate rights of forest dwellers.



Index should be prepared for measuring the vulnerability of the PVTGs with a view to ensuring that by 2035 the vulnerabilities of the PVTGs are completely over and the nation becomes free of the vulnerable groups. In this regard, it is suggested that the vulnerability index and vulnerability intervention index prepared by Prof. RR Prasad of NIRDPR, Hyderabad for the PVTGs of Andhra Pradesh and Telangana States and submitted to the Ministry of Tribal Affairs, Govt. of India may be examined to ensure whether the methodology developed for the above two indexes may be used for the other PVTGs as well.

### *Rights of PVTGs in the Forest Rights Act*

With an eye to addressing the long standing disaffection over negation of their age-old rights, insecurity of tenure and fear of eviction, parliament enacted The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, popularly the Forest Rights Act (FRA), in 2006 to rectify the historical injustice done to the tribal people. The historic Forest Rights Act of 2006 for the first time provided scope for the recognition of the PVTGs' forest and habitat rights. Section 2 (h) of the FRA defines habitat as,

'Habitat' includes the area comprising the customary habitat and such other habitats in re-served forests and protected forests of primitive tribal groups and pre-agricultural communities and other forest dwelling Scheduled Tribes". The definition thus extends the recognition of habitat rights to other STs in addition to PVTGs and pre-agricultural communities.

The Ministry of Tribal affairs further clarifies the scope and extent of the definition of habitat rights in the context of PVTG in a FAQ released in the year 2012:

"The right to community tenures of habitat and habitation may be recognized over customary territories used by the PTG for habitation, livelihoods, social, economic, spiritual, cultural and other purposes. In some cases the habitats of PTGs may overlap with forest and other rights of other people/communities".

Section 3 (e) recognises:

'Rights including community tenures of habitat and habitation for primitive tribal groups and pre-agricultural communities'.

### *Issues and Challenges in Effective Implementation*

The "Right to habitat" and "Right to community resources" of PVTGs is the primary step for development and should be reinstated as per the spirit of FRA. A national research study was carried out by Ministry of Tribal Affairs (MoTA) in 2014 with support from United Nations Development Programme (UNDP) on "Mechanisms for Recognition of Habitat Rights of PVTGs under the Forest Rights Act" highlighted the following core concerns for extending the habitat rights to the members of the PVTGs4 .

- The awareness about the habitat rights under the Act is very poor among the members of the various committee constituted under FRA, including the top government officials.
- There is no guideline released from MoTA for recognition of habitat Rights.
- Lack of clarity about the procedure for the recognition of the habitat rights specifically given that their claims may extend across multiple settlements over a large geographical area.

- ⦿ Tendency to rely on forest records during the rights recognition process, when these are irrelevant to most forest rights and especially so in the case of PVTGs, most of whose rights and activities were either never re-corded or were recorded elsewhere (such as in gazetteers, anthropological studies, princely state records, etc.)
- ⦿ There is absolute lack of interest of DLC to initiate the habitat rights recognition process in consultation with the concerned traditional institutions of Particularly Vulnerable Tribal Group as required under rule 12(b)1
- ⦿ Resistance to the recognition of PVTG rights by other interests and a lack of clarity among officials about the implications of overlap between PVTG rights and those of other communities and individuals.
- ⦿ Lack of clarity about the status of other category of land except forest land coming within their habitat.
- ⦿ No clarity over the process of recognition in case if the habitat of a PVTG exceeds beyond administrative and political jurisdictions like multiple DLC or even more than one SLMC.

### *Land Alienation and Displacement Issues*

Poor land record systems in tribal areas, illiteracy, poverty and ignorance have led to continuous transfer of resources from tribals to non-tribals, with the tacit or implicit agreement of the authorities. Demands of commerce and industry on natural resource wealth and forced eviction in the name of development has endangered their physical and survival as peoples and cultures as de jure displacement is only the tip of the iceberg. Displacement, dispossession and diminishing access to natural resources have resulted in exclusion and economic impoverishment and migration to the fringes of cities where they eke out survival at the fringes of the economy as migrant labour, rag pickers, rickshaw pullers and head-loaders. In spite of the special provisions for them in the Constitution of India (1950), tribal people are rated low on all three welfare foci, health, education and livelihoods.

### *Issues in social Inclusion of STs*

The numerous problems, discussed above, are not for want of trying but the opposite. The nation has tried hard to bring the tribal people in par with others but to no avail. The fact that the tribal people are part of the Indian society, but at the same time different from wider society, is not fully appreciated by the majority of policy makers down to ground level functionaries. Hence tribal development must and can only begin by dropping the qualification “backward” and operating on the basis that the tribal people are ‘advanced’ in their own way and in consonance with the ecological niches in which they live. The development agenda can at best take special note of the tribal situation and provide them the opportunity to develop according to their own genius. The tribal people can participate in their development programmes only as equals and when their unique identities are respected, outsiders cannot develop tribals, they can at best become facilitators.

The present situation beckons to revisit the Panchsheel principles enunciated by Pandit Nehru. The dilemma before the nation lies in finding the right balance between preservation of tribal identity, culture and values and protecting the tribes, while enhancing their quality of their life, increasing and ensuring their access to mainstream education, health care and income generation. The challenge remains in integrating the Nehruvian vision, providing an enabling framework for people to develop

and govern themselves and affirmation of development with dignity. These Groups, which have passed through the processes of welfare and development over the past seven developmental decades, have to be now empowered in a manner that they themselves become the agents of socio-economic change and development.

## 2. METHODOLOGY

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The analysis in this report is created using data from the UCSS evaluation reports. Apart from the UCSS reports, secondary literature was referred to for definitions, fund allocation and utilization under social inclusion (TSP & SCSP) and broad recommendations. The UCSS evaluation reports span 10 sectors.

The Methodology adopted has 3 stages:

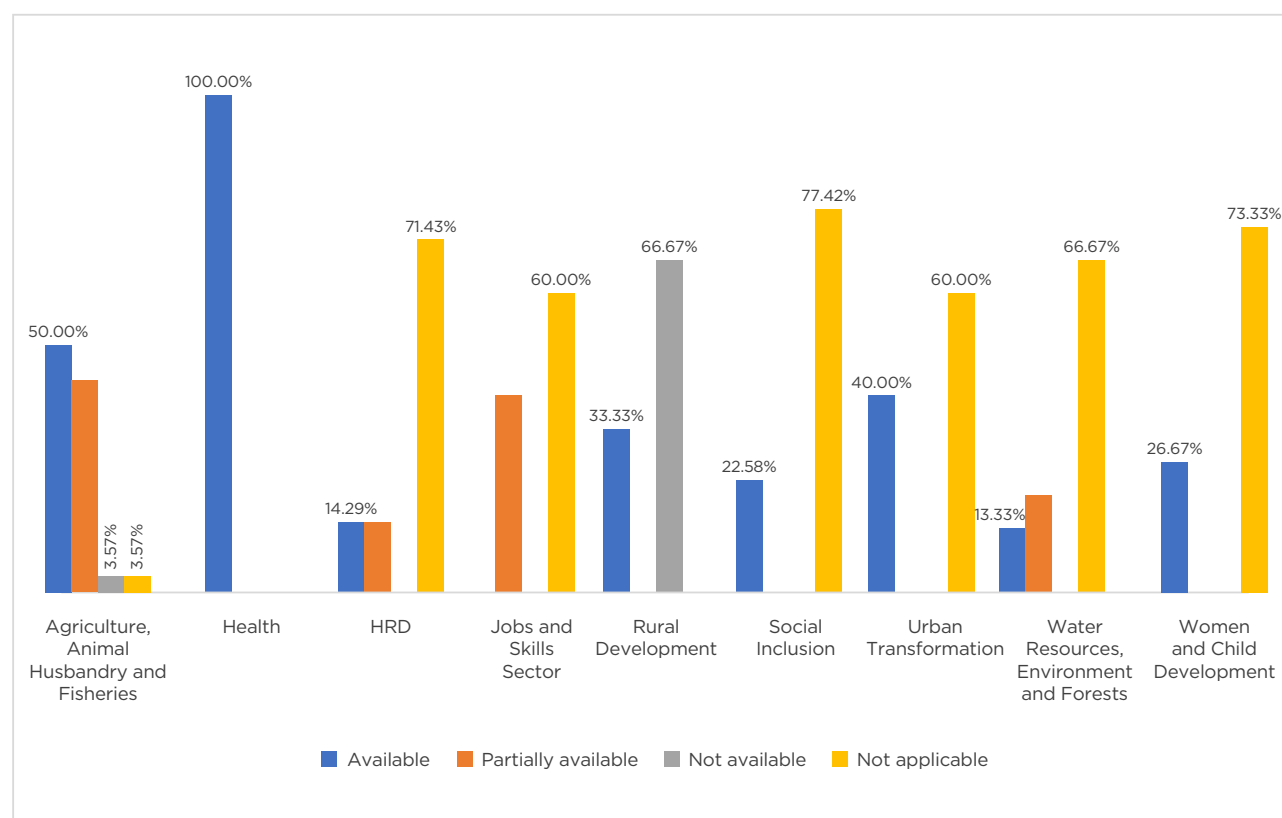
1. All relevant information concerning social inclusion was extracted from the 10 reports. Thereafter, an analysis of social inclusion components in schemes is done. This information can be found in the Sector chapters.
2. Analysis of information from these packages.
  - ❖ A meta-analysis of the information to give an overview was conducted using the information from the packages.
  - ❖ A subjective judgement on the relevance of each scheme to social inclusion was undertaken.
3. Secondary research was taken up at the sector level to understand the broad impacts of TSP and SCSP on the sector and the contribution of the sector to social inclusion (if any) to understand the mechanism of impact.

# 3. FINDINGS

DMEQ, NITI Aayog undertook the evaluation of all the centrally sponsored schemes of the government in 2019. The schemes were grouped into nine sectors. Thus nine UCSS reports emerged as an outcome of this evaluation study. These evaluation study reports have been analysed from the lens of Social Inclusion and the following key findings emerged.

## A. SCHEDULED TRIBE COMPONENT

### 1. STC Component Availability<sup>38</sup> of Data: Sector wise<sup>39</sup>

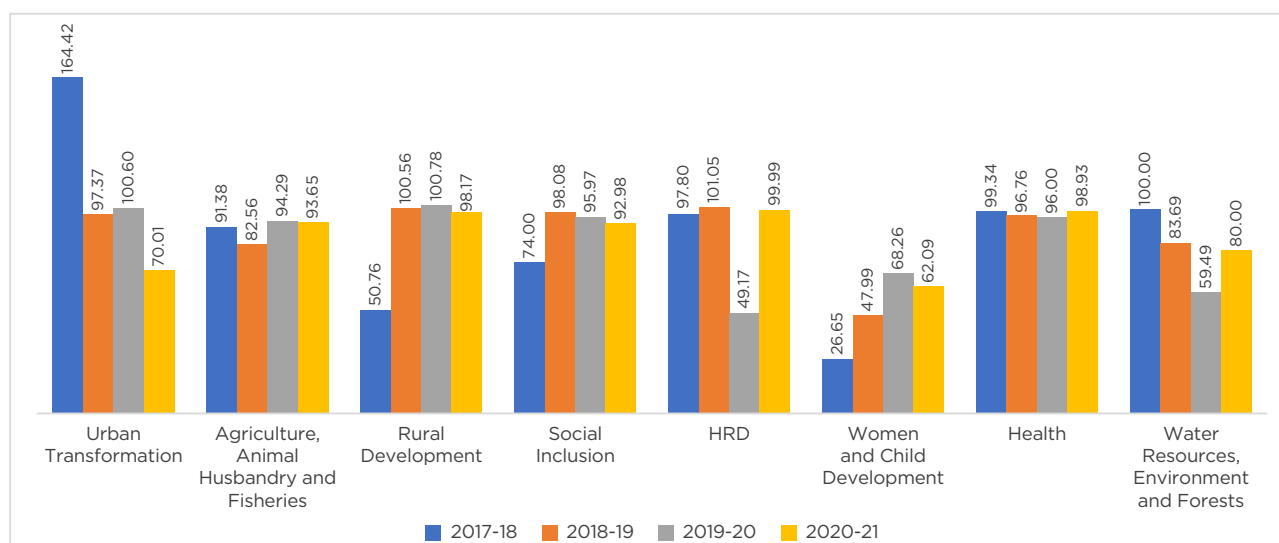


As per FY 2018-19, the graph shows that the STC component is 100% available in the Health sector and not readily available at all in the Jobs & Skills sector. The Agriculture, Animal Husbandry and Fisheries, HRD, Jobs ad Skills and Water Resources, Environmental and Forests sector have partially available data. Except for , Agriculture, Animal Husbandry and FisheriesHealth and HRD sectors, all the sectors have high non-applicability (over 60%) with respect to STC components.

