

Source Book for Functionaries in Tribal Areas 5

Panchayat Raj and Development



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2018

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Layout Designed & Printed by
Samantha Graphics, Vijayawada & Hyderabad

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Acknowledgements

Production of this source book in just about four months was made possible by the contribution of quality time, ideas, designs, and intellectual creativities of many friends, colleagues and well-wishers. We will be failing in our duty if we do not acknowledge the help and advice from them.

We place on record our appreciation and gratefulness to the Department of Tribal Welfare, Government of Andhra Pradesh, especially Sri G Chandrudu, IAS (Director, Tribal Welfare) for this unique initiative and for the continuous support.

We owe our gratefulness to the Centre for Innovations in Public Systems (CIPS) and especially to its Director, Sri C. Achalender Reddy, IFS for considering to award this project to us.

The contribution of Sri Vadrevu Ch. Veerabhadru currently Advisor, CIPS, is immense to this project. He not only provided the motivation but also guided us throughout patiently reviewing every unit included in the source book and advised us on the structure, content, expression and many other aspects which helped for meeting the standards that we have set for ourselves for this source book. We feel that his contribution is more than the contribution of ours to this project. We sincerely acknowledge his support in many ways to this project.

The authors of the units in the sourcebook made their best attempt to provide the material according to our requirements in a short time and obliging to our request to take this work on priority basis. They showed the patience to review more than two or three times. We are deeply indebted to each one of them.

Senior and retired scholars like, Prof. Vijay Prakash, Prof. Buddhadeb Choudhury, Prof. Karma Oran, Prof. K.E. Rajpramukh, Prof. Ram Gambhir and Dr. Francis Kulirani have participated in the workshop conducted for selection of themes for this source book along with Prof. Sunita Rani, Prof. Malli Gandhi, Prof. Ramdas Rupavath, Dr. Nanda Kishore Kannuri, Dr. K. Anil Kumar, Dr. Amit Kumar Kisku, Dr. Annamalai, and Mr. Subba Reddy. Their contribution in the design of this source book is valuable. We are very thankful to them.

Our senior colleagues in the department in the University of Hyderabad, Prof. P. Venkata Rao and Prof. R. Siva Prasad have never refused to render help whenever we approached them for their academic advice. We are very grateful to them for their support.

Dr. K. Koteswara Rao, the Post-Doctoral Fellow in the Department of Anthropology, University of Hyderabad and Associate Editor of this source book not only contributed four important units to this project, but also took care to put the other units in order. We are thankful to him for his academic as well as non-academic assistance to us throughout.

Mr. Mariakumar Mathangi (Adhoc faculty, Department of Anthropology) and Mr. Dalibandhu Pukkalla (Research Scholar, Department of Anthropology) contributed the content design for the units. They deserve our special thanks.

The 'Team CIPS', especially Ms. Zenia Taluja and Dr. Sipoy Sarveswar, provided the logistic support to us in various ways. The members of the team deserve special appreciation for their skill, endurance and institutional commitment. We are thankful to each one of them.



Editors' Note

Administering the tribes in the country has been a part of the commitment made through the Constitution to strive for their socio-economic development. However, that has never been an easy task despite having specific policy driven formulations, separate administrative machinery, budgetary allocations and fixed targets over the period of six decades. Of the plethora of problems and issues of tribal society, the role of human component remains significant, though relentless efforts have been made to bring forth tangible results in this particular area. Services of trained and dedicated personnel to take up the arduous responsibility envisioned when planned tribal development was envisaged through the establishment of Tribal Research Institutes or Tribal Cultural Research and Training Institutes. The provision for the same was made in various states with the support of Ministry of Social Justice and Empowerment and later Ministry of Tribal Affairs, Government of India. These institutions are expected to impart training to the functionaries of the tribal welfare departments particularly sensitizing them about the tribal cultures, besides undertaking evaluation of various schemes and programmes implemented by the State Governments either on their own funds or with the support of Government of India. These are also to undertake research into the tribal culture, guide policy makers in preparation of special tribal development plans, in addition to suggesting policies required for the speedy socio-economic development of tribes. But unfortunately, the contributions of Tribal Research Institutes and their role in enriching the human power for gearing up tribal development remains deficient till date.

Apart from these institutions, several academic departments in the universities and various social research institutes have also been engaged in studying the tribal issues and their development for meeting academic needs and interests. Among all these, social or cultural anthropology stands out to be a unique discipline that has been concerned with the tribal issues specifically besides other questions relating to either pre-modern or modern or post-modern societies across the globe. The history of anthropological research in India dates back to the colonial period, 1916, initiated by the British administrators and the foundation of anthropological research was laid in 1945 which later became as Anthropological Survey of India that has been completely devoted to the research into tribal culture and the issues of tribal people. India is one of the earliest countries in the world that initiated anthropological research. In the academic arena, the first post-graduate department of anthropology was established in 1920 at the University of Calcutta, and after the independence, several departments are established where anthropological research has been vigorously followed using sophisticated tools and techniques. Apart from these institutional frameworks, the knowledge of tribal issues has also emerged from the government departments such as former Planning Commission, Commissioner for Scheduled Castes and Scheduled Tribes, and National Commission for Scheduled Castes and the same for Scheduled Tribes from their independent studies. Thus, enormous body of knowledge accrued so far, points out to the need of committed human power in the tribal welfare department.

Though academic departments, Anthropological Survey of India, social research institutions and other Government of India departments and institutions have been carrying out research in tribal culture, evaluating the tribal development programmes and so on, yet the Tribal Research Institutes are the direct organs of the state governments



that have been implementing the tribal development programmes. However, whatever be the reasons, the Tribal Research Institutions in the country have not been able to meet the expectations, and in some cases, they have become non-functional or playing a nominal role. Yet, there is an absolute necessity of such devoted institutions and rejuvenation of them is the need of the hour. Whether this happens or not, the tribal development will continue to act as a separate domain given the pace of development of the tribes in the country. The governments continue to engage and deploy their human power and machinery for the cause of tribal development. The officials are agents of the government who are engaged in the development programmes of the tribe and in most of the cases have the knowledge or gained such knowledge of the tribal people on the basis of their personal experiences though they are experts in their own field of specialization. The government is mostly seen, felt and experienced by the tribal people through these officials or machinery of the government. Their expertise in their special fields requires to be synergized with the knowledge about people whom they are serving for obtaining the desired results. Such synergy of knowledge may have eluded a necessary component in their formal training in the expert field, but its significance comes very real in practice. More importantly, the knowledge and sensitivity appear as a big help, when it comes to tribal society which might be different from their own society in which they have grown. Therefore, these officials or functionaries require an orientation towards tribal issues and such orientation could be provided by the Tribal Research Institutions, but such exercises are hardly ever practiced. Nor is there any programme or module or handbook developed so far in the country.

Over the years there has been a number of high power Committees that have studied tribal issues, submitted reports and made suggestions on the basis of which several Acts are passed and further modifications of the Acts have also taken place. Consequently, tribal policies have also been modified, new regulations have emerged. Simultaneously, the range of tribal issues also got changed/expanded in course of time, new issues surfaced while the old ones persisted or old issues continued with new dimensions. But there is no single source to provide all these changes either in terms of administration or the tribal situations due to scattered information and dispersed sources. Even if the officials working in tribal areas desire to acquire a comprehensive knowledge of tribal issues, and efforts made by the government about the tribal development over the years, it becomes a herculean task to pool together the scattered information to a single place.

From the above discussion, it is needless to emphasise the need for strengthening the human component in the efforts of the tribal development in the country. Though the government realised its importance, there was no concerted effort towards these ends. As there is neither orientation of officials, nor guidelines for such exercise or comprehensive information about the tribal development, the present exercise is mainly aimed to fill this gap.

The sourcebook presented now in this regard is intended for the use of officials working in the government departments concerned with tribal welfare in the light of the above discussion as a guide. It may be used for self-learning or as a manual in the context of training in a formal teaching and learning mode. This document is conceived with three assumptions: (1) many functionaries have little knowledge about the emergence and existence of various Acts, amendments to Acts, schemes currently in vogue (including the spirit and context of a specific scheme; fund position, procedures of sanctions and

execution) that are relevant for their functioning; (2) the functionaries working in tribal areas are short of cultural competency to effectively function and so there is a need to help them to identify where this shortfall could have an impact and how it would affect their successful functioning; (3) working with communities and achievement of community participation is possible only when the functionaries understand the structures and institutions in the tribal communities and succeed in identifying the cultural resources that enhance the participation. Keeping these assumptions in mind, the sourcebook has been planned drawing strength from the anthropological research inputs in terms of tribal culture, evaluation of various development programmes and findings. Further, it has taken into consideration the potential of tribal traditions, knowledge and ethos that can be used for their own development in the contemporary political and economic backdrop. The sourcebook is expected to provide not only required knowledge on tribal society and its issues, development efforts but also motivation that the reader would need for committed service.

The source book is designed in nine volumes. Volume 1 contains units that focused on themes which are assumed to be of general interest and which provide the prerequisite information that enables comprehension of information provided in the other units. Volumes 2-9 are meant for functionaries of different departments and working in the tribal areas. The themes or units covered in the general section include 'Indian society: Indigenous populations, Scheduled Tribes and Scheduled Castes' that provides the background of tribal society in Indian context, and the theme 'Building Emphatic interactions with Tribals' is very important as it discusses the relevance of humanistic approach to the tribal issues for the ethnocentrism has been a great impediment for the proper attitude towards the tribe around the globe. 'Approaches to Tribal Policy and Tribal Development' is the general theme that highlights the basic philosophical framework of the government of India in which tribal development is conceptualized. The theme of 'Role of Traditional Leadership and Tribal Institutions in Development Process' has been included in this section to show forth the significance of leadership in the tribal society and because harnessing this resource is utmost important for ensuring community participation. The theme 'Constitutional framework, Human Rights and Child Rights' elucidate the concerns of the state about the vulnerable nature and precarious conditions of the tribes who live in close interaction with the surrounding, dominant non-tribal society. The theme 'Contemporary Tribal Challenges' discusses not only the age-old problems but also the new problems emerging through new interventions and problems emanating from the modern society. The section also includes the themes 'Tribes in Andhra Pradesh: Diversity and Social Organization' which gives the brief account of the tribes of Andhra Pradesh and 'Social organization among the tribes of Andhra Pradesh'. The inclusion of this theme has been considered important keeping in view the need to have a general understanding of demography, culture and society of tribes in the State. Thus, this section provides general reading necessary for all functionaries regardless of their expertise or professional background.

The volumes 2-9 are meant for role-specific professionals working for different departments such as (1) Revenue; (2) Police; (3) Forest; (4) Health; (5) Education; (6) Development (including Agriculture); (7) Panchayat Raj; (8) Marketing and (9) Youth Welfare; Entrepreneurship development, Tourism and Culture. The themes covered in these different sections are to facilitate the functionaries for enhancing their knowledge and skills on issues that are important for their specific roles in their respective departments. What guided while designing these sections, are the following concerns:



The Revenue deals with a range of aspects covering not only land issues but also the issues of tribal identity certificate, and in this case there have been problems. For example, land alienation is an issue in Scheduled V area but at the same time, there is a problem of land acquisition by the state itself against the interest of the tribes. There have been several interventions through the enactment of Acts and the officials should be familiar with these. In Police department, the issues are related to not only atrocities committed against the tribes but also Naxalism and tribes being sympathetic with those who raise arms up against the state. The customary law of the tribes takes care of the majority of law and order situation, but at times police intervention becomes necessary as the former cannot remain outside the statutory law, court and legal matters. Forest is the soul of the tribes, and therefore, the life of the tribe has been strongly intertwined with the forest department. Involving the tribes with the activities of the Forest department deserves the highest priority, but synergy in this regard is yet to be achieved despite the state's recognition of this vital issue decades ago. The departments concerned with Health, Women and Child Welfare and Public Health engineering are crucial as the environmental degradation, population growth, contact with non-tribes etc., have a significant impact on the tribal health. The tribal indigenous systems continue to be a great source of maintaining health, yet there are limitations of structural kind, and as we can reflect more, we are able to see that the tribes have not been averse to the modern health practices also as well. However, there is a need for bringing these systems together for improving the health standards of tribes.

The role of Education department in tribal society is immense; it is obvious, through education only, the tribes can face the modern world with better preparation. Though some progress has been made there is a lot to be achieved, and a number of hurdles are there on this road yet to overcome. The departments concerning the Infrastructure, Housing, Agriculture and allied activities play a crucial role in the overall development of the tribes. The officials shall ensure community participation by being empathetic and sensitive to the needs of people and understand the cultural ethos and recognizing the local resources and time-tested indigenous knowledge. Finally, the departments that deal with the Youth Welfare, Entrepreneurship Development, Tourism and Culture actually shall guide the future generation and equip it to meet the present challenges and prepare for the future with certain innovative ideas. They should be creative and develop the habit of thinking out of the box, and exploit the tribal potential for their own good. Thus, in brief the volumes 2-9 form the core of this exercise in reorienting, re-equipping, rejuvenating the functionaries or officials and providing material on tribal development in a holistic perspective.

Finally, we shall say that it is a unique experience of bringing together several renowned and experienced resource persons to share our ideas with them and receive their reflections and also convince some of them to contribute to this volume. We sincerely acknowledge their help and are really grateful to each of them. Since it is the first of its kind on the tribal development in the country, we are sure this sourcebook is not free from some omissions and commissions. We will surely rectify these in the subsequent edition once we get feedback on the present volumes.

Prof. N. Sudhakar Rao

Prof. BV Sharma



1

Bottom-Up Approach in Planning and Needs Assessment

“...bottom-up approach is grounded in the premise that innovation is essentially a social process that is ubiquitous, dynamic, improvisational, and situational. Innovation is also multidimensional, meaning that it incorporates technologies, economies, social, cultural, political and environmental factors.” (Miller 2013:XIII).

Source:

Miller, Christine 2018 Design + Anthropology: Converging Pathways in Anthropology and Design (Anthropology & Business). New York: Routledge

- *In the present development framework of the state is there scope for bottom-up approach?*
- *Do you think there can be room for innovations in the bottom-up approach? Will these innovations be acceptable for development agency?*

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1. Introduction

The concept of 'development' had become very popular since the beginning of period of enlightenment in Europe. There are number of approaches to pursue development. Most popular among them are Top-Down approach and Bottom-Up approach, each having their own advantages and disadvantages. However, the studies since the 1970s had projected Bottom-UP approach as most useful in achieving sustainable development. In fact the 17 Sustainable Development Goals (SDGs) and 169 targets as envisaged by the United Nations (UN) starting from the year 2015 are advised to be achieved only through the Bottom-Up approach. The immediate and top priority among the SDGs are about eradication of rural poverty and hunger, good health and well-being, quality education, decent work and economic growth and affordable and clean energy. In the case of India, Governments since Independence have taken the socialistic path of planning for achieving development goals set for every five years. There is no doubt that we achieved considerable success in reaching our goals as far as mainstream populations are considered. However, there is huge gap in development when compared to Schedule Tribes of India. It is in this context, the present chapter would enlighten the reader about the Top-Down and Bottom-up approaches with the following objectives.

2. Learning Objectives

To understand the following:

- (1) Brief history of Top-Down and Bottom-up Approaches;
- (2) The process of Top-Down and Bottom-Up planning in community development initiatives;
- (3) Criticism on Top-Down approach;
- (4) Positive aspects of Bottom-Up approach;
- (5) Constitutional provisions with respect to governance in Schedule Tribes;
- (6) Brief note on the tribal development planning in India;
- (7) Non-Governmental Organizations and Bottom-Up approach; and
- (8) Brief note on mixed approach.

3. Brief History of Top-Down and Bottom-Up Approaches

Top-Down approach has its roots in the early British Settlement movement of the Victorian period (late 19th century to early 20th century), which was overlaid with paternalistic and moral values. British Community development works has Top-Down approach which has more to do with concerns of ruling elites to incorporate and integrate sub-ordinate groups into the dominant ideology in order to ensure perpetual dependency. Rapid industrialization and growing influence of technological expertise and supremacy of scientific knowledge had considered every community problem as 'engineering problem' and applied Top-Down plans to provide solutions. Till the end of 1950s, western world is busy in planning and funding the global south in order to eradicate poverty and improve the lives of common people. It was in 1970s, with the introduction of participatory approaches in planning of community development initiatives coupled with failure of

externally imposed and expert oriented plans resulted in wide scale acceptance of Bottom-Up approach. However, historically India had decentralized form of governance in the form of local governance prior to medieval times. Even during the national movement, Mahatma Gandhi led Swadeshi movement (In other words can be called as Rural Reconstruction programme) advocated for social, economical and political development of rural India. The principal objectives of Rural Reconstruction Programme are: eradication of poverty by means of regeneration of cottage industries, establishment of cooperative societies, improvement of education and health and abolition of social evils like casteism and untouchability. It is interesting to observe that the Millennium Development Goals and Current Sustainable Development Goals set in 21st century are similar to what Mahatma Gandhi had tried to achieve through grass root participation at village level. After attaining political independence government had initiated a number of community development programs, which have been designed, planned and implemented among diverse social, cultural, political and economic settings of India. Bottom-Up approach involves active participation of community members from the very beginning of development initiative. Over a period, variety of innovative methods and tools were developed such as RRA (Rapid Rural Appraisal), PRA (Participatory Rural Appraisal), CBPR (Community Based Participatory Research) and PAR (Participatory Action Research) incorporating the philosophy of Bottom-Up approach.

4. Needs Assessment and the Process of Planning in Community Development Programmes

Needs assessment is a systematic process for determining and addressing needs of the community. It enlightens the planning agencies to comprehensively understand current conditions and desired conditions. Needs assessment can properly be carried out by becoming/being a member of that community and close observation of available strengths in terms of resources, skills, endowments and existing gaps in attaining desired goals. The ideal way of conducting needs assessment is to list out all the needs of community as per the intensity and frequency as observed in initial survey. These needs have to be categorized into three: primary, secondary and tertiary needs. Primary needs are those which are very much needed for day to day living of an individual. Each community will have their own strengths and weakness, so it is a must for any programme/plan to conduct needs assessment before designing the development initiative. Before we start to understand the process of planning, we will try to comprehend the various definitions of 'community'. Community is defined as "any collectivity of individuals, groups, subgroups and/or institutions or their representations which share time, space and resources for mutual concern." It is also viewed as a social system with people living together in relationship with one another who share services and facilities, has a common psychological identity with a common communication network, share the same interest, needs, values and functions. Community from the traditional point of view refers to a group of individuals living or working within the same geographical area with shared cultures or common interests, relies on their collective efforts and sometimes may have help from outside. As we all know that development is multidimensional involving social, cultural, political, economic and ecological dimensions. Emphasizing on the participation of community members United Nations (1995) stressed that "community development can be tentatively defined as a process designed to create conditions of economic and social progress for the

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whole community with its active participation and the fullest possible reliance on the community's initiative". In other words community development refers to group of people in a community reaching a decision to initiate a social action process to change their economic, social, cultural and environmental situation. In case of India, community development programmes have started since 1952 to improve the rural economy by providing communication networks, roads, markets and other basic infrastructural facilities. By the end of second five year plan about one fifth of Indian population is covered under Community Development Blocks, These areas/blocks are earmarked with dedicated administrative mechanisms/institutions for speedy development of the areas. Below we will discuss about process involved in two popular approaches in community development.

5. Top-Down Planning

As the name suggest, the process of planning starts from Top usually a central authority in a hierarchical structure. It involves experts or professionals as per the knowledge requirements of the plan. The top level group consisting of experts, administrative functionaries, funding agencies would decide the structure of plan. The financial allocations, required permission would be obtained in a timely manner. Once the objectives and specific targets with time frame are setup, action would start at the local level. Most often implementing agencies would be different from planning agencies. Implementing agencies would carry forward the plan with proper allocation of resources at their disposal. It is common to have a monitoring or evaluating agency to check whether the plan is carried out in given time frame and quality aspects. Once the plan is executed in most cases it would be maintained by the non- locals or some external agencies. If you carefully observe in the entire planning and implementation process there would be very minimum or no role of locals. Top-Down approach works well in areas where the local communities do not have sufficient cohesion among themselves or where there is no coordination in their day to day living. Top-down has nevertheless achieved some success in developmental initiatives both in the rural and urban. The business nature, diversity and busy individualistic life in the urban cities has made inter personal relationship non cordial, hence difficult for people to come together to plan development and this has made Top-Down approach the best in the urban cities rather than rural communities.