<sup>38</sup> As per STC Monitoring Dashboard

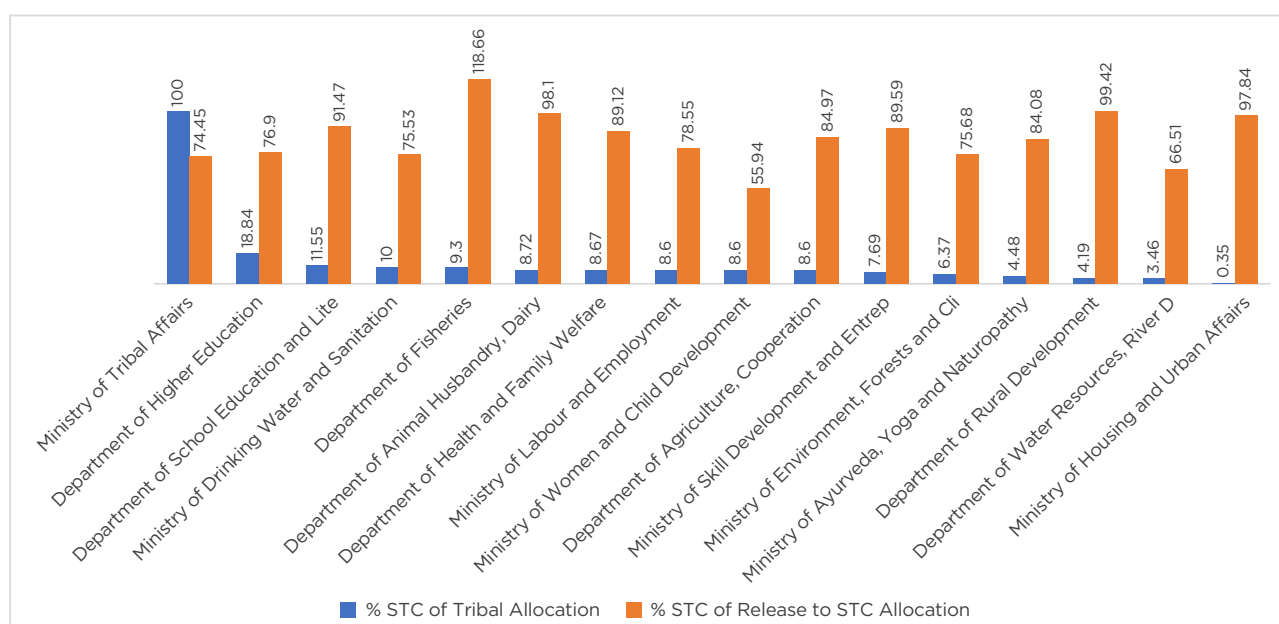
<sup>39</sup> For schemes and respective M/Ds covered separately in the UCSS Evaluation Sectors

## 2. % STC Utilisation (BE/AE) Trend: Sector wise



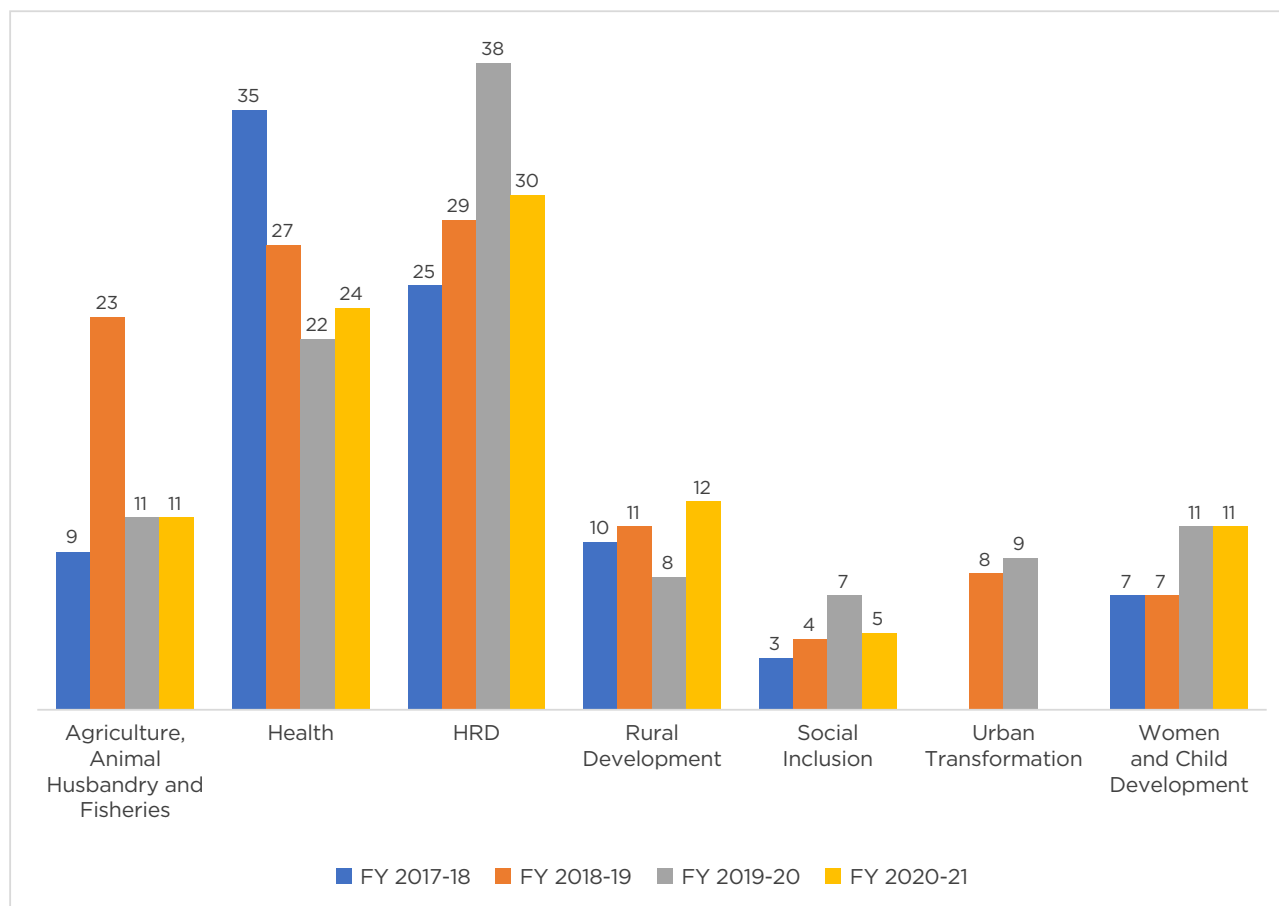
The graph shows that the % STC utilisation for the Urban transformation sector has been falling since FY 2017-18 and has almost halved in FY 2020-21. Agriculture, Animal Husbandry and Fisheries has remained same more or less throughout the four years. Rural development sector showed a doubling of %STC utilisation from FY 2017-18 to FY 2018-19, after which it has remained more or less consistent. The Social Inclusion sector showed an increase from 74% to 98% between FY 2017-18 & FY 2018-19, post which it has remained consistent. The HRD sector saw a sharp drop in FY 2019-20 where the percentage almost halved compared to FY 2018-19. It also gained back its original numbers in the following FY 2020-21. Women and Child Development sector has seen a steady increase in % STC utilisation till FY 2019-20, after which a slight drop of 6% can be seen in FY 2020-21. In the case of water resources, environment and forests sector, it can be seen that there is a steady drop in %STC till FY 2019-20, after which a sharp increase of almost 20% is seen in FY 2020-21.

## 3. Comparison between % of STC component to total allocation and % STC Release to STC Allocation for FY 2020-21 : M/D Wise



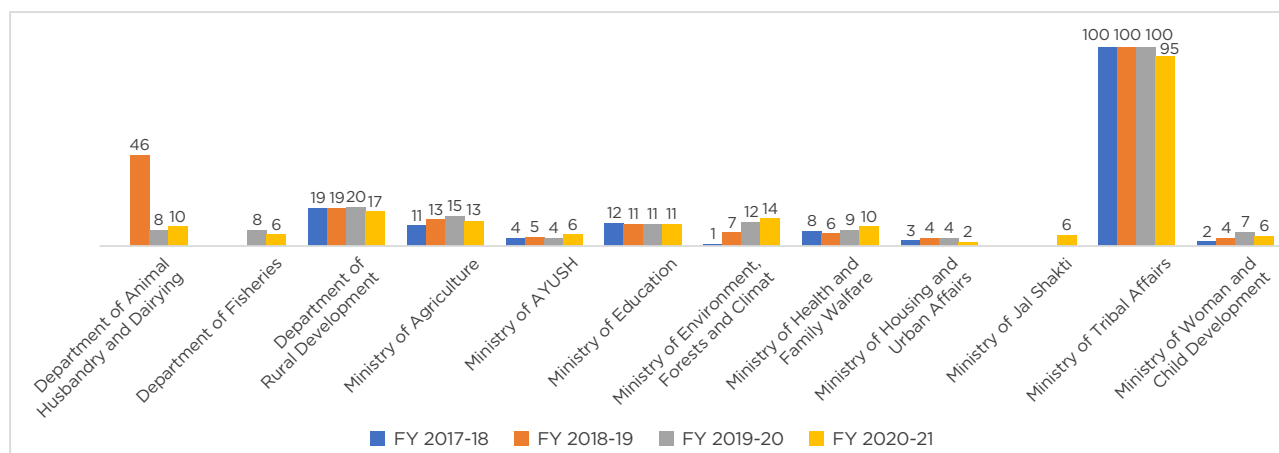
From the graph, the next highest allocation as % of STC to total allocation apart from the Ministry of Tribal Affairs stands at 18%, which is for the Department of Higher Education. Department of School Education and Literacy stands third in STC allocation to its total allocation at 11%. Rest of the ministries/departments have single digit %STC allocation to its total allocation.

#### 4. Four Year trend analysis of %STC AE out of Total Scheme AE: Sector Wise



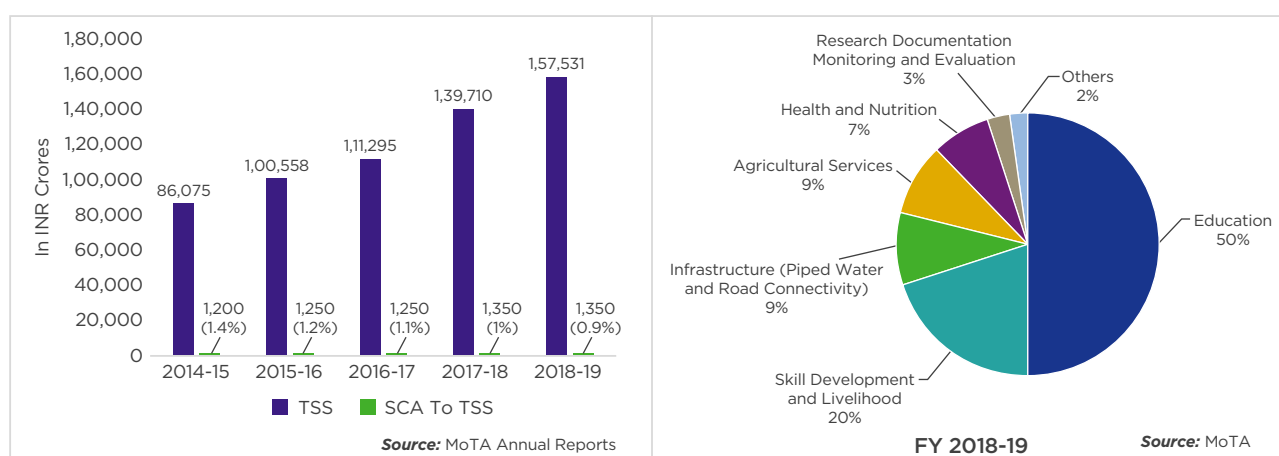
From the graph, it can be seen that the %STC AE out of Total Scheme AE of Agriculture, Animal Husbandry and Fisheries sector saw a 2.5 fold increase from FY 2017-18 to FY 2018-19, post which it halved in the next FY 2019-20 and remained constant thereafter. The Health Sector can be seen having a downward trend from FY 2017-18 till FY 2019-20, and FY 2020-21 sees a marginal increase. In the case of the HRD sector, an upward trend till FY 2019-20 can be seen. FY 2020-21 see a sharp drop from 38% to 30%. Rural development sector sees a steady upward trend except for a drop in FY 2019-20. Social inclusion sector, like the HRD sector, sees a similar upward trend. A slight drop from 7% to 5% can be seen in FY 2020-21. The Urban Transformation sector sees an increase from 8% to 9% between FY 2017-18 and FY 2018-19. Data for the next two FYs not available. Women and Child development sector sees a constant 7%STC AE out of Total Scheme AE in FY 2017-18 & FY 2018-19. A sharp increase from 7% to 11% can be seen from FY 2018-19 to FY 2019-20 which remained the same for FY 2020-21.

## 5. Percentage share of AE Schedule Tribe Component out of Total schemes AE: M/D wise



From the graph, it can be seen that the percentage share of AE Schedule Tribe Component out of total schemes AE remains the highest for the Ministry of Tribal Affairs. From FY 2017-18 till FY 2019-20, it has remained at 100% only to drop to 95% in FY 2020-21. The department of Animal Husbandry and Dairying has seen a sharp drop from 46% in FY 2018-19 to 8% in FY 2019-20 and further increasing to 10% in FY 2020-21. The Department of Fisheries has the data available for only FY 2019-20 and FY 2020-21 where a drop from 8% to 6% can be seen. In the case of the Ministry of Education, the % share of AE STC out of total schemes AE has remained more or less consistent. The Department of Rural Development has seen a fall from 20% in FY 2019-20 to 17% in FY 2020-21. The Ministry of Agriculture has seen an upward trend from FY 2017-18 to FY 2019-20, followed by a drop from 15% to 13% in FY 2020-21. The Ministry of AYUSH has seen an upward trend overall from 4% in FY 2017-18 to 6% in FY 2020-21. The Ministry of Environment, Forest and Climate has seen an upward trend overall where the Ministry has gone from 1% in FY 2017-18 to 14% in FY 2020-21. The Ministry of Health and Family welfare has seen a drop in FY 2018-19, after which it has risen steadily. The Ministry of Urban Affairs in the FY 2017-18 moved from 3% to 4% in FY 2018-19 and remained the same in FY 2019-20. It dropped to 2% in FY 2020-21. Mission Jal Shakti stands at 6% as of FY 2020-21 and has no data previous to this as it is a new ministry. The Ministry of Women and Child Development has seen a steady upward trend till FY 2019-20, and dropped to 6% in FY 2020-21.