6. Bottom-Up Planning

On the contrary to above mentioned process of Top-Down Planning, Bottom-Up starts from the 'grass roots' (Hence, also called as grass roots approach). The needs and aspirations of the people form the core of the development initiative. The process of planning starts from the locals where there would be consultations in the form of meetings and informal/formal interactions with community members cutting across all demographics. Once the needs are identified, these would be categorized into primary, secondary and tertiary needs according to the intensity and frequency of needs. The next step involves the participation of local leaders and community members in decision making process to carve out plan of action. Once plan of action is arrived at, then expert or professional inputs would be incorporated as per the requirement of the plan. Once community designed and approved plan is finalized with all the resources in hand, the next step would be execution of plan. If the plan demands a skilled labor or some technical help from external agencies it would be

provided by the implementing agency. Once it is executed, locals would be made responsible for its maintenance. The participation of locals at every step of the plan is very crucial as it has direct bearing on the lives of the community members. The toughest part of the process is getting consensus from the community members in arriving at a plan that is in immediate need. The next step of participation is about involving the community members in execution of plan and making them partners in plan. By the time implementation of plan is completed the community would be equipped to maintain and sustain it through its life.

7. Criticism on Top-Down Approach

Top-Down approach is one of the most commonly used methods by governments, multinational organizations and foreign funding agencies all over world as this method “allow rapid, large scale spending of financial resources in accordance with pre-established timetables and also gives government planners, donors and the bureaucrats an illusory feeling of control and efficiency.” Arguments against top-down includes the facts that it has assumed and structured plans and designs, cost and implementation period for projects without considering the diversity in the sociocultural and ecological situations in locations. This approach expects the same level of co-operation from communities where the projects are to be located without considering the variations in culture, living pattern and exposures to new technologies. This approach erroneously assumes also that the communities are naive and don't know what is good for themselves hence the ‘top’ plans for them and impose such decisions on them. In most of the Top-Down approach the data or source of information is “quantitative in nature or numerical estimations collected through rapid diagnostic feasibility studies or project formulation missions”. Also, “Planners and bureaucrats proceed as if they were writing on a clean slate and possessing all the knowledge for improving lives of the community members. In reality, they are making interventions in a well-established community social system, which has survived over generations of struggles and interactions with the local environment”. The limited participation of other stakeholders in the projects becomes a burden not only on the planning agencies but also on the locals as all the decisions about such initiatives are centrally planned, adhering to the master plan, having no respect and consideration of environmental changes, local initiatives and development choices. It is one of crudest forms of non-democratic imposition of policy decision on the bottom by the authoritative systems of the top who see themselves as “knowing it all” and believes in “one size fits all” philosophy in addressing local problems.

However, for more scientific and innovative technological developments, Top-Down method has proved to be more successful and goal realizable, putting in mind the fact that the local communities may not be exposed to such innovations and technologies. If the Top-Down approach is organized by integrating the expert knowledge with the local's experiences would lead to collective decision making and partnership building. One other positive aspect of top-bottom planning is it encourages already prepared proposals to be implemented by the authority, therefore it's easy to focus at the community consultation process and it is not time consuming for the development process as the whole process is controlled by the professional actors without the communities consulted in the implementation. Finally, there is more effective use of resources by using professional expertise to mobilize, co-ordinate and interpret community options.

8. Positive Aspects of Bottom-Up Approach

Bottom-Up method involves respecting the ideas and culture of the communities involved, incorporating the needs and visions of the people in development plan execution and respecting their sociocultural diversity coupled with their economic life style and then improve on it for the realization of the goals of the development initiative and its sustainability. The development programme stages includes introductory stage which involves planning identification and design, the planning stage, implementation, monitoring, evaluation and the revision of the programme either directly or through those bodies representing collective interests of the community. All the stages of the projects are important but the question continues to come as to what stages of these projects are the communities to be involved? Participation of locals has implications for power relations, personal interactions, and attitudes and behaviors and can apply to almost all social contexts and processes. We can identify three types participation: Passive Participation, Quai-Participation and Active participation. Passive participation includes just letting people do what you want them to do that has been decided or has already happened and there may be quasi participation where certain levels of participation were allowed for the communities such as consultative participation, material incentive participation, forced participation, self-mobilization and functional participation. Finally we have active participation where the community are fully integrated into the project design, planning, implementation and monitoring and evaluation. The Bottom-Up approach should also involve few elites in the community and the community leaders in the project design, planning, implementation and evaluation. The problems the few elites pose most of the times is trying to highjack certain issues in a bid to make personal gains, but implementing agency should follow balanced approach in safeguarding the interests of all groups in community.

However, Bottom-up approach does have some disadvantages associated with it. First of all it requires a dedicated group of skilled individuals who can bring in consensus among the community members in identifying the needs and assessment of needs. This process consumes lot of time as it is not an easy task. For this development functionaries should reside with community members and dress, eat and sleep the way they do, this kind practice would bring a sense of belongingness to the community members. Bottom-Up approach may not be always possible in areas which have large populations and very diverse groups with different cultures. This is because it may take longer time for the larger communities to assemble. Debate and consensus on certain features, procedures and sharing of the programmes considering the fact that each participating unit would want to have preferential and greater influences in the location and operational modalities of the development programme. These may lead to serious conflict which at the end may lead to distrust, violence, inter and intra personality conflicts.

9. Constitutional Provisions with Respect to Governance in Schedule Tribes

The idea of community participation started gaining prominence since the end of 1970s, but even before this, members of constituent Assembly had envisaged bottom-up approach in governance and administration of tribal communities inhabiting in India. Figure 1 below would provide a quick understanding of the process of decision making involved in Schedule Six Tribal areas.

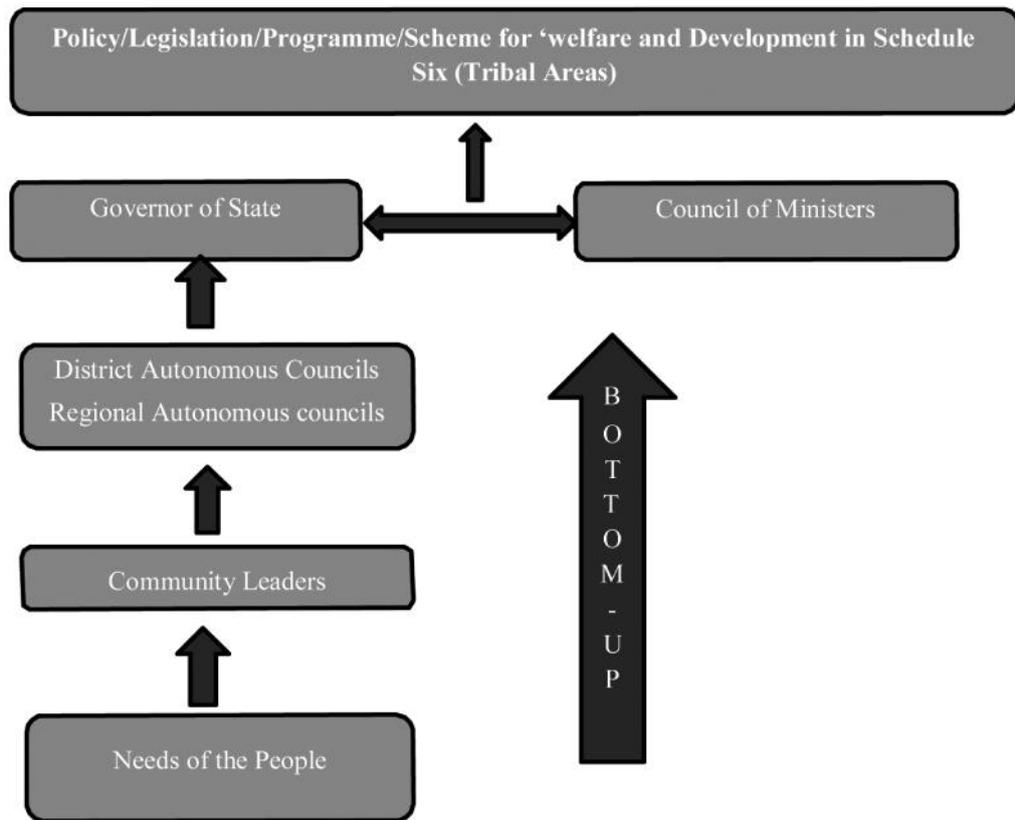


Figure 1: Bottom-Up Approach As Envisaged in Constitution of India with Respect to Governance in Scheduled Six (Tribal Areas).

Constitution had scheduled tribal communities into two Schedules (Schedule Five and Six). In Schedule six areas, district and regional autonomous councils play vital role in governance. The legislations made by parliament or state legislature do not apply automatically, unless the Governor gives his consent on consultation with autonomous councils. Councils are provided with exclusive domain of powers to maintain self- governance/ autonomy. In case of Schedule five areas, Tribal Advisory Council consisting of twenty members with 15 members belonging to Scheduled Tribe representatives would aide and advice the governor in administration. The legislations made by parliament or assembly would apply automatically but governor is provided discriminatory powers to make any legislation null and void if he/she finds it not suitable to the tribal communities. The Governor is bestowed with regulating powers to make administration in Schedule V areas smooth. The figure 2 below would provide the step by step procedure of planning or governance in schedule five areas. The Provisions of Panchayats (Extension to Scheduled Areas) Act, 1996 had made Gram Sabha an important institution to be consulted while making any plan involving people of their jurisdiction.