## 6. SCA of TSS, and its focus on funding and implementation

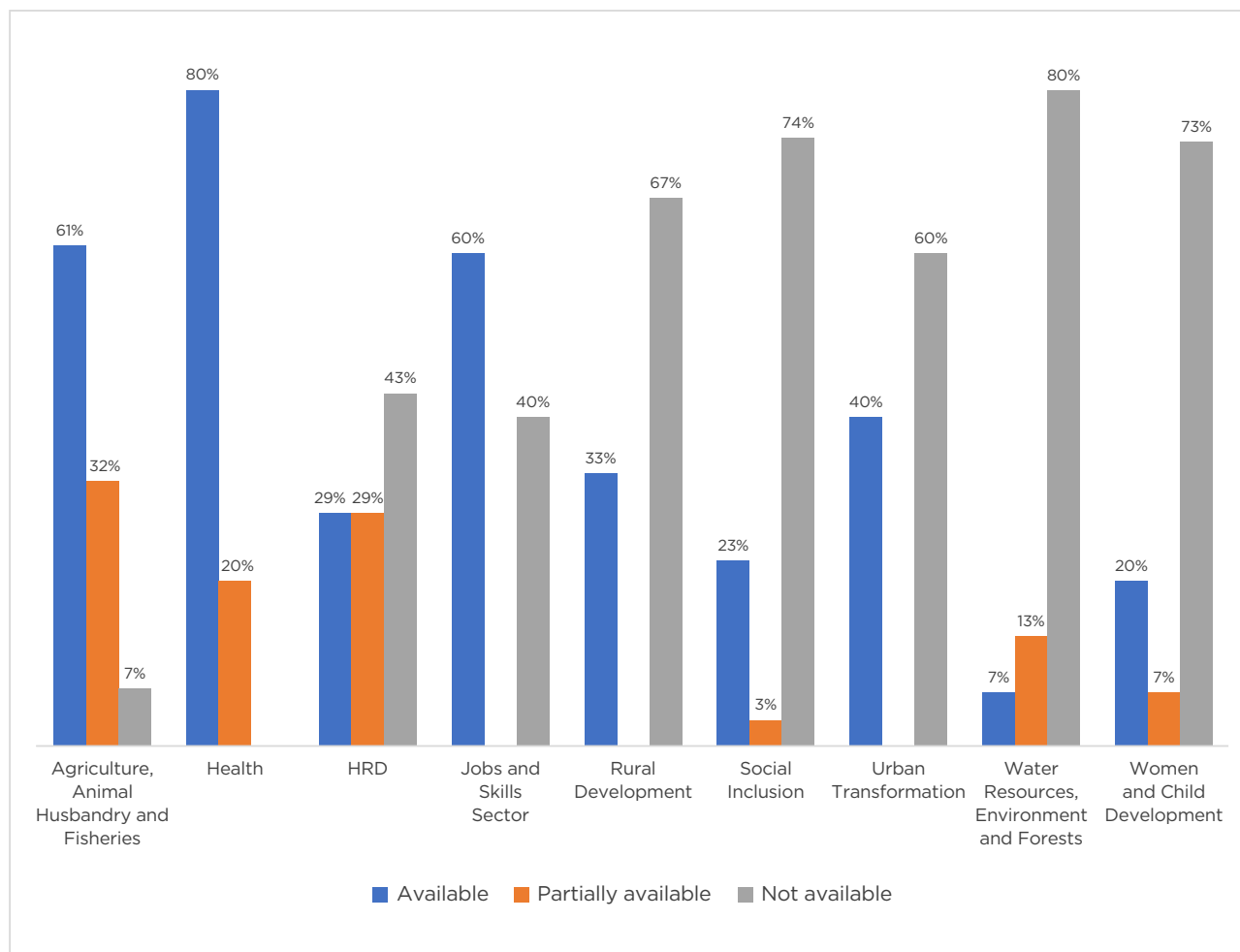




From the graph it can be seen that there is a gradual increase in TSS over the years from FY 2014-15 to FY 2018-19, however, SCA to TSS % is on a decreasing trend. The Pie chart shows that 50% of TSS comprises of Education, followed by Skill Development and Livelihood (20%), Infrastructure (Piped water and road connectivity) & Agricultural Services comprising 9% each, followed by Health and Nutrition at 7% and Research, Monitoring and Evaluation at 3%.

## B. SCHEDULED CAST COMPONENT

### 1. SCC Component Availability<sup>40</sup> of Data: Sector wise<sup>41</sup>

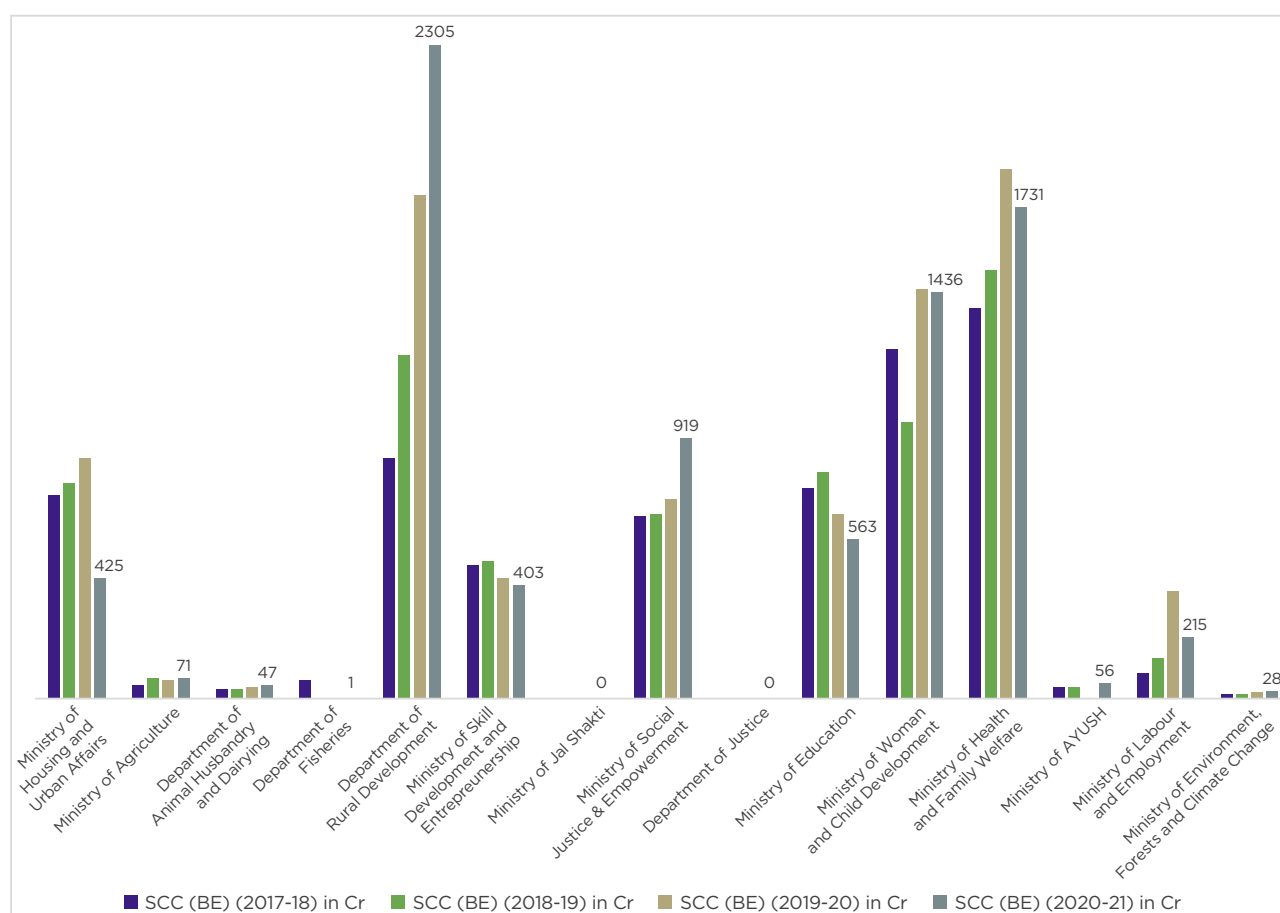


As per FY 2018-19, from the graph, it can be seen that the data availability of SCC components is the highest in the Health Sector with 80% data being available and partial availability of the rest 20% of the data. In the case of the Water resources, environment and forests sector, 80% of the data is not applicable, only 7% of the data is available readily and 13% of it partially available. In the Jobs and Skills sector, Rural development sector and Urban Transformation sector, there is no partial availability of information. Rural development, Social Inclusion, Urban transformation, Water resources, environment and forests and Women and child development sectors have more than 60% of the SCC component data is not applicable.

<sup>40</sup> As per e-Uthaa Dashboard

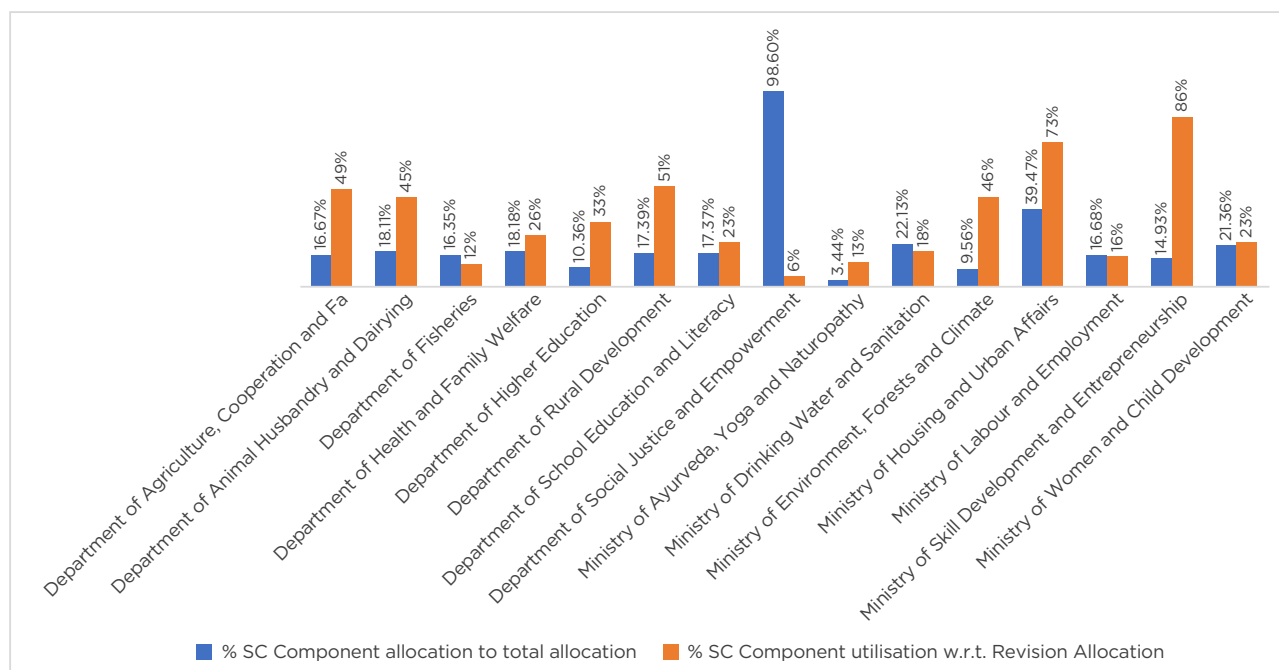
<sup>41</sup> For schemes and respective M/Ds covered separately in the UCSS Evaluation Sectors

## 2. SC Component BE Trend of the M/D



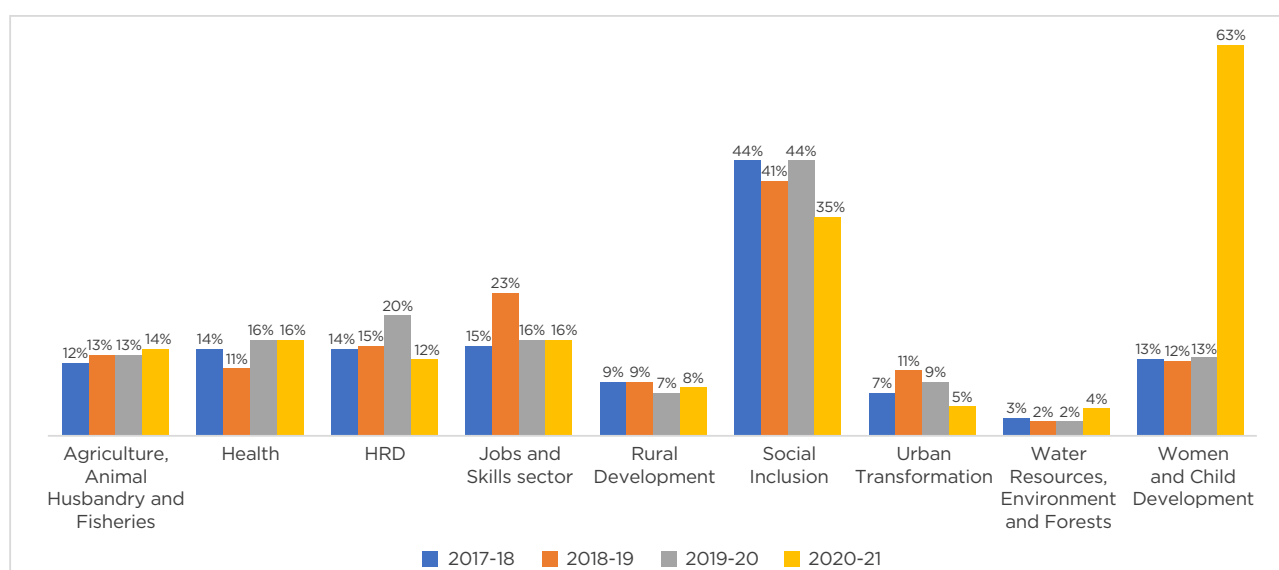
From the graph it can be inferred that, the Department of Rural Development has the highest SCC (BE) for the year 2020-21 with 2305 cr, whereas the Department of Jal Shakti and the Department of Justice have the lowest SCC (BE) for the year 2020-21 with 0 cr. It can also be seen that the Department of Rural Development has seen considerable growth of SCC (BE) in 4 years from the year 2017-18 to 2020-21, whereas the Department of Jal Shakti and Department of Justice have remained close to zero in 4 years from the year 2017-18 to 2020-21. The Ministry of Housing and Urban Affairs, Ministry of Health and Family welfare, and Ministry of Labour and Employment have seen an increase in SCC (BE) from the year 2017-18 to 2019-20, but have seen a decrease in the SCC (BE) in the year 2020-21. The Department of Husbandry and Dairying, Department of Rural Development, Ministry of Social Justice and Empowerment and, Ministry of Environment, Forests and Climate Change have seen changes in SCC (BE) with continuous increase in the SCC (BE) in the last four years from 2017-18 to 2020-21. The Ministry of Agriculture, Ministry of Skill Development and Entrepreneurship, and Ministry of Education have seen an increase in SCC (BE) in the years 2017-18, 2018-19 but have seen decrease in SCC (BE) in the years 2019-20, 2020-21. In the Ministry of Women and Child Development it can be seen that the SCC (BE) has constantly varied in the past four years, where there was decrease in SCC (BE) in the year 2018-19 compared to the year 2017-18, but increase in the year 2019-20 compared to the year 2018-19 and again slight decrease in the year 2020-21 compared to the year 2019-20. The Department of Fisheries has seen a decrease in the SCC (BE) and has remained low after the year 2017-18. The Ministry of Ayush has seen an increase in SCC (BE) in the years 2017-18 and 2018-19, and decrease in the year 2019-20 and again increase in the year 2020-21.