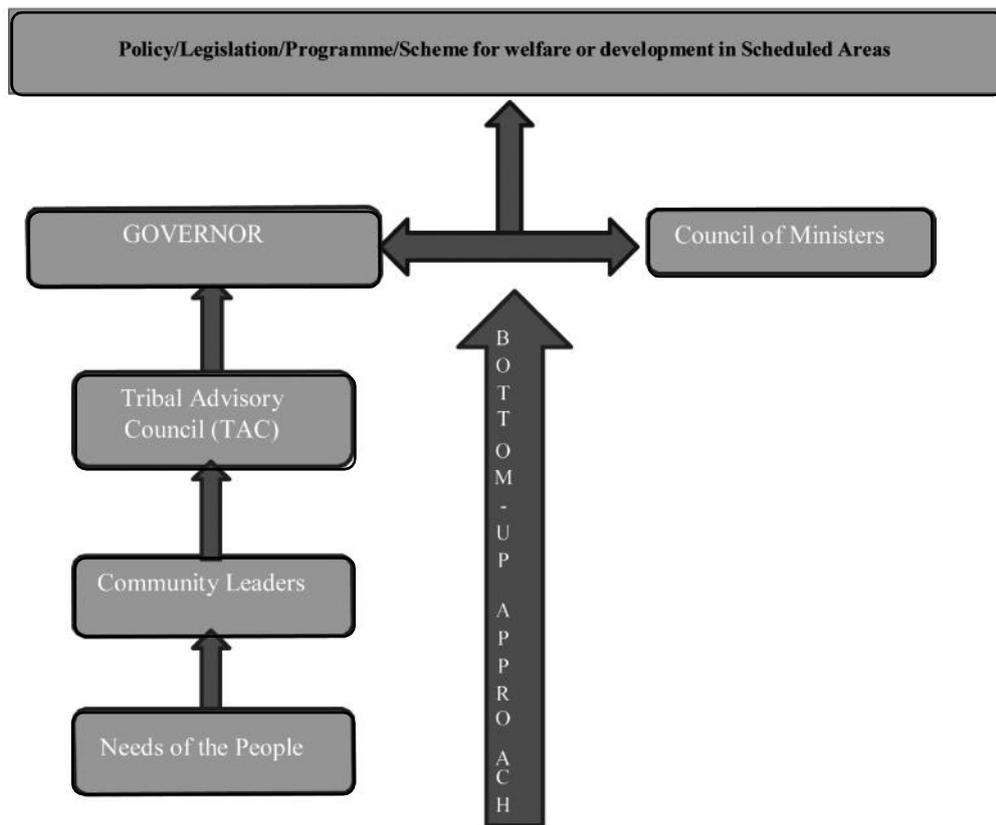


Figure 2: Bottom-Up Approach As Envisaged in Constitution of India with Respect to Governance in Scheduled Areas.

10. Tribal Development Planning in India

The first Prime Minister of Independent India had advocated *Panchasheel* (Five Principles) to be followed while formulating policy for development of diverse tribal groups of India. The five principles are: 1. People should develop along the lines of their own genius, and the imposition of alien values should be avoided, 2. Tribal rights in land and forest should be respected. 3. Teams of tribals should be trained in the work of administration and development. 4. Tribal areas should not be over administered or overwhelmed with a multiplicity of schemes and 5. Results should not be judged by statistics or the amount of money spent, but by the human character that is evolved. These five principles in combination with policy of 'integration' had resulted in region/state specific development plans. Though planning for development in tribal areas started immediately after independence, it was only after the end of fourth five year plan planning commission realized the importance of a sub-plan for tribals. The Fifth Five Year Plan (1974-78) adopted the approach of Tribal Sub-Plan (TSP) which stipulates that funds should be allocated on the STs in a proportion to population size, for the welfare and development. The implementation of TSP strategy was through Integrated Tribal Development Projects (ITDPs) in the tribal concentrated States. Special Central Assistance (SCA) to Tribal Sub Plan (TSP) and Grant-in-Aid under Article 275(1) of the Constitution were also initiated to provide additional funds to TSP implementing States for income generating activities, infrastructure development, and administrative reinforcement. During Sixth and Seventh Five Year Plans there was a substantial increase in the flow of funds for the development of STs. Tribal Cooperative Marketing Development Federation (TRIFED) for a remunerative price for the Forest and Agriculture Produce of Tribals and National Scheduled Castes

and Scheduled Tribes Finance & Development Corporation (NSFDC) for credit support, employment generation, and skill development were initiated. Eighth Five Year Plan emphasized the elimination of exploitation, land alienation besides the socio-economic upliftment of STs. The Ninth and Tenth Five Year Plan approach were through Social Empowerment, Economic Empowerment and Social Justice for socio-economic development. An exclusive Ministry of Tribal Affairs was set-up in 1999 for a focused approach to the development and welfare of the Tribals in the country.

11. Non-Governmental Organizations (NGOs) and Bottom-Up Approach

Though civil societies in India are still in infancy, NGOs to great extent did justify the dual roles by conducting field level research/works and policy recommendations. NGOs came into prominence since the opening of Indian economy in 1991. Since then a number of domain specific NGOs have come into rural areas taking care of marginalized, weaker and unprivileged sections of diverse Indian society. Infact some of the NGOs have attained international standards in conducting field study in education, health and women issues. There are predominantly two types of NGOs based on funding sources. Some NGOs are aided by Government while some are privately funded. However, one common aspect in all NGOs is that they follow Bottom-up approach in their activities. In fact NGOs are synonymous with participatory approach in building partnerships with community members. Even when the policies and programmes are made at the top, at the ground level NGOs would involve community members by empowering them with necessary skills and knowledge sharing. NGOs collect information through filed based study by staying with community members for longer durations and gaining their confidence. With increasing efficiency and success rate associated with works of NGOs, Governments and Multinational and international agencies are looking for partners in NGOs to carry out their tasks. However, there are few NGOs working with ulterior motives to gain support of the local to achieve their personal goals and agendas. Due to this type of rogue NGOs, committed and hardworking NGOs are affected by blanket bans/curbs on financial channels.

12. Mixed Method Approach

In most of the community development programme the stakeholders would be, Local residents, Community leaders, Government/private functionaries and External agencies such as funding agencies and professionals. All these stakeholders are expected to actively take part in the programme from its beginning to till the end to get sustainable results. Recent studies have shown that a mix of Top-down and Bottom-up approaches would provide better alternatives in realizing the goals of programme. The positive aspects of Top-down approach such as skilled and professional help in optimum utilization of available resources coupled with continuous evaluation of programme by an external agency would set the course of programme implementation in right direction. The positive aspects of Bottom-Up approach such as encouraging local participation by conducting initial field studies and gaining confidence of locals would be of immense in realizing the true potential of the development programme. In fact both these approaches are complementary in nature, if used in meaningful combination. "Theoretically this is achievable without much dialogue but practically, it would need the experts to blend the

two approaches knowing that naturally there has been long time class consciousness between the rulers and the ruled, the owners of capital and the labor, the policy makers and the local poor. So the application of the mixed method may initially create a class difference and exhibition of supremacy and ego but once the class difference is conquered, implementation of the project would bring a fantastic and co-operative development which would be sustainable and benefiting.” The mix method would also encourage timely monitoring of the project and be able to point out corrupt activities by stakeholders involved in the programme. Therefore, the mix method would help in maintaining transparency and accountability and Also another advantage of mixed approach is that “some local communities are so poor and uneducated that they cannot fashion out developmental projects/programmes on their own as they lack education and technological innovations. This creates the vacuum of conceptualization, design and implementation of projects by the locals, hence it become more appropriate that the government and international developmental agencies (top) take the responsibility of conceptualizing, designing and implementing the projects but must carry the people along from the start.”

13. Summary

Historically, India was not new to grass root participation in governance. There were regional kings and kingdoms which encouraged and practiced micro-planning involving all the stakeholders having defined roles and targets to achieve. In fact the Swadeshi movement started by Mahatma Gandhi had specific objective of reviving the rural India. Rural reconstruction programme started by Gandhi is a step in that direction. After attaining independence government had started many community development initiatives. By the end of 1970s, Top-Down approach in community development reached its zenith in terms of coverage and acceptance. However, with the introduction of participatory approach in 1970s coupled with failure of Top-down approach in solving the grass root problems paved way for extensive research on Bottom-up methods and its effectiveness in providing sustainable solutions. In case of tribal areas development new administrative mechanisms had evolved over a period cutting across diverse tribal groups living in diverse physical settings of India. For example, ITDAs (Integrated Tribal Development Areas) in Andhra Pradesh has been playing a pivotal role in devising and designing plans at micro-level by involving all the stakeholders. Community development programmes with Bottom-up approach are built around the needs and aspirations of the community members. Assessment of needs must have every time and always precedence over planning and implementation of community development initiatives. The current chapter has covered in detail about the positive and negative aspects of both Top-down and Bottom-up approach. From the constitutional provisions with reference to scheduled tribes and other marginalized and weaker sections had advocated the bottom up approach by providing necessary constitutional protections. Figures 1 and 2 provide the planning process envisaged by constitution of India in Schedule five and six areas. This chapter had also briefly described the common approach followed by NGOs in India. The recent studies on community participation had come up with mixed approach combining the best of Top-down and Bottom-up approaches.

14. Recapitulation

- What are the strengths of Bottom-up approach?
- What is the necessity of needs assessment in designing of plan and its implementation and evaluation?
- What are the benefit of combining Top-down and Bottom-up approaches?

15. Key Terms

Bottom-Up Approach, Top-Down Approach, Mixed Method Approach, Planning, Governance, Scheduled Areas, Tribal Areas, Participatory Approach and Community Development.

16. Activity

- Do a comparative study on any two Programmes (one designed by Union government and other by local ITDA).
- Take two NGOs working in your locality; one which is publicly funded and other privately funded and compare their working style.
- Identify two schemes; one implemented by an NGO and other by the state departments. Then try to find out the implementation strategy used by both.

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2

Innovations for Tribal Development: Types, Challenges and Lessons Learnt

Amartya Sen, a Nobel Laureate, in the preface of his book, *Development as Freedom*, "We have to recognize...the role of freedoms of different kinds in countering these afflictions. Indeed individual agency is, ultimately, central to addressing these deprivations" (1999: XI)

Source:

Sen, Amartya 1999. *Development as Freedom*. New York: Oxford University Press.

- *Do you think efforts of the state made for the development of tribe has really given them any freedom?*
- *What are the bottle-necks for the tribes to obtain freedom through the present development approach?*

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1. Introduction

The 13th Finance Commission, Government of India, after reviewing the data received from the States on best practices, observed that there is no dearth for *Innovations* within the system, however, it stressed upon the necessity to nurture a climate which differentiates conceptual, operational lessons and stressed upon the knowledge repository, cross-fertilization of ideas and incentivizing the Innovations.

The Department of Tribal Welfare, Govt. of Andhra Pradesh has always been responsive to innovations. The tribal subplan and single line administration are being some of the classic examples. However, most of the innovations work in silos and there is a need for a convergence mechanism.

2. Learning Objectives

After this lesson, the readers will acquire knowledge about

- (1) Definition of innovation and its application in administration
- (2) Potential Challenges
- (3) Success and failure stories
- (4) Support Institutes/ Organizations
- (5) Innovations in tribal administration
- (6) Lessons for the administrators

3. Definition of Innovation and its Application in Administration

Public systems tend to adopt incremental innovations rather than the breakthrough innovations which are common in private sector. Breakthrough innovations incline towards driving down the costs, increasing accessibility and improving services. However, these Breakthrough innovations are possible in the Government setup and their *acceptance* and *rejection* depends on the ability to fulfill most if not all of the following conditions.

- Ability to experiment and taking risks;
- Ability to do away with the outdated infrastructure;
- Presence of feedback mechanisms;
- Presence of incentivizing mechanisms for improving services;
- Budget constraints for the citizens.

An Innovation in public systems can be defined as a process/policy intervention which addresses to:

- Improve the public service delivery;
- Enhance the efficiency of governance structure i.e. simplifying procedures, reducing hierarchy;
- Improve citizen satisfaction;
- Promote transparency and accountability;

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- Reduce the time taken for service delivery;
- Reduce the cost without affecting the efficacy and efficiency;
- Extensive use of technology (which complements the whole process).

4. Types of Innovations

Practical innovations which exist in the public domain are often overlapping and are not constrained to a particular category. However, for a better understanding, Innovations in public systems may be broadly categorized under the following heads

1) Service Innovations

Innovations that intend to introduce a new service, product or improvement in the quality of an existing service, product.

Bharat Interface for Money (BHIM) is a mobile application developed by the National Payments Corporation of India (NPCI) which enables e-payments directly through banks.

2) Service Delivery Innovations

Innovations that create a new or improved way of delivering specific public services to the citizens that aims at improving accessibility, targeting user needs more accurately, bringing in simplification of procedures etc.

Vision Centres act as the primary points of contact for eyecare needs. These were initiated by the Aravind Eye Care, Madurai and are being successfully implemented in the State of Chhattisgarh.

3) Administrative/ Organizational Innovations

Innovations that target to change the hierarchical structures and administrative routines in the Government.

Rationalization of affidavits and introduction of Self-Attestation is an initiative of Government of India that aims at reducing the colonial feature of government-citizen distrust.

4) Policy Innovations

An element of innovation in government policies may bring about systemic culture of nurturing fresh ideas. Best practices that have a proven record of sustainability may be incorporated and be advocated as a policy. Drafting a policy for promotion of innovations itself is a policy innovation, this may include incentivizing mechanism, identifying and appointing innovation officers in each Department etc. among others.

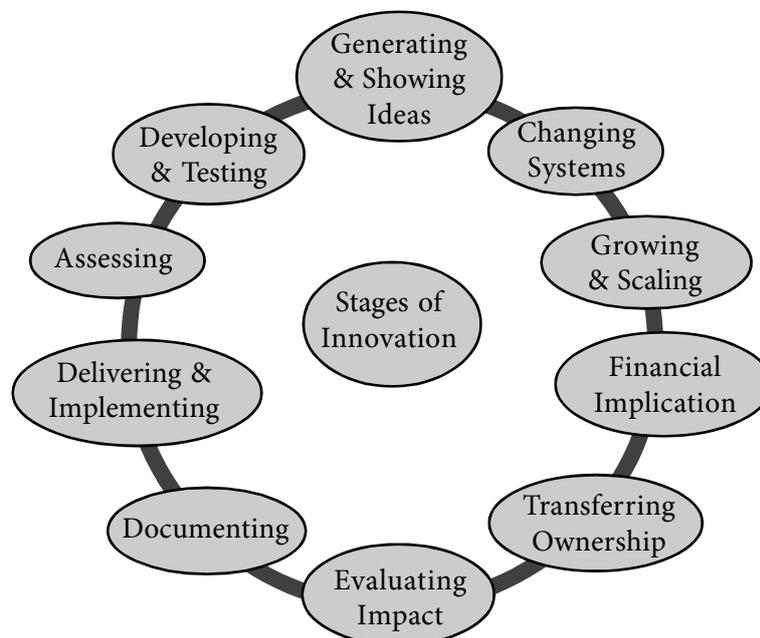
Govt. of Jharkhand through an executive order has established Jharkhand Innovation Lab (JIL) in collaboration with Indian Institute of Management-Ahmedabad to give an impetus to startups and promote an ecosystem of Innovations within the Government.

5) Systemic Innovations

Innovations that employ new or improved ways of interacting with the citizens and engage them in service design are considered as systemic innovations. This encourages participative approach in governance and improves the magnitude of stakeholder consultation in decision making

India Innovation Growth Program is a public private partnership of the Department of Science and Technology, Govt. of India and Lockheed Martin Corporation. This initiative throws open a chance to the public to suggest innovative solutions to major societal problems.

5. Various Stages of Innovation



6. Potential Challenges

One may anticipate the following potential challenges while dealing with the innovations

- Resource mobilization
- Departmental silos and lack of convergence mechanism
- Fading away of the innovations due to a change in the office
- Transfer of ownership
- Lack of domain expertise

7. Cultural Barriers to Change

7.1. Values and Attitudes

In relation to barriers to change, values and attitudes comprise of six major aspects: Tradition, Fatalism, Ethnocentrism, Pride and dignity, Norms of modesty and Relative values.

Tradition: Tradition, in general, discourages innovation. Its effect can be sensed from the words of Sir Francis Bacon - "It is true, that what is settled by custom, though it be not good, yet at least it is fit; and those things which have long gone together are, as it were, confederate within themselves; whereas new things piece not so well; but though they help by their utility, yet they trouble by their inconformity. Besides, they are like strangers; more admired and less favored."

Fatalism: Fatalistic nature obstructs innovation. In a way, this is a misinterpretation by man, of various religious principles. God's supremacy is equated with man's inability and innovation is obstructed.

Ethnocentrism: Ethnocentrism definitely hinders innovation as it is a very strong force acting against other cultures. It does not allow diffusion of innovation.

Pride and Dignity: Pride and dignity are associated with status and roles. When innovation seems acting against the general pattern of status and roles, it is taken to be causing harm to pride and dignity and opposed.

Norms of Modesty: Where modesty is culturally driven, which generally is, innovations are opposed, even though they are very useful. Women are the general victims of this pattern. Modesty, attached to them as desirable quality, doesn't allow them to accept innovation.

Relative Values: As value of something is relative, the difference between its value in two different societies makes its diffusion from one to the other difficult. Not everything is seen as the same in every society.

7.2. Culture Structure

Culture structure influences the fate of innovation. Logical incompatibility between systems like Autocracy and Democracy or Monotheism and Polytheism keep the fate of innovation negative. There can be unforeseen consequences of planned innovation also. The difficulty in making people replace traditional ovens with gas stoves, in spite of the advantages gas stoves hold over traditional ovens, serves as a good example of this case.

7.3. Motor Patterns

Motor patterns and customary body positioning are culture-specific. This aspect makes it difficult for innovation to diffuse.

7.4. Superstitions

Superstitions are a huge blockade on the path of innovation. Due to absence of education, following of blind beliefs, etc., innovation is strongly opposed. This is an aspect that needs an urgent treatment.

8. Social Barriers to Change

8.1. Group Solidarity

Group solidarity is an essential characteristic of peasant and folk societies. This solidarity is attached with reciprocity (both conscious and unconscious) and shared values and

customs. When an innovation is introduced into such a society, there is a tendency of opposition.

8.2. Conflict

There exists some tension along with group solidarity in peasant and folk societies. There is some element of suspicion among groups. Vested interests and factionalism also exist. This is more complex in the times of present-day politics. So, this conflict also acts as a barrier to innovation.

8.3. Locus of Authority

Locus of authority does not always lie with the same person in all societies. This is culture-specific and sometimes again family-specific. This makes the diffusion of innovation much more difficult to occur.

8.4. Characteristics of Social Structure

Certain aspects that are part of social structure like caste, gender, etc. make the diffusion of new ideas more complex. They generally hinder or weaken the diffusion of innovation.

There have been government programs that aimed at improving sanitation practices of the tribal people. One important initiative to stop open defecation has been to ask these people to start using toilets. For the tribes, toilets may not be the real need in the first instance. The idea of privacy in this regard may also not make sense to them. Moreover, for use in the latrine and cleaning purpose, women were required to go collect water from faraway places, thereby adding to their work load. Women going in small groups for open defecation or going to stream for washing of clothes can be seen as one facilitating small group identification and an opportunity to share views and problems with each other.

Attempt to improve menstrual health and hygiene practices among adolescent tribal girls by discouraging the use of old cloths and encouraging use of a new soft cloth (falalin) and sanitary pads. It was found in a study that after the introduction of this innovation, falalin became the first choice for majority and around one third of them preferred sanitary pads. None of them were for old cloths. The introduction of falalin cloths in the community improved quality of life significantly. It was also found that falalin cloths were culturally more acceptable as they were readily available, easy to use and cheaper than sanitary pads.

Promoting awareness among community members regarding the various health issues has been taken up both governments as well as NGOs. Through this channel of health campaigns, the importance of immunizations, institutional deliveries, hand washing etc. has been tried to be imparted to the masses. However, these efforts did not have a great impact since they were not done in culturally appropriate and significant ways. Dissemination of health messages has been done in states like Rajasthan through live performances by drummers, dancers, magicians, folk artists etc. and this had a wider appeal to the tribal people. Here culturally appropriate technology and means of communication served the purpose of conveying the message to the intended audience.

9. Success and Failure Stories

9.1. Self Help Groups (SHGs)

Self Help Group is a financial intermediary composing of around 10-20 people. Generally, women are part of these SHGs and these are primarily village-based. Most of the SHGs are located in India. A significant number of them are also seen in South Asia and South-east Asia. A Self Help Group typically comprises of a group of people having homogenous social and economic backgrounds, all voluntarily coming together to save regular small sums of money, mutually agreeing to contribute to a common fund and to meet their emergency needs on the basis of mutual help. These groups pool their monetary resources to become financially stable, taking loans from the money collected by that group. SHG-BLP (SHG-Bank Linking Programme) evolved as a cost-effective mechanism for providing financial services to the unreached and underserved poor households. NABARD (National Bank for Agriculture and Rural development), through the Department of Micro Credit Innovations, facilitates and mentors programmes like this. Non-Governmental Organizations (NGOs), Regional Rural Banks, etc. are acting as SHGPIs (SHG Promoting Institutions) by organizing, nurturing and enabling credit linkage of SHGs with banks. This is definitely a success story both in people's participation and policy implementation, especially moving towards women empowerment. Innovation has seen a welcome here. It happened, because it could attain the characteristics a successful innovation should.