### 3. Comparison between % of SC component allocation to total allocation and % SC Release to SC Component Allocation for FY 2020-21: M/D Wise



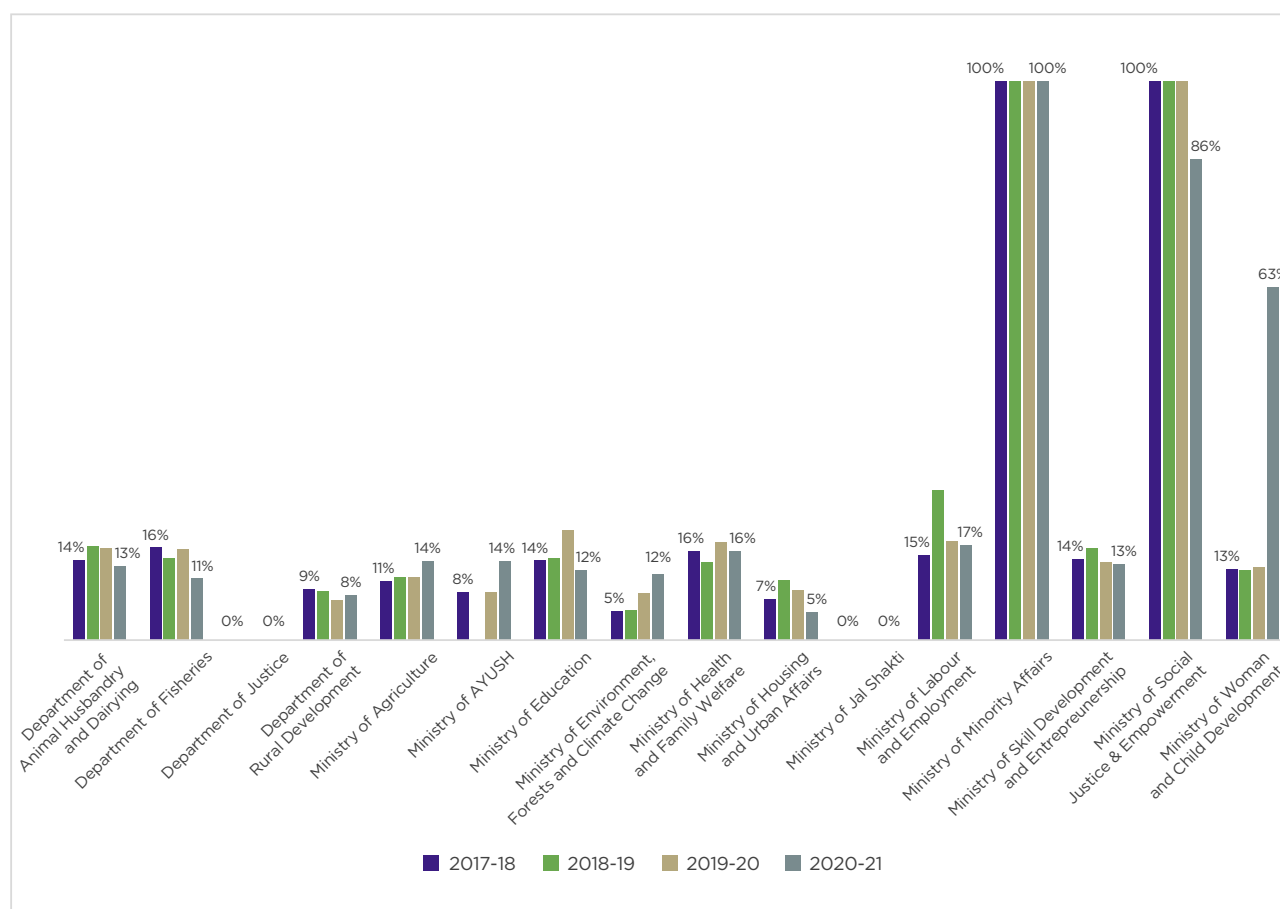
From the graph, it can be seen that the Department of Social Justice and empowerment has the highest % SC component to total allocation standing at 98% and the Ministry of Ayurveda, Yoga, Naturopathy has the least at 3%. The average % SC component to total allocation across the rest of the ministries remains at 18%. The % SC component utilisation wrt revised allocation is the highest for the Ministry of Skill Development and Entrepreneurship, followed by the Ministry of Housing and Urban Affairs at 73%. Except for the Department of Fisheries, Department of Social Justice and empowerment, Ministry of Drinking water and sanitation and Ministry of Labour and employment, rest of the Ministries/Departments have % SC component utilisation wrt revised allocation more than the % SC component to total allocation.

### 4. Percentage share of AE SCC out of total AE of the Sector



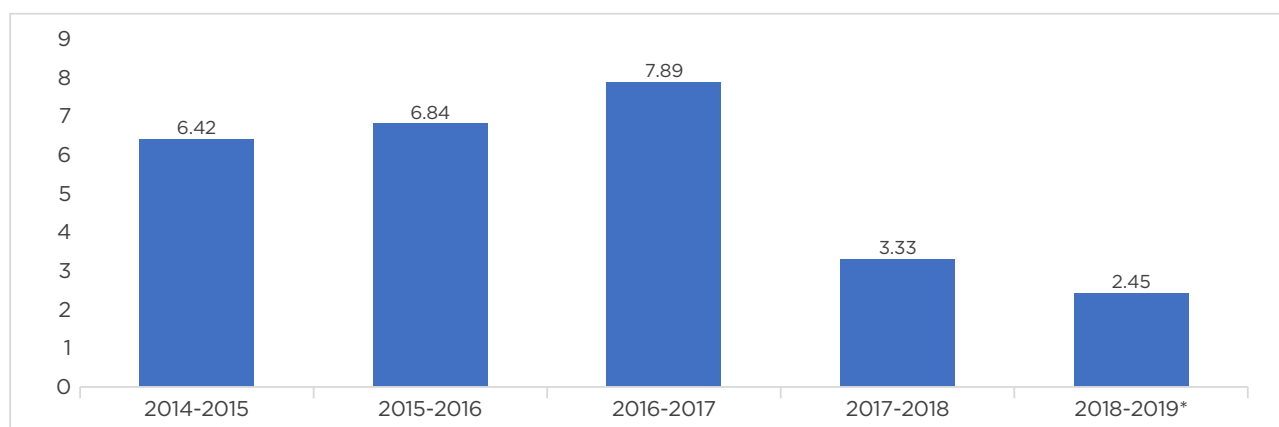
From the graph, it can be seen that the Percentage share of AE SCC out of total AE has seen an increasing trend in the Agriculture, Animal Husbandry and Fisheries sector. It has seen a marginal increase of 2% in 4 years. In the Health sector, the percentage had dropped in 2018-19 by 3% and then rose by 5% in the subsequent year. In case of HRD, the sector has seen a sharp drop from 20% in 2019-20 to 12% in 2020-21. Jobs and skills sector and Urban Transformation sector have seen a similar trend where the percentage share peaked in 2018-19 and gradually decreased then on. Rural Development and Water resources, environment and forests sectors have seen a similar trend where they have remained more or less consistent. Women and child development has seen a sharp increase from an average of 13% to 63% from FY 2019-20 to FY 2020-21.

## 5. Percentage share of AE SCC out of total AE of the M/D



From the graph, it can be seen that the Department of Justice and Ministry of Jal Shakti have no share. The department of Animal Husbandry has reduced its % share from 14% to 13% in the past four years. The Department of Fisheries has also seen a drop from 16% to 11% in four years. The Department of Rural development has seen a slight decrease from 9% to 8%. The Department of agriculture has seen a gradual increase from 11% to 14%. Similar trend can be seen in Ministry of Ayush increasing from 8% to 14% and the Ministry of Environment, Forests and Climate Change from 5% to 12%. The Ministry of Education has seen a slight drop from 14% to 12% in the past 4 years. Similar trends can be seen in the Ministry of Housing and Urban Affairs (7% to 5%) and the Ministry of Skill Development and Entrepreneurship (14% to 13%). The Ministry of Woman and Child Development sees a drastic increase from 13% to 63% while the Ministry of Social Justice and Empowerment sees a sharp fall from 100% to 86% in the past 4 years.

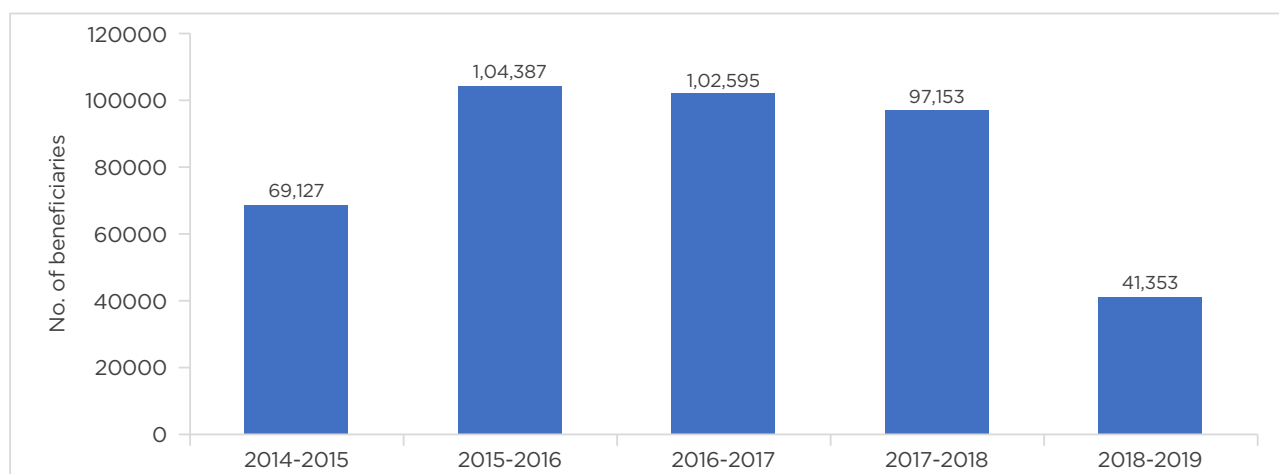
## 6. Beneficiaries reached under SCA to SCSP from 2014 to 2019



**Source:** Annual Report 2019-20, MoSJE (\*information in respect of the number of beneficiaries as reported by States/UTs up to 31. 12.2019).

From the graph, it can be seen that the beneficiaries reached under SCA to SCSP peaked in the 2016-17, after which there is a downward trend. There is a sharp drop in the beneficiaries reached between 2016-17 and 2017-18 where the numbers have reduced by over 50%.

## 7. No. of beneficiaries reached through skill development activities



From the graph, it can be seen that the beneficiaries reached through skill development activities peaked in the 2015-16, after which there is a downward trend. There is a sharp drop in the beneficiaries reached between 2017-18 and 2018-19 where the numbers have reduced by over 50%.

# 4. SECTORAL EVALUATION PERSPECTIVE

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This section will look at social inclusion related aspects across the sector. It would look at key initiatives and allocations to encourage inclusiveness within the sectors and schemes, particularly the role, outcomes and impact of funding from TSP & SCSP. It will explore the initiatives undertaken for social inclusivity across various sectors to bring society a step further towards a more “inclusive” society. The section also includes inclusiveness in scheme design/planning and policies, capacity building, and any best practices.

## 4.1. AGRICULTURE, ANIMAL HUSBANDRY & FISHERIES

### A. Agriculture

Agriculture and allied sector is one of the highest contributor to the country's economy with a share of 14.9% in the total Gross Value Added (GVA<sup>2</sup>) in 2017-18 at constant prices. Agriculture is a primary source of livelihood for more than 58% of households in rural India and provides employment to 43.9% of country's total workforce. With more and more. The overarching objective of the sector is maintaining food security while also ensuring remunerative prices to farmers. The goal is to modernize agriculture technology to ensure increase in productivity, efficiency, and crop diversification.

Under the Agriculture sector, there are in total 31 schemes, out of which only 17 (55%) cater to social inclusion (SCSP, TSP) directly or indirectly. Out of the remaining schemes, while 6(20%) have scope of including gender related aspects in scheme design, 8(25%) have minimal relevance to gender mainstreaming because of the nature of benefit being provided.

In-depth analysis of the schemes on social inclusion under this sector is given below:

#### 1. *Integrated Scheme on Agricultural Cooperation*

The Integrated Scheme on Agricultural Cooperation (ISAC) came into existence through the merger of two other pre-existing schemes. ISAC is the product of two erstwhile schemes belonging to the 11th Plan namely, The restructured central sector scheme for assistance to National Cooperation Development Corporation (NCDC) – Programmes for Development of Cooperatives. The central sector scheme for Cooperative Education and Training. The primary aim of the scheme is to address the issues of improving the status of the cooperatives, eradicate the imbalances at the regional level. Another agenda is to accelerate the holistic development of the cooperatives in areas of agricultural marketing, processing, storage, computerization and weaker section programmes. ISAC also emphasises on generating remunerative prices for the produce of the cotton farmers with significant value addition. Supply of quality yarn at reasonable rates to the fragmented and decentralized weavers are also taken care of.