9.2. Janmabhoomi Programme

On 1st January, 1997, the Government of Andhra Pradesh, under the leadership of Nara Chandrababu Naidu, launched a programme named 'Janmabhoomi'. It is based on the successful Korean programme 'Saemaul Undong', launched on 22nd April, 1970, by the South Korean President Park Chung-Hee. In fact, Janmabhoomi was successful in moving people. It concentrated on education and empowerment.

Community work, primary education, primary health and family welfare, environmental conservation and responsive governance are its core areas. This programme has used participatory approaches. It was held in 19 rounds till 10th July, 2003, with a specific target in each round. In 2004, after the commencement of the new government, names were changed, but similar activities were undertaken. Janmabhoomi is one of the few examples where governments have succeeded in policy implementation. This is an innovation which could cross the barriers and was accepted by the people.

Failure Stories

In opposition to success, failure is the other possibility. This has a high frequency of occurrence in case of innovations.

The discontinuity in sustaining the innovations is mainly due to (a) they were mostly an officer driven, (b) they were not implemented properly, (c) the tribal community was not taken into confidence, (d) the financial viability was not properly assessed, (e) transfer of technology has not taken place, (f) and lastly the community has not been properly trained in managing the new resources/projects.

There are many examples of failure of innovations due to non-consideration of one or many of the above factors. For example, Lift Irrigation Projects may have failed due to

inadequate training of tribal people. In many cases, however, improper implementation emerges as the prime cause. The reason that tribal communities were not taken into confidence, especially influence programmes relating to social development like education, promoting gender- equity etc.

Local Innovation for Water Conservation

Water conservation and retaining soil fertility has become essential for farming. We have witnessed consecutive droughts in Marathwada region and elsewhere in India that has resulted in farmer suicides due to crop failure and debt burden. Osmanabad is one such drought-prone district Marathwada, where farmers needed to find solution to their perennial water problem.

Shivaji Navgire developed an innovative sprinkle irrigation system using waste plastic water bottles, which are an environment hazard. Thus, his work is not only providing a cheap but sturdy water system to farmers but also preserving water and environment as well. His water sprinkler is easy to carry and maintain unlike a regular one. The jugaad sprinkler saves 60% cost, 50% time, 70% water and increases crop yield by almost 30%.

- reported by EcoIdeaz.

10. Ways And Means to Sustain an Innovation- Promoting a Culture of Innovations

Innovations are prone to be extinct unless a culture is nurtured within the system. Further, innovations are to be sustainable and be made a part of the system itself. In order to overcome the potential challenges arising out of the life cycle of an innovation the following steps are suggested.

- *Collaboration* with likeminded institutes/ organizations would be beneficial as it enables an effective knowledge transfer. Government Departments/ Policy makers consider collaborating with research/ academic institutes (Universities) and the Non-Government Players in order to explore the potentiality of implementing the interventions.
- Sensitizing/ building the capacities of relevant stakeholders to develop a culture of ownership and responsibility amongst them.
- Creation of a knowledge repository facilitates the availability of information in the public domain. Further, it ensures a better means of communication within the Departments which in turn helps them to identify and understand the ways of making an innovation sustainable as well as replicable.
- *Incentivize innovations* serve as a morale boost. A policy to incentivize innovations gives an impetus to the stakeholders, this incentive can be either a monetary support or a handholding support.
- There are dedicated Support Institutions/Organizations working towards promoting innovations within Union/ State Governments in India. They play a vital role in handholding the Governments in implementing innovations.

- *Dept. of Administrative Reforms and Public Grievances, Govt. of India:* The nodal agency responsible for promoting reforms through innovations within Government and ensuring accountability.
- *National Institute for Transforming India Aayog (NITI Aayog):* The Government think tank which advocates reforms and policy alternatives.
- *National Innovation Foundation:* An autonomous body of Govt. of India which actively promotes grassroots level innovations.
- *Centre for Innovations in Public Systems:* An autonomous body of the Govt. of India working towards creating a climate and nurturing a culture for accelerating and replicating innovations in public systems.

11. Innovations in Tribal Administration

Tribal welfare administration, AP and governance of scheduled areas under schedule V of constitution of India have introduced a number of innovations. There has always been a flexibility and also an environment congenial for doing something differently to render justice to the scheduled tribes. Some of the institutions could get institutionalized over a period of time and a few of them could not continue due to a number of reasons. Some of the successful innovations are as follows:

11.1. Single Line Administration in the Tribal Areas

As part of the tribal sub-plan strategy, Integrated Tribal Development Projects were started in the tribal areas all over the country including Andhra Pradesh. In Andhra Pradesh, ITDAs was started at the rate of one per each scheduled area district as an autonomous body as the District Collector as the Chairman. The ITDAs was started in 1975 and in no time their headquarters were shifted to the tribal areas to bring the administration to the doorstep of the tribals. Based on their first decade of performance from 1975 to 1985, the Government has introduced the policy of single line administration in the ITDA areas. Under this policy, the powers of the District Collector, Jt. Collector and District Revenue Officer were delegated to the Project Officer of the ITDA and he was designated as Additional District Magistrate. The policy was introduced in 1986, reiterated in 2002 and revised comprehensively in 2014. This is a unique administrative practice in strengthening the governance in the tribal areas. This is an innovation in governance and got institutionalized by making ITDA as an umbrella institution for administration and development of the tribal areas.

11.2. Gurukulam

The residential school model of Andhra Pradesh has been a successful model for imparting quality education to rural children. The model has been extended to the tribal children also and a number schools were opened for STs from 1976 to 1999 after the number has become sizeable and manageable. The government has established Andhra Pradesh Tribal Welfare Residential Educational Institutions Society to run these schools independently. Setting up of an exclusive society to manage the residential education for STs is a unique measure in the entire country. Because of the administrative and financial autonomy of the society, it could implement a number of innovative activities for imparting quality

education to ST students. One such innovation is starting schools of excellence and colleges of excellence for ST children with a long-term objective of equipping them to secure admissions in IITs, NITs and other national institutes of prominence.

11.3. Village Tribal Development Agencies

The TW department has taken a landmark decision in 1994 itself by executing the civil works through village development committees. After the enactment of Panchayat Raj Extension to Scheduled Areas in 1996 followed by the State Act in 1998, the Department has mobilized the village community into Village Tribal Development Agencies popularly known as VTDA's, these agencies have acted as a training ground enlisting community participation in the development process and community-based management of grassroots level institutions. Government have delegated powers to the VTDA's to execute civil works up to an estimated cost of Rs 10 Lakhs each and in case of MGNREGS work of up to Rs 25 lakhs each.

11.4. 100% Reservations for the Local Tribals

The Constitution has conferred regulatory powers to the Governor of the State under Schedule V. By tapping the provisions under the Schedule V, the Governor of Andhra Pradesh has notified around 156 cadres of local level posts such as teacher, ANMs, Anganwadi workers, drivers etc. in favor of local tribals. This unique measure has far-reaching consequences for the tribal society. On one side, it has empowered the community in managing their grassroots level institutions themselves. On the other hand, it could prevent the tribal youth from falling prey to the lure of the extremist forces that operated in the tribal areas.

11.5. Community Health Workers

In the tribal areas of AP, the tribal habitations are scattered and located at considerable distance from each other and the terrain is a difficult one. The existing number of sub centres are not able to reach out to all the habitations in cases of emergencies, during the outbreak of contagious diseases and also for a regular follow up of mother and child health care. In order to bridge this critical gap, the Govt. of Andhra Pradesh has piloted a project of community health workers initially in the ITDA area of Rampa Chodavaram, East Godavari. Under this project, a local tribal woman with an educational qualification of 7th class and above, of the age group of 18-35 was selected from each habitation and given a foundation training of 3 weeks. After the training, she is called a community health worker, accountable to the village community. Her mandate is two-fold, (a) identifying and treating minor ailments locally (b) referring emergency cases to the PHCs. This project has been later scaled up to all the tribal areas. Today, there are 8290 community health workers functioning in the tribal areas of Andhra Pradesh.

11.6. Village Liaison Worker

The ITDAs have taken up horticulture on a massive scale in the tribal areas. Cashew, mango and coffee plantations have become the major source of livelihood for the tribals in the north coastal districts. When the ITDAs have taken up this program, they do not have enough number of field functionaries to mobilize the community, to provide extension

and to monitor the progress time to time. Hence the ITDAs have come up with an innovative way addressing this gap. A progressive youth, preferably a tribal, matriculate or semi matriculate was identified from each major habitation. He was called as a village liaison worker, he was made responsible for a plantation of 500-1000 acres each and through him the ITDAs have reached out to the farmers. The village liaison workers could in no time become leaders and torch bearers in expanding the horticulture, later they have also raised satellite nurseries to supply plant material to the new plantations as well as for the gap filling.

12. Innovations That Have Been Mainstreamed

The Tribal Welfare Department has taken up a number of innovations especially in education and they have got main streamed. The Department has taken up universalization of primary education in the tribal areas even before the district primary education program was launched by Government of India. The program was taken up by the Department with the support of International Fund for Agriculture Development, Rome. Various innovations taken up by the project got continued under the district primary education program and subsequently under the Sarva Shiksha Abhiyan. Similarly, the school complex system of monitoring the educational institutions started by tribal welfare has later been main streamed by the school education Department. The multi-grade teaching method implemented in the primary schools of tribal areas in the name of 'Ananda Lahari' was also adopted by the school education Department for the general schools.

13. Innovations That Could Not Continue

There are a number of innovations taken up by the dept. which could not get continued due to a number of reasons. The list could be a lengthy one also. Some of them like multilingual education, rubber plantations, were initially highly promising. The discontinuity in sustaining the innovations is mainly due to (a) they were mostly an officer driven (b) they were not implemented properly (c) the tribal community was not taken into confidence (d) the financial viability was not properly assessed (e) transfer of technology has not taken place (f) and lastly the community has not been properly trained in managing the new resources/ projects; For Eg: Lift irrigation projects.