**Role of Tribal Sub-Plan (TSP) and Scheduled Caste Sub-Plan component of the scheme in mainstreaming of Tribal and Scheduled Caste population:**

ISAC has taken into consideration the national agenda of rapid socio-economic development of the tribal population as strategized in the Tribal Sub Plan. ISAC through its implementing agency i.e. NCDC promotes and finances projects targeted towards the weaker sections of the society, which include Scheduled Castes and Scheduled Tribes (ST). Few of the key focus areas are mentioned below:

- **Scheduled Caste Cooperatives** – cooperatives having more than 40% scheduled caste members are categorized as Scheduled Caste cooperatives. By the end of FY 17-18, more than INR 300 crore had been sanctioned for the units categorized as SC Cooperatives.
- **Scheduled Tribe Cooperatives** – specific schemes have been formulated by NCDC towards the strengthening of Large Sized Agricultural Multi-Purpose Cooperative Societies (LAMPS) and Tribal Development Cooperative Corporation/Federations (TDCCF).

## 2. National Food Security Mission

The National Development Council (NDC) in its 53rd meeting held on 29th May, 2007 adopted a resolution to launch a Food Security Mission comprising rice, wheat and pulses to increase the annual production of rice by 10 million tonnes, wheat by 8 million tonnes and pulses by 2 million tonnes by the end of the Eleventh Plan (2011-12). Accordingly, a Centrally Sponsored Scheme, 'National Food Security Mission' (NFSM), was launched in October 2007. The Mission met with an overwhelming success and achieved the targeted additional production of rice, wheat and pulses. The Mission continued during 12th Five Year Plan with new targets of additional production of food grains of 25 million tonnes of food grains comprising 10 million tonnes rice, 8 million tonnes of wheat, 4 million tonnes of pulses and 3 million tonnes of coarse cereals by the end of 12th Five Year Plan.

The Special Component Plan (SCP) for Scheduled Castes and Tribal Sub-Plan (TSP) for Scheduled Tribes:- 16% of the total allocation for SCP and 8% for TSP will be earmarked. The allocation to SC/ST farmers is made proportionate to their population in the district.

## 3. National Mission on Horticulture

**National Horticulture Mission (NHM)** is an Indian horticulture Scheme promoted by Govt. of India. It was launched under the 10th five-year plan in the year 2005-06. While Government of India contributes 85%, 15% share is contributed by State Governments. The NHM's key objective is to develop horticulture to the maximum potential available in the state and to augment production of all horticultural products (fruits, vegetables, flowers, coco, cashew nut, plantation crops, spices, medicinal aromatic plants) in the state. SC/ST details : Nearly 25% funds are allocated exclusively for the SC/ST population. About 23% of the total subsidy being provided under the scheme is for SC/ST beneficiaries. Highest SC/ST beneficiaries are from the state of Chhattisgarh. Lack of adequate funding and insufficient human resource at state level are some of the major challenges and inclusion of marginalized groups in the schemes. In adoption of technologies for procession and product diversification 33% of the project cost is allocated to SC/ST women.

## 4. Rainfed Area Development and Climate Change

Concerned by the slow growth in the Agriculture and allied sectors, the National Development Council (NDC), in its meeting held on 29th May, 2007 resolved that a special Additional Central Assistance Scheme (RKVY) be launched. The NDC resolved that agricultural development strategies must be

reoriented to meet the needs of farmers and called upon the Central and State governments to evolve a strategy to rejuvenate agriculture. The NDC reaffirmed its commitment to achieve 4 percent annual growth in the agricultural sector during the 11th plan. The Department of Agriculture, in compliance with the above resolution and in consultation with the Planning Commission, has prepared the guidelines for the RKVY scheme, to be known as National Agriculture Development Programme (RKVY).

**SC/ST Details:** RKVY guidelines provide for special coverage of beneficiaries belonging to small and marginal farmers, Scheduled Castes, Scheduled Tribes for better implementation of the scheme benefits. However, no special interventions exist for vulnerable groups. The HH survey depicts a share of 7% and 23% of the total fund allocated for ST and SC categories respectively. Utilization of funds varies across states.

## 5. *National Project on Agro- Forestry*

The **National Agroforestry Policy** of India is a comprehensive policy framework designed to improve agricultural livelihoods by maximizing agricultural productivity for mitigating climate change. The Govt. of India launched the policy in February 2014 during the World Congress on Agroforestry, held in Delhi. The policy aims to improve productivity and environmental sustainability by integrating trees, crops, and livestock into the same plot of land. It was created to counteract limited agricultural productivity due to consistent decreases in the land-holding share of farmers, which was caused by rapid population growth and agricultural activity dependent on seasonal rainfall.

**SC/ST Details:** At least 50% of the allocation is to be utilized for small, marginal farmers of which at least 30% are women beneficiaries/farmers. Further 16% & 8% of the total allocation or proportion of SC/ST population in the district will be utilized for Special Component Plan (SCP) and Tribal Sub Plan (TSP) respectively.

## 6. *Rashtriya Krishi Vikas Yojna*

Concerned by the slow growth in the Agriculture and allied sectors, the National Development Council (NDC), in its meeting held on 29th May, 2007 resolved that a special Additional Central Assistance Scheme (RKVY) be launched. The NDC resolved that agricultural development strategies must be reoriented to meet the needs of farmers and called upon the Central and State governments to evolve a strategy to rejuvenate agriculture. The NDC reaffirmed its commitment to achieve 4 percent annual growth in the agricultural sector during the 11th plan. The Department of Agriculture, in compliance with the above resolution and in consultation with the Planning Commission, has prepared the guidelines for the RKVY scheme, to be known as National Agriculture Development Programme (RKVY).

**SC/ST Details:** RKVY guidelines provide for special coverage of beneficiaries belonging to small and marginal farmers, Scheduled Castes, Scheduled Tribes for better implementation of the scheme benefits. However, no special interventions exist for vulnerable groups. The HH survey depicts a share of 7% and 23% of the total fund allocated for ST and SC categories respectively. Utilization of funds varies across states.

## 7. *Sub-Mission on Agriculture Extension*

To empower the farmers through the Sub-Mission on Agricultural Mechanization (SMAM) scheme, Government of India has released funds for various activities of Farm Mechanization like Establishment



of Custom Hiring Centres, Farm Machinery Bank, High-tech Hubs and distribution of various agricultural machinery etc to different states. Agricultural Mechanization plays a vital role in optimizing the use of land, water energy resources, manpower and other inputs like seeds, fertilizers, pesticides etc to maximize the productivity of the available cultivable area and make agriculture a more profitable and attractive profession for rural youth. Agricultural Mechanization is one of the key drivers for the sustainable development of the agriculture sector. Sustainable Agriculture mechanization growth will require appropriate and precision agricultural machinery adequately supported by the latest technology.

**SC/ST Details:** 16.60% of the total allocation for SCP and 8.60 % for TSP will be earmarked. The allocation to SC/ST farmers will be made proportionate to their population in the district. 30% of allocation will be earmarked to the woman beneficiary. Utilize at least 50% of the allocation for small and marginal farmers.

### **8. Pradhan Mantri Krishi Sinchai Yojana (PMKSY) - Per Drop More Crop**

The Government of India has been implementing a Centrally Sponsored Scheme on Micro Irrigation with the objective to enhance water use efficiency in the agriculture sector by promoting appropriate technological interventions like drip & sprinkler irrigation technologies and encouraging the farmers to use water saving and conservation technologies. The Scheme was launched by the Department of Agriculture & Cooperation, Ministry of Agriculture in January, 2006 as Centrally Sponsored Scheme on Micro Irrigation (CSS). In June, 2010, it was up-scaled to National Mission on Micro Irrigation (NMMI), which continued till the year 2013-14.

**SC/ST Details:** There is a budget allocation mandatorily made for the Scheduled Tribes and Scheduled Caste. 16.5% and 8.5% of the total fund allocation is allocated for the TSP and 16.5% and 8.5% of the 16% and 8% of the total allocation or in proportion of SC/ST population in the district. Scheme is widely implemented in the dry regions. It has budget allocations for small and marginal farmers.

### **9. National Mission on Oilseeds and Oil Palm (NMOOP)**

National Mission on Oilseeds and Oil Palm (NMOOP) launched during 2014-15 envisages increasing production and productivity of oilseeds crops and oil palm through bringing in fallow areas under oilseed crops and diversification of area from low yielding cereals. It aims to achieve the required target by addressing major constraints to crop productivity through promotion of relevant technological interventions.

**SC/ST Details:** scheme calls for adequate representation of SC/STs in individual beneficiary components. The ATMA governing body must have at least one SC/ST farmer representative. While nominating Progressive Farmers, states must have adequate representation from SC/ST categories.

### **10. Sub-Mission on Seed and Planting Material**

The Department of Agriculture, Cooperation and Farmers Welfare is implementing farmer's welfare scheme '**Sub-Mission on Seeds & Planting Materials**' to produce and supply quality seeds to farmers to enhance production and productivity in the country through various components namely Seed Village Programme, Establishment of Seed Processing- cum- Seed Storage Godowns at Gram Panchayat Level, National Seed Reserve, Boosting Seed Production in Private Sector and Strengthening of Quality Control Infrastructure Facilities.

**SC/ST Details:** To encourage farmers to develop storage capacity of appropriate quality, financial assistance will be given to farmers for purchasing Seed Storage bins. The rate of assistance will be as under. @33% for SC/ST farmers for 10 qtls. capacity upto maximum of Rs.1500 @33% for SC/ST farmers for 20 qtls. capacity upto maximum of Rs.3000 @25% for General farmers for 10 qtls. capacity upto maximum of Rs.1000 @25% for General farmers for 20 qtls. capacity up to maximum of Rs.2000

## B. Animal Husbandry

### 11. Dairy Entrepreneurship Development

The department of Animal Husbandry, dairying and fisheries is implementing Dairy Entrepreneurship Development Scheme (DEDS) for generating self-employment opportunities in the dairy sector, covering activities such as enhancement of milk production, procurement, preservation, transportation, processing and marketing of milk by providing back ended capital subsidy for bankable projects. The scheme is being implemented by National Bank for Agriculture and Rural Development (NABARD)

**SC/ST Details:** 16.66% is allocated for Scheduled caste sub-plan and 8.66% is allocated for Tribal Sub-plan.

### 12. Dairy Processing and Infrastructure Development Fund

Consequent to the Union Budget 2017-18 announcement, Dairy Processing & Infrastructure Development Fund has been set up with a corpus of Rs. 8,004 crore with National Bank for Agriculture and Rural Development (NABARD). The CCEA in its meeting dated 12.09.2017 has approved the scheme which has the objective to provide subsidized loan @6.5% to capital stressed milk cooperatives for primarily replacing their decades old chilling and processing plants and addition of value added product plants. Out of Rs 10,881 crore of financial outlay for project components of DIDF, Rs 8,004 shall be loan from NABARD to NDDB/NCDC, Rs 2,001 crore shall be end borrowers contribution, Rs 12 crore would be NDDB/NCDC's share and Rs 864 crore shall be contributed by DAHD toward interest subvention. The project focuses on building an efficient milk procurement system by setting up of processing and chilling infrastructure & installation of electronic milk adulteration testing equipment at village level.

**SC/ST Details:** This is an infrastructure development project to support dairy cooperatives with more than 30% Female members in dairy cooperatives. Also in 2018-19, Rs. 5.53 crore was earmarked for SCs, while Rs. 2.87 crore was earmarked for STs.

### 13. National Dairy Plan-I

National Dairy Plan Phase I (NDP I) is a Central Sector Scheme for a period of 2011-12 to 2018-19. NDP-I is an externally aided project, a specific budget under TSP and SCSP has been made during 2018-19. The interventions are designed to promote dairy development activities among SC/ST population. For instance under enrolment of new beneficiaries under Village based milk procurement system, 17% should be SC/ST. Sensitization and awareness exercises or training are also conducted at sub-project level to promote social equity and awareness.

However information on funds allocated for SC/ST and beneficiaries is not available. Mobilisation and institution building of smallholder milk producers (min 30% women and 17% SC/ST population) has been encouraged through the project. 6.6% and 8.6% of the funds are allocated towards SC and ST beneficiaries, respectively.

### 14. National Programme for Dairy Development

NPBB&DD had two components (a) National Programme for Bovine Breeding (NPBB) and (b) National Programme for Dairy Development (NPDD). The IDDP, CMP and (A to C) were discontinued from April, 2017 and NPBB has been subsumed into Rashtriya Gokul Mission. And, NPDD became a standalone scheme. The Scheme is being implemented by the State level Implementing Agency (SIA) i.e. State Cooperative Milk Federation through State Government. The Scheme guidelines mention that the Scheme will be implemented throughout the country. The Scheme finances all components in those States where National Dairy Plan Phase I (NDP-I) is not being implemented.

25.2% funds are allocated from SCSP and TSP components. Moreover, assistance for cattle induction under the scheme is only being provided to SC/ST and BPL families. In addition, NPDD interventions are being promoted in hilly areas, north east region, backward districts (in terms of milk production) and aspirational districts. Many projects have been sanctioned

### 15. National Livestock Mission

National Livestock Mission launched during 2014-15 was formulated for development of livestock sector with the objectives to enhance the level of nutrition and standard of living of livestock keepers and farmers especially small holders through sustainable, safe and equitable livestock development.

**SC/ST Details:** Nearly 25% funds are allocated exclusively for the SC/ST population. ST/ST/BPL beneficiaries in north eastern states/left wing affected and hilly areas, can avail subsidy of 50% of the total project cost and those in Leh, Ladakh, Kargil can avail 60%.70% of insurance premium is paid by Central and state for BPL/SC/ST in normal areas, 80% in NER/Hilly/LWE affected areas and 90% in difficult areas.

### 16. Livestock Health and Disease Control

Livestock Health and Disease Control (LH&DC) Scheme is a Centrally Sponsored Scheme which supplements the efforts of the States/UTs in development of animal husbandry by providing financial assistance as Central share for control & containment of animals diseases. It has been continuing since the 10th Five Year Plan Period. The Scheme was modified during 11th Plan and 12th Plan period by inclusion of new components and modifying existing components. The Classical Swine Fever-Control Programme is being focussed in the North Eastern Region, while the other disease Control Programmes are being implemented across the country.

**SC/ST Details:** 6.6% and 8.6% of the funds are allocated towards SC and ST beneficiaries, respectively. The design and purpose of the scheme is such that no other measures are included in the scheme to encourage these groups to enter this sector.

### 17. Rashtriya Gokul Mission

The Rashtriya Gokul Mission was launched in December 2014 as an initiative to develop and conserve the indigenous bovine breeds for improving the milk production and productivity in a scientific manner which includes superior nutrition and farm management.

**SC/ST Details:** 16.6% and 8.6% of the funds are targeted towards SC and ST beneficiaries, respectively

## C. Fisheries

### 18. Integrated Development and Management of Fisheries

The Cabinet Committee on Economic Affairs (CCEA), chaired by the Prime Minister Shri Narendra Modi, has given its approval for implementation of an umbrella scheme for integrated development and management of fisheries at an outlay of Rs.3,000 crore, for a period of five years. The Central Sector Scheme covers development and management of inland fisheries, aquaculture, marine fisheries including deep sea fishing, mariculture and all activities undertaken by the National Fisheries Development Board (NFDB) towards realizing “Blue Revolution”.

**SC/ST Details:** The scheme provides 60% government assistance to SC/ST beneficiaries. The Department of Fisheries has earmarked Rs 224.05 crores under which Rs 146.72 crores has been incurred under SCSP component in the year 2016-17. From 2018-19, the Department has allocated 8.6% under Tribal Sub Plan.

## 4.2. WOMEN & CHILD DEVELOPMENT

The Ministry of Women & Child Development has been regularly earmarking budget allocation separately for Scheduled Castes Sub-Plan and Tribal Sub-Plan within its major schemes. Currently, five schemes of the MWCD – the Anganwadi Services Scheme, POSHAN Abhiyaan, Pradhan Mantri Matru Vandana Yojana (PMMVY), Scheme for Adolescent Girls (SAG) and Mahila Shakti Kendra (MSK) have allocations for SCSP and TSP.

The MWCD's contribution to the SCSP and TSP as a share of its budget has fluctuated over the years, with the allocation to both plans particularly low in 2017-18 and 2018-19. The allocation fell from 19.6 per cent in 2016-17 to 16.8 per cent in 2017-18 for SCSP and from 8 per cent to 6.7 per cent in the same period under TSP. These drops were seen even though the Ministry's budget increased by 20 per cent in 2017-18 over the previous year. In the last two years since NITI Aayog has revised the guidelines, the Ministry has just about met the earmarking goals, with almost 20 per cent and 8.5 per cent allocations for SCSP and TSP respectively. In 2020-21, MWCD's contribution to SCSP and TSP formed 7.1 per cent and 4.8 per cent respectively of all allotments to SCSP and TSP, which stood at Rs. 83,256.62 Crore for SCSP and Rs. 53,652.86 Crore for TSP. In terms of scheme-wise distribution, the Anganwadi Services scheme covers the bulk of MWCD allocations to both SCSP and TSP, followed by PMMVY, SAG and MSK in that order. In the 2020-21 allocations, Anganwadi Services contribute 87 per cent of the allocations to SCSP and 90 per cent of the allocations to the TSP.

### The Utilisation of SCSP and TSP Fund Allocations

In terms of utilisation of the allocated funds, the MWCD has generally been one of the better performers, with close to 100 per cent of the funds allocated by it to TSP and SCSP being utilised in 2016-17 and 2017-18. However, in 2018-19, both TSP and SCSP allocations were underutilised.

### 1. Anganwadi Services

In 2016-17 and 2017-18, Anganwadi Services contributed pretty much 100 per cent of MWCD's allocations to SCSP and TSP, and due to the historically high utilisation rate of the AWS scheme, the TSP and SCSP components were also utilised fully. MWCD has sanctioned 14 lakhs AWCs across the country including AWCs in tribal areas. Total number of Anganwadi Centres (AWCs) in Tribal Sub-Plan areas reporting on the ICDS-RRS portal is 1,34,806 with 69,14,204 registered beneficiaries. No such information is available for Anganwadis in SCSP areas. The MWCD has sanctioned 14 lakhs

AWCs across the country. These include AWCs in tribal areas. The total number of Anganwadi Centres (AWCs) in Tribal Sub-Plan areas reporting on the ICDS-RRS portal is 1,34,806 with 69,14,204 registered beneficiaries.

## 2. Pradhan Mantri Matru Vandana Yojana

PMMVY has allocations under both the TSP and SCSP. Analysis of the scheme budget between FY 2017-18 and FY 2019-20 reveals that RE fell in FY 2018-19 but rose by more than double in FY 2019-20 for allocations under the SCSP. On the other hand, the RE figures for the TSP component of PMMVY have experienced a steady rise between FY 2017-18 and FY 2019-20. The scheme did not have a TSP allocation in FY 2017-18; however, since then, the budget allocations for this component have increased. Overall, the scheme exhibits an intent to strengthen the health outcomes of ST and SC populations, exemplified by rising budget allocations for these vulnerable sections.

## 3. Scheme for Adolescent Girls

SAG has allocations under both the Scheduled Caste Sub-Plan (SCSP) and the Tribal Sub-Plan (TSP). Analysis of budget allocations from FY 2015-16 and FY 2019-20 reveals a rising and then steadily falling allocation of funds under SCSP for SAG. Between FY 2015-16 and FY 2017-18, the Revised Estimates (RE) under SCSP have risen steadily. However, in FY 2018-19, a sharp drop has been observed in the allocations, a trend that has continued well into FY 2019-20 as well.

## 4. Mahila Shakti Kendra

Allocation of funds under the scheme for the welfare of scheduled tribes and scheduled castes have been reported on the budget statement since FY2018-19. The budgetary data highlights declining trends in the allocation of funds under both SCSP and TSP.

### 4.3. HEALTH

Under the Health sector, there are total 5 schemes and inadequate data reporting for health outcomes of tribal population and budget utilisation for TSP and SCSP is observed. Utilization for the allocation of funds under TSP and SCSP for health is unavailable. Reporting for health indicators for tribal and scheduled caste populations is unavailable.

### 4.4. URBAN TRANSFORMATION

Urban Transformation as a sector has 5 schemes out of which only 2 schemes i.e. DAY-NULM and PMAY-Urban have fund allocation for SCSP, Tribal Sub Plan. The Swachh Bharat Mission does not track equity outcomes; and there is limited data to assess adherence to inclusion norms. Also, two of the major schemes of the sector i.e. AMRUT and SBM-U have no provision for TSP and SCSP fund allocation.

Scheme-wise details:

#### 1. Deendayal Antyodaya Yojana-National Urban Livelihood Mission (DAY-NULM)

DAY-NULM is created on the principles of inclusivity. The guidelines make provisions for all groups in society including marginalised and vulnerable population including transgender persons, persons with a disability, ragpickers, street vendors, etc. Evidence indicates that more marginalised groups

have been integrated into the programme as a result. The Mission has also introduced pertinent changes in the guidelines to increase inclusivity and equity. E.g., under the SM&ID component, the emphasis was on forming women SHGs, and male SHGs of persons with disabilities.

The Mission also has budgetary allocation towards equity integration. Under the Scheduled Caste Sub-Plan (SCSP) and Tribe Sub-Plan (TSP), the Mission has made budgetary provisions towards enhancing the inclusion and coverage of SCs and STs. The total budgetary allocation towards the welfare of SC and ST under DAY-NULM is Rs. 460.13 crore – this constitutes 14.3 per cent of the total budgetary allocation (Rs.3,222 crore). NULM has defined targets and special provisions for marginalised communities (SCs/STs/OBCs) and persons with disabilities (PWDs)

The total expenditure on the welfare of SC/ST is around Rs. 516.31 crore and accounts for 16.25 per cent of the total expenditure. Analysis of the approved budget versus utilization under SCSP and TSP reveals that the actual expenditure is higher than the budgeted estimate for the year 2017-18 and 2018-19 indicating that there is higher spending towards the welfare of SCs and STs.

## 2. Pradhan Mantri Awas Yojna-Urban (PMAY-U)

The Mission has budgetary allocation towards equity integration. Under the Scheduled Caste Sub-Plan (SCSP) and Tribe Sub-Plan (TSP), the Mission has made budgetary provisions towards enhancing the inclusion and coverage of SCs and STs.

## 4.5. HUMAN RESOURCES DEVELOPMENT

Education is a critical instrument for social and economic transformation. A well educated population is also essential for inclusive growth since an educated and skilled person is more likely to benefit the most from the employment opportunities emerging in a growing economy. India is expected to become the second largest economy by 2050 with the world's largest working-age population of nearly 962 million by 2030<sup>42</sup>. In order to reap the benefits of this 'demographic dividend' it is imperative that India's young population has access to quality and equitable primary, secondary and tertiary education. The performance and effectiveness of the Centrally Sponsored Schemes (CSS) in the Education sector vis-a vis the Role of Scheduled Caste Sub-Plan and Tribal Sub-Plan are discussed below:

### A. National Education Mission (NEM) has following schemes

As of 2010, or all the constituent Centrally Sponsored Schemes under the National Education Mission, nearly 20 percent of scheme budget is allocated towards Scheduled Caste Sub-Plan and nearly 10.7 per cent is towards TSP<sup>43</sup>. This is higher than the recommendations of the Narendra Jadhav Committee regarding minimum allocations against SCSP and TSP. However, during expenditure of these funds, there is no clear demarcation, due to which the quantum of outputs generated through these funds is not tracked presently. As a result, the effect of TSP and SCSP funding cannot be quantified across the sub-segments in UCSS. But the positive outcome of the scheme is evident based on improvement in overall participation of SC and ST students across school education, higher education, teacher education and adult education.

42 Skilling India – The Billion People Challenge. Source: [https://www.crisil.com/pdf/corporate/skilling-india\\_nov10.pdf](https://www.crisil.com/pdf/corporate/skilling-india_nov10.pdf)

43 Recommendations on the Guidelines for Implementation of Programmes and Schemes under Scheduled Castes Sub Plan (SCSP) and Tribal Sub Plan (TSP) in the Ministry of Human Resource Development



All constituent Centrally Sponsored Schemes under the National Education Mission have an articulated focus on ensuring that all vulnerable groups (including, SC, ST, Muslims, economically backward, etc.) are covered. With regards to access interventions, across all Centrally Sponsored Scheme, priority is given to improving access for vulnerable groups, through construction of schools, colleges, universities, and Adult Education Centres in remote, educationally backward and inaccessible regions.

### ***1. Rashtriya Madhyamik Shiksha Abhiyan***

Notional allocations are made under SCSP/TSP with lack of targeted interventions. The SC dropout rates have increased in the period 2014-15 to 2017-18. Most of the states make notional allocations for the SCSP/TSP funds. The scheme includes provisions for all vulnerable groups, namely SCs, STs, minorities, and the disabled, have been accounted for in some form of the other. For the SCSP, a certain proportion of the total Rs. 9198.8 crores assigned to MOE is given to RMSA. In turn, for TSP, the allocated funds are Rs. 4232.69 crores for Samagra Shiksha, as a whole for 2019-20. For RMSA, for the past two terms, the allocated funds are Rs. 409.8 crores for 2017-18, and Rs. 450.79 crores for 2018-19. So there is a proportional increase over the past three terms for budgeted expenditure.

### ***2. Rashtriya Uchhatar Shiksha Abhiyan (RUSA)***

Funding under SCSP and TSP have been efficiently utilized and are known to have significantly helped improve their participation. However, social disparity prevails in higher education with SC and ST GER being lower than overall GER in higher education. States like Nagaland and Uttarakhand have mentioned that they don't measure the impact of the role of TSP and SCSP on higher education whereas officials from Puducherry have mentioned a positive impact of such funds with higher enrolment among the disadvantaged groups. Odisha indicated improvement in enrolment of SC and ST especially those from aspirational districts due to such funds. States like Nagaland and Uttarakhand have mentioned that they don't a measure of impact of role of TSP and SCSP on higher have education whereas officials from Puducherry have mentioned a positive impact of such funds with higher enrolment among the disadvantaged groups. Odisha indicated improvement in enrolment of SC and ST especially those from aspirational districts due to such funds.

### ***3. Adult Education (Saaksar Bharat)***

Although the utilization and impact of TSP/SCSP provisions in the scheme's budget cannot be delineated, there should be a mechanism to quantify the utilization of TSP/SCSP funds and their impact on literacy outcomes of SCs/STs. Primary research with States indicates that there was no demarcation in the utilization/expenditure of these funds at the State level and State and were unable to provide the fund utilization of the TSP and SCSP component specifically. State level and State officials were unable to indicate any outcomes/outputs achieved for SCs/STs through the utilization of these funds specifically. The scheme prioritized vulnerable/disadvantaged groups i.e. Female, SC, ST & Muslim minorities, Others and adolescents in rural areas. Explicit targets are prescribed for most of these groups in the scheme's guidelines.