14. Summary

The paper focuses on understanding the nuances of innovations, their categorization, stages involved in the life cycle of innovations. It stresses upon the challenges faced during the implementation of innovations and underlines a need to promote a climate conducive for innovations. Further, this enables the readers to take stock of the success and failure stories to have a practical approach towards innovations. Also, this paper guides the readers to identify innovations that are being implemented under their jurisdiction and encourages them to document and disseminate the same.

15. Recapitulation

- What are the types and various stages of innovation?
- Ways and means to sustain an innovation and steps to be taken to promote a culture of innovations?

16. Key Terms

Incremental Innovations, Breakthrough Innovations, Service Innovations, Service Delivery Innovations, Administrative/ Organizational Innovations, Systemic Innovations, Policy Innovations.

17. Activity

- Have you implemented any innovation at your level? And, how would you classify such innovation?
- Have you ever visited the websites of Dept. of Administrative Reforms and Public Grievances, Govt. of India/ National Institute for Transforming India Aayog? If yes, what did you access?

18. Lessons for the Administrators

The failed and the discontinued innovations are good lessons for the administrators of the tribal areas. Each one of those innovations has a lesson to offer. In order to ensure that the innovations sustain, the administrator must keep in mind the following five principles:

- a. In bringing a successful innovation to tribal areas, please carefully assess the local climatic conditions (natural or social as necessary) carefully.
- b. Have a series of meeting, consultations with all the stakeholders, especially with the community and decide the strategy for implementing the innovation.
- c. Enter into a collaboration with an expert group or a knowledge partner to be an active partner for implementation and for necessary follow up of the innovation.
- d. Train the community and all the stakeholders adequately to ensure that they internalize the innovation and get it institutionalized.
- e. Document the entire process, share with all the stakeholders and build up a strong institutional memory to ensure its continuity even after you leave the organization.

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3

Tribal Sub Plan 1975-2013 and Special Development Fund

“With the implementation of the Public Financial Management System (PFMS) complete transparency and monitoring of funds released is ensured by the Ministry. All agencies receiving funds from the Ministry on 100% basis and sub agencies that receive funds from the main agency have been on boarded in the system. This ensures tracking of utilisation of funds by the implementing agencies” (Ministry of Tribal Affairs 2017).

Source :

Ministry of Tribal Affairs 2017 Year End Review 2017: Highlights of the Achievements of the Ministry of Tribal Affairs, Posted On: 27 DEC 2017 12:55PM by PIB Delhi.

<http://pib.nic.in/PressReleaseIframePage.aspx?PRID=1514250> accessed 5.4.2018.

- *Do you agree with above observation of the Ministry of Tribal Affairs?*
- *Despite all efforts for tribal development through tribal sub-plan, the tribes are still discontent. Why it is so?*

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1. Introduction

Scheduled Tribe Population constitutes of approximately 8.6% as per the Census 2011. Various strategies are developed since independence to mainstream the tribal population and improve their development indices on par with the general population. Some of such initiatives are Integrated Tribal Development Agencies (ITDAs), Modified area development approach(MADA) etc., Tribal Sub Plan (TSP) is one such Strategy devised in 1974 aimed at channelizing funds in proportion to the Scheduled Tribe (ST) population.

2. Learning Objectives

To understand the following:

- (1) Significance of the strategy
- (2) Evolution in various phases
- (3) Post Plan period and Fund for welfare of STs in 2017-18
- (4) Statutory provisions for implementation
- (5) Suggestive measures

Tribal Sub Plan (TSP) strategy is devised in 1974 aimed at channelizing funds in proportion to the Scheduled Tribe (ST) population. The plan is proposed to be implemented through identified schemes by Ministries of Government of India and State Governments. It evolved from a nascent stage to a well-structured mechanism over years. The evolution can be studied in various phases.

Between 1974-2006, the strategy was followed in nascent stage and is restricted to just channelizing fund. A separate minor head of account “796” for accounting purposes was created to allocate the funds for Tribal Sub Plan (TSP). Various hindrances like Non-earmarking or restricting the allocations to divisible component, non-identification of priority sectors, Non designation of a responsible Nodal Department for monitoring , diversion of funds and non-considering of need based Schemes are observed during this phase. The guidelines issued are limited to letters on the eve of Annual/Five year plans for adequate provisioning for Scheduled Tribes (STs) and reminders.

However the Government of Andhra Pradesh during this stage has issued three Government Orders (G.Os) with a foresight. The G.O.Ms No.170 SW (B3) Department Dated 3.11.1981 was issued for Constitution of High level Coordination Committee with Chief Secretary as Chairman, G.O.Ms.No.124 SW(TW.BUD.2)Department, Dated 28.12.1999 was issued for Constitution of Standing Tripartite Committee to monitor the implementation of the strategies of the TSP for STs with Minister(TW) as Chairperson to oversee the implementation. Similarly in order to ensure the requisite allocations G.O.Ms.No 17 of Planning (XVIII) Department Dated 07.11.2005 for earmarking 16.2% and 6.6% of Plan funds of all Departments towards SCP and TSP respectively from the year 2006-07. The allocation and expenditure status in the 10th Plan period ie, from 2002-2007 aftermath the constitution of the institutional safeguards at the State level are as follows.

Plan period	Year	Total State Plan allocation	TSP Allocation	% of TSP Allocation	TSP Expenditure	% of TSP Expenditure
10th Plan (2002-07) (United AP)	2002-03	8553.19	639.27	7.47	508.35	79.52
	2003-04	10970.45	761.48	6.94	705.17	92.61
	2004-05	13291.20	777.46	5.85	856.93	110.22
	2005-06	15650.77	915.26	5.85	776.97	84.89
	2006-07	20000.00	1184.85	5.92	1411.05	119.09

Between 2006-2010 Guidelines were issued by the Erstwhile Planning Commission to both to the Central ministries and States on fixing responsibility of Nodal Department, addressing Non divisible issue, strict non divertability and directions to avoid lapse of budget (by means of timely releases, realistic planning) along with proportionate allocations. In spite of these the Notional allocations, Non Uniform Criterion continued leading to inability to quantify the outcome. Monitoring was limited to annual review once during the finalization of annual plan. The Special Monitoring unit (SMU) was setup in the Planning commission for monitoring of SCSP and TSP but it had no separate sanctioned strength and only the staff of BC and TD Division was given supporting role. Hence, there is no separate mechanism at the level of Government of India.

However the Government of A.P was proactive in the said period and issued (3) Government Orders (G.Os). The G.O.Ms.No.45 of SW (TW.BUD.1) Dept Dated 27.6.2007 was issued for Constitution of District level, Municipal level and Mandal level TSP Monitoring Committees. The G.O.Ms.No.77 of SW (SCPI.) Dept Dated 18.9.2007 was issued for the Constitution of Apex Committee for SCSP and TSP with Hon'ble CM as Chairman, and G.O.Ms.No.117 of SW(SCP) Department Dated 18.9.2007 was issued for the Constitution of Nodal agencies for SCSP and TSP with ministers of Social welfare and Tribal welfare as Chairman's respectively. The status of allocations and expenditure in 11th plan period is as follows.

Plan period	Year	Total State Plan allocation	TSP Allocation	% of TSP Allocation	TSP Expenditure	% of TSP Expenditure
11th Plan (2007-12) (United AP)	2007-08	30500.00	2454.83	8.05	2453.08	99.93
	2008-09	44000.00	3331.96	7.57	1590.81	47.74
	2009-10	33496.75	2372.83	7.08	1527.58	64.38
	2010-11	36800.00	2529.20	6.87	1576.78	62.34
	2011-12	43000.00	2973.13	6.91	1681.33	56.55

Between 2010-2017, starting with Planning Commissions Task Force under the Chairmanship of Sri.Narendra Jadhav various initiatives have been taken to ensure effective implementation of TSP. Guidelines issued by erstwhile Planning Commission were revised

vide circular issued on 18th June 2014 and are reiterated by Niti Aayog in April 2015. The guidelines include directions like differential earmarking of funds (28 Ministries were identified to earmark 8.2% of total plan). The same are reiterated by Niti Ayog and Ministry of Finance from time to time. Plan outlay and expenditure was classified into (2) broad categories i.e., expenditure on poverty alleviation with individual beneficiary oriented schemes and expenditure incurred on ST Concentration areas.

The State of Andhra Pradesh has enacted the Historic Act of “AP SCSP and TSP (Planning, Allocation and Utilisation of Financial Resources) Act” 2013/Act 1 of for the first time in the entire country making the statutory provisions with legal backing.

The main features of Andhra Pradesh SCSP and TSP Act, 2013 include earmarking the portion of the total plan outlay of the State for the sub-plans in proportion to the SCs and STs Population; Schemes with direct and quantifiable benefits, Promoting equity in development of various social groups within the STs, Due share of the Ongoing general schemes for the STs, Department wise allocations after gap analysis through a consultative process. The schemes are classified into 4 categories. (a) Schemes exclusively benefiting ST individuals or households - 100% (b) Schemes benefiting ST habitations-100% (For Habitations above 40% ST Population, and proportionate in other habitations (For Population below 40%) (c) General schemes, benefiting Scheduled Tribes individual or households, the scheme cost in proportion to the ST beneficiaries coverage and (d) Non-divisible infrastructure works - (Deemed expenditure at 3%). The Act, also stipulates that outlay for the sub-plan which is determined at least six months prior to the commencement of the next financial year, shall be revised according to the State Annual Plan Final Outlay.

The institutional arrangements include an Exclusive Secretary, Finance for performing the functions relating to Budget implementation and allocation according to the provisions of this Act, State Council for Development of Scheduled Castes and Scheduled Tribes under the Chairmanship of Hon'ble Chief Minister to advise the Government on all the policy matters relating to Sub-Plan, Nodal Agency headed by Hon'ble Minister for Tribal Welfare with Tribal Welfare Department acting as Nodal Department, Administrative and Technical Support Units at the Secretariat, Commissionerate and District levels for assisting the Nodal agency, Sub-Plan Research Centre at Centre for Economic and Social Studies (CESS), District Monitoring Committees with the District Collector as its Chairman responsible for implementation of the Sub-Plan in the District. District and Sub District units for institutional strengthening of State, District and Sub-District units by providing necessary guidelines, staff and training to the staff. Nodal Agency to appraise the SDF plans submitted by the departments.