### ***4. Sarva Shiksha Abhiyan***

The scheme has been well integrated to avail the funding obtained through TSP and SCSP, through which residential facilities and hostels can be constructed. But a key challenge is with regards to inability to quantify the outputs and outcomes accrued through the TSP and SCSP components of



funding provided. State officials in a few states also seem to be unaware of specific MOE guidelines on usage of SCSP and TSP funds. Coverage of transgenders and migrant workers also needs to be improved. Under Samagra Shiksha in FY20, INR. 7,264.40 cr. The budget was allocated under SC head (for SCSP) and INR 3,886.45 cr. was allocated on ST head (for TSP) for 2019-20. Typically, the funds are used for:

- i. Construction of schools/hostels in districts with 25 per cent or more SC/ST Tribe population. Admissions in such schools to have reservation at 80 per cent for SC/ST students
- ii. One set of notebooks for SC and ST children in primary and upper primary schools
- iii. Establishment of residential schools and hostels, on a case basis, to enable SC/ST children of migrant parents in urban areas
- iv. Innovation Fund of INR 50 Lakh per district per year for Equity Component of the scheme

Primary research with states indicates that there was no clear demarcation of sources of expenditure as from 'General Head', 'TSP plan' or 'SCSP' plan at the State level. Due to this it is not possible to quantify the outcome/impact of the funding from SCSP and TSP components.

## B. National Programme of Mid-Day Meal in Schools

MDM is an entitlement to all children who attend the schools irrespective of their gender or social group. Access to PMS may indicate the utilization but that is not publicly accessible. Routing of funds must be made public through platforms, and the citizens must be able to see the impact of the allocated funds into various subdivisions.

These amounts are sorted state specific on their respective budgets. However, the monitoring and reporting of utilization of the same by the states, and how it is specifically able to impact these communities is not being done right now. Under Tribal sub-plan, some of the states like Gujarat are providing additional 60 kilograms of wheat to tribal girl's students from Class I to V, who are achieving 70 per cent attendance in school to encourage attendance of girls.

## 4.6. SOCIAL INCLUSION, LAW AND ORDER AND JUSTICE DELIVERY

Under the Social inclusion, law & order and Justice Delivery sector, there are in total 30 schemes, 8 out of which cater to social inclusion directly or indirectly. Remaining 22 schemes lack social inclusivity related aspects. Some of these are MHA's Assistance to States for Upgrading Police Infrastructure, MoLJ's Gram Nyayalayas, MoTA's Research & Information scheme, some of the MoSJE's scholarships schemes for EBCs.

### 1. Special Central Assistance to Scheduled Castes Sub-Plan

Special Central Assistance to Scheduled Castes Sub-Plan (SCA to SCSP), during its genesis, was designed to help the Scheduled Castes community living below poverty line through various livelihood schemes. The scheme also aimed to uplift the households by provision of road linkages, drinking water supply, pucca house, setting-up of education and health institutions at village level. The scheme has evolved over the decades and was brought to its present-day structured format by allowing the earmarking of the SCSP funds from the total plan outlays in advance to ensure the presence of adequate institutional mechanisms. The scheme has been designed to target the

families/individuals directly by facilitating availability of infrastructure facilities to the Scheduled Castes-concentrated villages. Most of these Scheduled Castes-concentrated villages have faced systematic alienation throughout the centuries and have been largely based on agriculture and low-income activities such as sweeping, shoemaking, basket-making, weaving, poultry, etc. These trends can be seen in most of the Scheduled Castes-concentrated villages in districts of Himachal Pradesh, Uttar Pradesh, Bihar, etc.

Through SCA to SCSP, beneficiaries have been provided subsidy for agriculture (to raise production by improved technology, high yield variety seeds, fertilizers at 40 percent, plant protection measures and 100 percent transportation cost), horticulture (gardener training to illiterate and rural Scheduled Castes youth for the duration of one year, subsistence allowance at Rs. 330 per month, commute charges and free accommodation to the farmers, 50 percent subsidy to help install the horticulture inputs), bee-keeping (50 percent subsidy on the cost of modern beehives), soil conservation (50 percent subsidy and 50 percent loan), animal husbandry (50 percent subsidy and 100 percent transportation charges on milch cattle and livestock), fisheries (provided 50 percent subsidy up to Rs. 2500 for the purpose of fishing equipment, boats, nets, etc. under reservoir fishermen's programme, 50 percent subsidy up to maximum of Rs. 5000 is also available under fish cart scheme (SCA) for the purchase of cart and allied articles).

## **2. Centrally Sponsored Scheme for Implementation of the Protection of Civil Rights Act, 1955 and the Scheduled Castes and the Scheduled Tribes (Prevention of Atrocities) Act, 1989**

While three decades have passed since the introduction of the Prevention of Atrocities Act, time, in itself, has been unable to appropriately address the casteism and caste-driven violence within Indian society. Atrocities, as defined by Prevention of Atrocities Act, remain on an incline against both Scheduled Castes and scheduled tribes, with 2019 NCRB data stating 45,935 instances of crimes under Prevention of Atrocities Act for SC. The substantial presence of stigma-propelled mentality and the resulting criminal acts, therefore, remain a present reality. Despite the concentration of both central and state efforts, an average of 114 cases are reported every day across India under the Prevention of Atrocities Act in 1989. While this may indicate increased cognizance within people and their legal rights, it might not necessarily indicate the actual committed prevalence of crimes and atrocities. As burking, browbeating of victims by officials, accused and police apathy towards registering cases, have remained, and continue to remain, rampant. With such high crime rates, the conviction remains very low against the national average, with a conviction rate of just 32.6 percent while 15,251 cases registered under Scheduled Castes atrocities were pending in the court by the end of 2019. The scheme's continued financial assistance and central level vigilance, however, have paid some dividends.

## **3. Pradhan Mantri Adarsh Gram Yojana**

The Scheduled Castes population constitutes 16.6 percent of the country's population, according to the 2011 Census. PMAGY has been set-up in the background of 76 percent of the SC population residing in the villages which have below average access to basic socio-economic facilities. Government initiatives have previously helped to narrow down the gap between the Scheduled Castes and the rest of the population, however, due to lack of convergence in implementation of schemes, the community has witnessed decades of delayed socio-economic development. In view of

this challenge, Pradhan Mantri Adarsh Gram Yojana (PMAGY) was announced in 2009 by the Finance Minister with a proposed allocation of Rs.100 crores. The programme is designed to uplift rural areas with Scheduled Castes concentration by promoting holistic development of the community. The scheme seeks to enable the community to stand at par with the general population.

Pradhan Mantri Adarsh Gram Yojana (PMAGY) is a centrally sponsored scheme implemented by the Ministry of Social Justice and Empowerment to develop socio-economic indicators through relevant infrastructure and gap-filling projects. The scheme was launched as a pilot initiative in the year 2009, with an objective to focus on an area development approach. The scheme aims at integrated development of selected villages, in which the the population of scheduled castes is above 50 percent and the total population is equal to or more than 500, into “model villages”.

#### 4. Assistance to Scheduled Castes Development Corporations

The impact has been analysed based on key differences made by the scheme in areas like beneficiaries crossing the poverty line, families out of debt, successful businesses established, entry into formal jobs, etc. The analysis has been provided below. In terms of economic status, Scheduled Castes continue to exhibit higher incidence of poverty as compared to the remaining categories. As per the Planning Commission analysis of the change in poverty levels by social groups in rural and urban India between 2004-05 and 2011-12 (based on the Tendulkar Committee Methodology), the percentage of SC population below poverty line in India reduced from 53.5 percent in 2004-05 to 31.5 percent in 2011-12. The overall population below the poverty line in rural India declined from 41.8 percent to 25.7 percent during the same period.

Similarly, the percentage of SC population below poverty line in urban India came down from 40.6 percent in 2004-05 to 21.7 percent in 2011-12. The Assistance to Scheduled Castes Development Corporations during its genesis was designed to help the Scheduled Castes community living below poverty line through various approaches. There exist limited data and evaluation studies to enable direct evaluation of the impact of the scheme. In Himachal Pradesh, the SC Development Corporation has been tying up with schemes like Swarojgar Yojana, HIM Swablamban, Dalit Varg Vayebasik Prashikshan Yojana, Hast Shilp Vikas Yojana, etc. for the economic development of SC. Funds in Punjab are allocated by Punjab Scheduled Castes Land Development and Finance Corporation alone or in collaboration with NSFDC under direct landing, land purchase, mobility support and dairy farms. Beneficiaries under the schemes have utilized the funds for opening kirana shops, cycle repair workshops, dairy farming, etc.

Bihar has been implementing the SCDC scheme through the creation of the District Level Committee. The state has stringent conditions with respect to beneficiary mapping. Subsidy is being provided to SC individuals below poverty line up to an amount of Rs. 35,000 through banks. The state has also been focusing upon the skill training of both male/females in order to motivate them for self-employment. Loans provided under the scheme are being used for opening shops, buying tractors, starting electric decoration businesses, etc. These schemes have reportedly helped in increasing the income of the beneficiaries and many of them with flourishing businesses have managed to repay their loans.

Similarly, a range of schemes are also being implemented in Kerala by the Kerala State Development Corporations for Scheduled Castes and Scheduled Tribes for income generation and economic development of the SC community. Funds here are being converged with schemes like Micro Credit Finance Scheme, Laghu Vyavasay Yojana, Loans for Start-Up Entrepreneurs, etc. However, the state

also focuses on women-oriented schemes like Women Empowerment Scheme and Mahila Samridhi Yojana where loans up to Rs. 3 lakhs are provided to a group of SC women for undertaking income generating activities.

## 5. Post Matric Scholarships for SCs

Education is a constitutional right of every citizen that must be granted to everyone on equal terms. The lack of opportunities and enthusiasm to continue studies after Class 10 has led GoI to provide educational assistance to the SC students who are economically disadvantaged.

As per the data available with the AISHE 2018-19, SC student enrolment in higher education is only 14.89 percent of the total enrolment against the national enrolment of 3.74 crores, warranting the need for targeted interventions at post-matriculation stage. Gender Parity Index (GPI) for all categories was 100 per male and for Scheduled Castes (SCs), it was 102 per 100 males respectively. This shows a positive trend, one where SC girls' participation has improved over the years. It may also be pointed out that the drop-out rate 264 amongst SC students was found to be highest after the secondary stage (Class 9-10) at 19.36 percent for the year 2014-15, 265 and 3.6 percent after senior secondary stage (Class 11-12).

These scholarships are open to all SC students for pursuing education in recognized institutions/universities/colleges. The scholarship can be availed by intermediate, graduate and post-graduate level students.

**Table 17:** Distribution of Scholarship across Various Groups under PMS-SC

Courses à	Group 1	Group 2	Group 3	Group 4
	Degree and PG level courses including CA, CS, ICWA, LLB, medicine, etc. (in Rs)	Professional courses including pharmacy, nursing, BFS, hotel management (in Rs.)	Graduate & PG courses not covered in G1 and G2 (in Rs.)	Post-matriculation, non-degree level course including 11 <sup>th</sup> and 12 <sup>th</sup> (in Rs.)
Day Scholars	550	530	300	230
Hostellers	1,200	820	570	380
Additional Allowance for Students with Disabilities	240	240	200	160
Transport/Escort/Special Pay/Extra Coaching Allowance for MR students	160/160/160/240	160/160/160/240	160/160/160/240	160/160/160/240

**Source:** MoSJE, Guidelines for Post-Matric Scholarship for SC students 2018

The Centrally Sponsored Scheme of PMS-SC is one of the longest-standing education schemes for the SCs. It has been operational since 1944-45 and was most recently revised in 2018. The scheme aims to provide financial assistance to Scheduled Castes students to pursue studies at post-matriculation or post-senior secondary stage and enable them to complete their education. The scheme has eased access to education for approximately 60 lakh SC students every year. MoSJE, as the chief architect of the scheme, has been providing 100 percent central assistance to the state governments and UTs over and above their committed liability. The north-eastern states, however, are not subject to committed liability.

Between 2000 and 2020, the PMS-SC scheme guidelines have been revised three times, viz 2003, 2010 and 2018. In 2008, MoSJE adopted DBT to transfer the scholarship amount directly to Aadhar seeded bank accounts of beneficiaries. Advisories were issued to states and UTs to update scholarship portals with regular quarterly reports of the scholarships disbursed, verified documents, fund utilization and the grievances logs. Such measures were introduced to improve economy, accountability, and transparency under the scheme.

There have been several strategic alterations made by the Ministry with an agenda of making the scheme more accessible and inclusive. For example, the income ceiling criterion was revised from Rs. 1 lakh per annum in 2003 to Rs. 2 lakhs per annum in 2010, followed by further revision to Rs. 2.5 lakhs per annum which came into effect in 2013 and was retained in the 2018 guidelines. The 2018 guidelines provided the implementing agencies with the liberty to decide the age limit for students to avail the scholarship.

The gap in the literacy rate between the SC population and the rest of the population has decreased as the literacy rate for the SC population increased from 44.1 percent in 2001 against the national average at 61 percent to 60.4 percent against the national average of 69.3 percent in 2011.

- The GER for SC students has increased significantly from 19.1 percent in 2014-15 to 23 percent in 2018.
- In 2013-14, the total enrolment of SC students in post-matric Classes 11 and 12 was 38.51 lakhs, which increased to 42.87 lakhs in 2015-16.
- The SC students witnessed an upward mobility in higher education with 36.37 lakhs students enrolled in 2012-13 to 48.10 lakhs in 2015-16.
- The fact that emanates from these data points is that the scholarship scheme has been crucial to the development of literacy and enrolment among the SCs, leading to an overall shift in the community's economic and social conditions.

## 6. Pre-Matric Scholarship Scheme to the Scheduled Castes Students Studying in Classes IX and X

To measure the ground-level impact of the scheme, the Ministry conducted an outcome-based study for the scheme. The study assessed the various operative dimensions surrounding the scheme such as improving academic performance; whether children continued their education after Class VIII, thereby minimizing drop-outs and providing them with an opportunity to transition to post-matric education; improving the students' regular attendance as well as access to study materials for the students. It was observed that, generally, the scholarship had a positive impact as per the various defined indicators tested in the sample states of Karnataka, Madhya Pradesh, Punjab, Rajasthan and West Bengal.

The scheme has been operational since 2012-13, with exponentially increasing levels of awareness reflecting upon the enrolment levels. Similar observations were made during the primary research as the districts reported that due to the introduction of DBT, the students receive money directly in their accounts, an aspect that has received positive feedback from the students. During the household survey, it was reported that the scheme has a multi-fold impact on the beneficiary. The scheme has helped the beneficiaries in reducing the financial burden as the parents do not have to incur any tuition charges, which has further motivated the beneficiaries to pursue post-matric education.

## 7. Post-matric scholarship scheme to the students belonging to Scheduled Tribes for studies in India

MoTA introduced the Post-matric Scholarship Scheme for the Scheduled Tribe (STs) Students with an aim to provide financial assistance to ST students of all recognized Post-matriculation courses pursued in recognised institutions<sup>44</sup>. Under this Centrally Sponsored Scheme, states/UTs are responsible for identification, verification and timely disbursement of scholarships to ST beneficiaries. In terms of funds, MoTA contributes 75 percent and 25 percent are provided by the states, except north-eastern states and hilly states of Himachal Pradesh, Uttarakhand and Jammu and Kashmir where the contribution is in ratio of 90:10<sup>45</sup>. In order to be eligible for this scheme, the parents'/guardians income should not be more than Rs. 2.5 lakhs per annum<sup>46</sup>.

## 8. Babu Jagjivan Ram Chhatrawas Yojana

The foundation of the Babu Jagjivan Ram Chhatrawas Yojana was laid with the ambition to bring SC students from deprived rural backgrounds at par with the mainstream population. Urban areas have better access to quality institutes for education, healthcare and employability. These factors attract the rural poor towards cities in an attempt to access better opportunities and standard of living.

The BJRCY has been implemented since 1961 and has impacted the beneficiaries by providing them with a medium to sustain while pursuing education. This has been achieved by providing the beneficiaries with free boarding and lodging facility which has, in turn, reduced dropouts among SC students. The gap in the literacy rate between the Scheduled Castes population and the rest of the population has decreased from 44.1 percent in 2001 against the national average of 61 percent to 60.4 percent in 2011 against the national average of 69.3 percent. Access to lodging and boarding facilities opens up further avenues to explore career options and access necessary training for the same. The availability of hostels in the vicinity of school/college/university also saves significant time, allowing more time for self-studies and reducing fatigue.

The scheme has made further impact on the awareness levels of the students with regards to the basic healthcare facilities. The students who earlier had no access to information pertaining to personal hygiene, importance of a healthy diet and infirmary services for basic check-ups, were now adopting these practices in their daily life due to increased awareness.

44 MoTA, GoI, (2013), Post Matric Scholarship for ST students 2013

45 MoTA, GoI, (2020), MoTA Annual Report 2019-20

46 MoTA, GoI, 'Demand for Grant (2019-20) document shared by MoTA



# 5. ISSUES AND CHALLENGES

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The attempt towards ensuring social inclusion in the country has made considerable progress in the last few decades. However, there is much more to be done to be able to bring socially disadvantaged communities at par with the rest of the social groups. Some key issues identified with respect to social inclusion are:

- Poor access to public infrastructure due to their geographical isolation from dominant population groups and large-scale displacement from their traditional lands. This also results in poor service provision to these groups as is evident from the high proportion of vacancies in health, education and other services in remote tribal areas. This manifests in low educational, nutritional and other health outcomes for this social group.
- Economic backwardness due to subsistence agriculture and heavy dependence on collection of minor forest produce for livelihood. The Forest Rights Act recognizes the customary rights of forest dwellers, including the right over commons areas, as well as the right to manage and sell forest produce. However, poor implementation of this Act leads to economic backwardness of the tribal population living predominantly in forest areas.
- Physical remoteness and smaller numbers have gone together with political isolation and low voice in decision-making for the scheduled tribes. Restricted to remote villages, these groups do not find a strong resonance in political or administrative set-up and, as a result, they continue to face isolation and poor access to key services.

## A. GAP ANALYSIS

- **Lack of an integrated approach that focused on holistic development of vulnerable groups**

While different marginalised groups have varied disadvantages and requirements for their development, the interventions by various state and private actors do not necessarily address these requirements in a holistic manner. There are a multitude of independent schemes and interventions focusing on a specific need area in a silo, without considering a holistic household view of the beneficiaries, in terms of coverage, saturation and exclusions. Even government schemes across ministries that target beneficiaries for specific services, do not have an integrated view of coverage of the beneficiary household in terms of other public or private schemes. These targeted interventions, rather than being based on any scientific need gap assessment of the vulnerable groups or reliable baseline studies, tend to focus on the relative preferences of the agencies. This disproportionate focus in some areas of development while neglecting other areas, fails to effectively meet the all-round development needs of the vulnerable groups.



- **Inadequate coordination and convergence across different agencies working in the social sector**

While the government (national ministries and state departments), continue to be the key implementing agencies across most of the target vulnerable groups, there are host of other agencies ranging from donors, private sector and voluntary sector/NGOs, who are also playing their part in the development of these vulnerable groups based on their interventions. However, there is lack of an overall system to bring about convergence among different stakeholders and their interventions for the vulnerable groups. Such a system is required for effective coordination between stakeholders to bring greater effectiveness in targeting the beneficiaries and will also bring in higher efficiency by reducing administrative costs.

Stakeholders would be jointly able to identify which are the groups that are not being targeted through any intervention, as well as geographic spread of these interventions by states/districts/blocks, etc. Such a system at the Central ministry level will help the nodal ministries to have a macro picture and be able to either direct the agencies, State or Private NGOs/Civil Society Organisations (CSOs) to reorient their focus on particular vulnerable groups, intervention areas and also geographic focus; or else based on the gaps identified, be able to design specific intervention by the ministry to focus on the gap areas.

- **Need for partnership and co-opting of multiple agencies based on their relative strengths**

There are multiple agencies involved in design and implementation of interventions for the vulnerable groups, and across the different types of agencies there are relative strengths for undertaking various functions/categories of interventions. However, in practice, these relative strengths of the different agencies does not seem to be utilized well; e.g., the voluntary sector (NGO, CBO) tend to have better community outreach, as they have, over time, built a level of trust and good appreciation of community systems to be able to implement community level interventions with better community involvement. Similarly, the private sector (Trusts, CSR), can bring better efficiency and systemic approach into field implementation of programmes.

- **Lack of assured set of services across different vulnerable groups and some groups being left out from the services coverage**

Based on the review of interventions across different vulnerable groups, it becomes noticeably clear that some groups such as SCs, OBCs and street children have dedicated interventions by government and other agencies. However, there are, on the other hand, a set of vulnerable groups such as urban homeless, beggars, DNTs, transgender people, etc., who have no schemes or very limited focused interventions (majorly by government). Across the different implementing agencies, there is considerably high focus on some target groups or intervention areas, while some groups are not being covered adequately, resulting in exclusions. Similarly, due to the reliance on old data to assess beneficiary numbers for various schemes, proportions of the target population are left out of the ambit of inclusionary interventions. For instance, while the World Health Organization (WHO) estimated that 15 percent of the population is disabled, the Ministry's scheme for disabled population only serves two percent of the population, based on the Census 2011 data<sup>47</sup>. This situation is not very favourable for overall development and social inclusion and may

47 PRS Legislative Research, (2019), Demand for Grants 2018-19 Analysis: Social Justice and Empowerment, Last accessed on 19<sup>th</sup> September 2021

require a deeper enquiry into the causes and identification of possible solutions for giving adequate focus across all socially disadvantaged groups.

- **Lack of awareness of government schemes and policies**

Various studies and ground-level reports point to the lack of awareness amongst the target social groups regarding schemes, programmes and policies resulting in weak implementation, poor participation of intended beneficiaries and thus weakened impact in attaining social inclusion. The latest Parliamentary Standing Committee report on Social Justice and Empowerment also highlighted the weak promotion of schemes by the implementation agencies as a reflection of the extremely weak performance of schemes targeting SC population, senior citizens, etc.<sup>48</sup>. Similarly, various other vulnerable groups such as PwDs, DNTs, etc. also lack awareness of their entitlements in terms of scheme and programmes.

## **B. INTERVENTION GAPS AT SECTOR LEVEL**

### **a. Interventions by Government/Ministries**

#### **Nodal Central Ministries and their Interventions:**

In 1999, the Tribal Development Division moved out to form a separate Ministry of Tribal Affairs. The mandate of the ministry includes formulation of overall policy and planning, coordination, evaluation and review of the regulatory framework and development programmes for the benefit of the various groups. The Ministry has further formed various commissions and corporations for review of the current schemes, mobilizing funds and resources for the schemes and to highlight the various interventions required for empowerment of various social groups such as National Commission for Scheduled Tribes. This commission is a constitutional body established to safeguard the different vulnerable groups against the exploitation and to promote and protect their social, educational, economic and cultural interests. Also, corporations such as National Scheduled Tribes Finance and Development Corporation (NSTFDC) act as a non-profit company under the respective ministry for financing, facilitating and mobilizing funds for the economic empowerment of the disadvantaged groups<sup>49</sup>.

### **b. Budgetary allocation**

The Ministry has its own budget for implementation of various schemes, programmes and initiatives. The budgetary allocation for tribal affairs is observed to be increasing over years. The growth rate in overall allocation for the five-year period (from 2010-11 to 2014-15) is, however, higher than the growth rate from 2014-15 to 2018-19. Allocations to the Ministry of Tribal Affairs increased by 40 percent (2010-11 to 2014-15) and 53.93 percent (2014-15 to 2019-20).

48 Lok Sabha Secretariat, New Delhi, (2020), Standing Committee on Social Justice and Empowerment 2019-20, Seventeenth Lok Sabha, Ministry of Social Justice & Empowerment, Department of Social Justice and Empowerment, Last accessed on 19<sup>th</sup> Sept 2021

49 5 Ministry of Social Justice and Empowerment, GOI, (2019), Associated Organizations.

# 6. RECOMMENDATIONS

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## ● Planning Necessary

**Needs assessment:** Majority of the projects for the socially excluded population have not undertaken any detailed assessment of the needs of target beneficiaries. It is recommended that a needs assessment should be conducted in consultation with the intended beneficiaries. Results of the needs assessment can not only guide effective planning, but also help with measuring impact of the projects.

**Proper planning and prioritization:** It is essential to assess the utility aspect before approving any project and priority should be given to projects where utility or benefit is higher. The evaluation strongly recommends that a needs assessment should be undertaken, followed by a saturation plan to develop each village in a phased manner and funds should be allocated accordingly. Such an approach can ensure that the planned development of tribal areas is executed properly. Currently, there is asymmetry in the development of tribal areas.

**Involve local NGOs, MPs, MLAs:** These stakeholders are close to the community and aware of their needs. Their participation at the time of needs assessment and during project implementation may be useful.

## ● Implementation Necessary

**Integration of measurable indicators in monitoring:** Measurable indicators that can help understand the level of inclusion and development of tribals in project activities should be clearly defined in the guidelines. Key indicators such as coverage of tribal households in different programmes/activities, increase in productivity of farmers, access to market, etc. should be included to ensure inclusion of the tribal population in the projects being implemented. The evaluation team has mapped certain parameters based on which the contribution of SCA to TSS to improvement of ST communities may be measured.

**Mobile/Web Portals/Dashboard:** SCA to TSS scheme can create a portal similar to AWSC's 'e-utthaan' which captures all relevant information starting from progress status to geotagging of projects being implemented. Geotagging of projects has been made mandatory under the Pradhan Mantri Jan Vikas Karyakram, which is an area development project targeting the religious minorities. The mobile/web application of MSP for MFP is another innovative idea that can be borrowed in terms of updating information on a regular basis.

**Dashboard for regular monitoring:** A dashboard that may provide updates on physical output for the sectors/activities under SCA to TSS and help MoTA to take informed decisions is strongly recommended. PMAGY dashboard<sup>50</sup> can be a model design to create a tribal dashboard for the aforementioned schemes.

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50 Ministry of Social Justice and Empowerment, GoI, PMAGY dashboard, Last accessed on 16<sup>th</sup> March 2020

⦿ **Impact Necessary**

**Robust MIS:** To encourage a more refined implementation, an MIS framework that provides data and specifics pertaining to beneficiaries should be established. The availability of data bilaterally will assist the Centre and the states in carrying out analysis, due-diligence and instituting policies based upon ground level performance of the schemes across different facets such as usage insights, pattern flows, utilization of assets and so on, in a holistic manner.

**Social audit:** Social audit should be undertaken that will ensure active involvement of people and will be a powerful tool for government accountability. This will help create opportunity for awareness building in the tribal community. A social audit calendar may be prepared for every gram panchayat. Tribal resource persons may be identified from the villages and existing SHGs (preferably women members) to conduct social audits.

# 7. WAY FORWARD

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The Indian Constitution prescribes safeguards for advancing the social, economic and political status of backward classes in the society. Notwithstanding, SCs and other vulnerable groups continue to remain amongst the poorest strata of the society and still face identity-based discrimination, resulting in exclusion from economic, social, cultural and political spaces due to the systemic inequalities in the country. Deprivation and lack of access to opportunities mutually reinforce each other to further aggravate their marginalization in society. While targeted interventions are being carried out by various stakeholders, specifically the central and state governments, to transform the sectoral landscape, there is a need for further reforms and dedicated actions to enable inclusion and equality across all vulnerable groups. It is recommended to adopt a life-cycle/sector-wide approach for planning and implementing interventions, promote collaboration and partnerships within the wider gamut of stakeholders, strengthen technical capacity for implementation and monitoring across the sector, and ensure no one is left behind by providing basic services for all vulnerable groups and formulating dedicated schemes for excluded groups.

Since independence, specific considerations have been given for integrated development of tribal communities. Improvement of health, education, economic, social indicators of the tribal population has always been a focus. Since the tribal population faces unique challenges with respect to remote habitats and lack of access to infrastructural facilities, a perception of 'othering' is developed against STs. At times STs experience passive discrimination at various junctures, leading to further alienation. This further leads to adverse effects on education and health indicators. Mainstreaming of tribal populations on all developmental parameters needs to be an area of continued focus.

While attempts are being made to mainstream tribal communities by providing them better access to services, it also calls for a balanced and sensitive approach which protects their habitats, ecology, dialects, customs and traditions. A multi-faceted approach that clearly balances development with tribal beliefs and lifestyles would be a sustainable development strategy.

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