The transparency and accountability at all levels in the implementation of Sub-Plan schemes is ensured by proactive disclosure of the beneficiary and workwise details placed in a web portal in public domain. Incentives for commendable performance and disincentives for proven negligence in implementation. Further Annual Report on outcome of implementation containing Department-wise achievements and the un-utilized funds during the financial year under report shall be placed before State legislature.

It has further provided legal backup for allocation and utilisation of funds, detailed mechanism from State to district level for planning and implementation, effective planning strategy and as per felt needs of SCs and STs, fixing of realistic target, incentives and penalties etc., in implementation of schemes for SCs and STs in the state. The Act, however,

does not have non-lapsability and non-divertibility provision. The expenditure under SCSP and TSP has improved over the years after the implementation of the Act.

Allocations were made to (43) prioritized line Departments. The G.O.Ms.No 7 of Planning (XXII) Department Dated 23.2.2013 and G.O.Ms.No 10 of Planning (XXII) Department Dated 23.2.2013 for Constitution of Nodal agency for TSP and State Council for SCSP and TSP respectively were issued. The G.O.Ms.No 14 of Planning (XXII) Department Dated 1.11.2013 constituting the District Monitoring Committees was issued for decentralized planning and monitoring. Further a High power monitoring committee under the chairmanship of the Chief Secretary was issued to oversee the implementation from time to time. A Government order was issued fixing the percentage of deemed expenditure as 3% (i.e., half to the population percentage of STs in the state. Andhra Pradesh has been a forerunner and torch bearer and has inspired the Governments of Karnataka to issue the Act in the month of December same year.

Plan period	Year	Total State Plan allocation	TSP Allocation	% of TSP Allocation	TSP Expenditure	% of TSP Expenditure
12th Plan (2012-13 to 2013-14) (United AP)	2012-13	48935.00	3591.39	7.34	2241.76	62.42
	2013-14	53000.00	3666.60	6.92	2617.09	71.38

In this critical juncture the re-organization of the State took place in June 2014 and though the allocations are made in accordance with the proportion of ST Population. The allocations made in the first (3) years after the re-organization of the state and the expenditure incurred are as follows.

Plan period	Year	Total State Plan allocation	TSP Allocation	% of TSP Allocation	TSP Expenditure	% of TSP Expenditure
12th Plan (2014-15 to 2016-17) (Andhra Pradesh)	2014-15	26672.80	1500.26	5.62	1442.45	96.15
	2015-16	34412.47	1904.48	5.53	1751.75	91.98
	2016-17	49134.44	3099.96	6.31	3085.02	99.52

The State of Telangana issued G.O.Ms No 17 of Planning (VI) Department Dated 17.3.2016 adopting the AP SCSP and TSP Act to the State. The allocations made in the first (3) years after the re-organization of the state and the expenditure incurred is as follows.

Plan period	Year	Total State Plan allocation	TSP Allocation	% of TSP Allocation	TSP Expenditure	% of TSP Expenditure
12th Plan (2014-15 to 2016-17) (Telangana)	2014-15	48648.46	4559.81	9.37	1727.89	37.89
	2015-16	52383.20	5035.68	9.61	3221.77	63.98
	2016-17	67630.73	6171.15	9.12	3139.17	50.87

3. Plan-Non Plan Differentiation

Based on the note circulated by the Secretary to Government of India, Ministry of Finance, Department of Economic Affairs, in August 2016, the Finance Department of Government of Telangana has initiated necessary steps. The Circular stated that while presenting the budget for 2016-17 of Government of India, the Hon'ble Minister for Finance, had announced that Plan-Non-Plan classification would be done away from the fiscal year 2017-18 and indicated that it is mandatory for the States to move to new system. This was based on the recommendations of the High Level Expert Committee appointed to suggest measures for efficient management of public expenditure, popularly called as Sri Rangarajan Committee.

The main reason for the recommendation of doing away with the plan/non-plan system is to change the mind-set of increasing bias towards plan expenditure which is considered as developmental expenditure leading to neglect of assets created without proper maintenance resulting in damage/destruction of the assets created with public money. With the elimination of the plan/non-plan distinction the formats of various budget documents and also contents of some of the budget documents are revised besides opening of some of the new heads of accounts.

The changed scenario led to the change in budgeting system in Telangana with two broad categories viz Nirvahana Paddu and Pragathi Paddu. The Nirvahana Paddu contained details of establishment which are in the nature of committed expenditure like expenditure on salaries including grants in aid towards salaries, wages, pensions of Government servants, regular travel allowance of employees, interest on loans, maintenance etc., The Pragathi paddu contained the expenditure on all schemes rolled over by the Government from time to time like, purchases, construction, publications, scholarships, subsidies, other grants in aid etc.

The existing practise of group sub-head system which identified the source of funding for each type of the scheme viz, Centrally Assisted Scheme, Externally Aided Scheme, Schemes Assisted by RIDF, etc., continued except for the deletion of the group sub-head relating to the Normal State Plan.

The existing system of (7) tier classification system, of segregating the transactions based on Sectors, Functions (Major Head), Programmes (Minor head), Schemes (Sub-head), Objects of expenditure (Detailed head) etc continued except for deletion of the super imposed plan/non- plan distinction. Thus the constitutional obligation of showing the expenditure on Revenue and Capital, voted and charged separately were also met.

After the shift from plan-non plan system of budgeting to capital-revenue kind of budgeting system for effective implementation, Government of Telangana has brought in a new Act, The Scheduled Castes and Scheduled Tribes Special Development Fund(Planning, Allocation and Utilization of Financial Resources) Act/ Act 18 of 2017 on March 30, 2017. The Detailed Rules/Guidelines are issued vide G.O.Ms No 53 Dated 13.09.2017. The Act has certain improvements with respect to the Andhra Pradesh Act apart from the change in the nomenclature. The comparison between the AP SCSP and TSP (Planning, allocation and utilization of financial resources) Act 2013 and Telangana state SC and ST Special development Fund (Planning, allocation and utilization of financial resources) Act 2013 is as follows.

S.No	Item	2013	2017
1	Title of the Act	AP SCSP and TSP (Planning, Allocation and Utilisation of Financial Resources) Act 2013.	Telangana State SC SDF and STSDF (Planning, Allocation and Utilisation of Financial Resources) Act 2017
2	Period	Section 1.4 says that it shall cease to have effect after the expiry of 10 years from the date of commencement.	Deleted
3	Budget	Plan Budget	Plan Budget is replaced by the term pragatipaddu which means total scheme expenditure budget of the state as provided in appropriation Act
4	Sub Plan	SCSP and TSP	SCSDF and STSDF (Term sub plan is replaced by special development fund)
5	Habitation	Criterion of combined SC/ST Population as 40% to define as SC/ST Habitation	Combined Population is replaced by exclusive population of SC or ST.
6	Non Lapsability	No provision for Non Lapsability	New Section 14 added which says that "if any amount of SDF remains unspent, it shall be compensated in the next financial year in the same proportion on the reach of actual expenditure to the total budget estimate of pragatipaddu at the end of the financial year in the manner prescribed.
7	Committee for monitoring	No provision	Section 31 provides for constitution of the committee by the Government which consists of official and non-official members on such terms and functions entrusted to it in connection with monitoring the implementation of the provisions of the Act.

In the meantime the Union Budget of TSP during Post Planning Stage has changed its shape. Though the existing guidelines for implementation of TSP hold good even after post planning period the Niti Ayog is entrusted with the role of overseeing the monitoring and evaluation. The Nomenclature and statements of budgetary documents too changed i.e., upto 2016-17, allocation under TSP is provided under Statement 21 A and from 2017-18 it is renamed with title “Allocation for the welfare of STs” in statement 10 B.

4. Union Budget 2017-18 and Allocation for SCs and STs

In the union budget 2017-18 there is significant increase in allocation for STs. Total “Allocation for the Welfare of STs” has increased from Rs. 24005 (BE) crore in 2016-17 to Rs. 31920 crore (BE) 2017-18, which is an increase by 33%.

In view of changes in the system of planning and budgeting, there are suggestions/queries from various agencies/stakeholders (Parliament Questions, matters raised during Zero Hours in Parliament, references from the Parliamentarians and other stakeholders) for necessary action/clarification on issues related to and new arrangement for earmarking of funds and implementation of SCSP and TSP in the post planning stage. Earlier the earmarking of funds for SCSP and TSP was made, as recommended by the Task Force from out of the Plan outlay of the concerned Ministries/Departments. The Non-Plan component of the outlay of the Ministries/Departments was out of purview of the Sub-Plans. Since the distinction between plan and non-plan expenditure has been discontinued with effect from 2017-18, issue arises especially regarding either clarification on the criteria or need for the new criteria for earmarking/ allocation of funds for SCSP and TSP.

There are few negative implications as the Subsidy became part of Pragatipaddu which was earlier under Non Plan. For example in Telangana (3) of the following schemes are included under Special Development Fund (Pragatipaddu of Scheduled tribes).

S.No	Scheme	Department	BE (In lakh)	% in Total STSDF
1	Debt Relief	Agriculture	385.90	4.72
2	Agricultural Power Subsidy	TRANSCO	405.88	4.97
3	Rice Subsidy	Civil Supplies	245.16	3.00
	Total		1036.94	12.69

Due to the above situation carry forward/compensation will not arise. The (3) Schemes amount to Rs.1036.94 Cr (12.69% of BE)

5. Tribal Sub Plan-Pending Agenda

The Act facilitates for the establishment of the institutional mechanisms as precursors for the effective implementation. Some of the pending agenda yet to be put in place are as follows.

Administrative Support Units: The implementation of Tribal Sub Plan involves inter-sectoral coordination and scrutiny of Action Plans submitted to the Nodal Department by various line departments which requires a unit to support as the volume of work could

not be attended in a time bound fashion by the regular administrative setup. Unless the support units at various levels like secretariat, Commissionerate, District and Sub-district levels are established along with similar setup in key line departments the efficacy of implementation could not be ensured.

Technical support units: The Technical support units are to be staffed by the experts like Geographic information system (GIS) Specialists for mapping the data and identifying the core areas of concentration and the experts in Management information system (MIS) for statistical analysis of volumes of data.

Research centre: A full-fledged independent research centre with adequate staff and financial provision for periodical field studies shall be in place. The gap analysis in various socio-economic and Human Development indices and time scale series for evaluation of progress made shall be taken up. Further, the perspective plan with clear vision and milestones and resources to be accrued from various sources shall be prepared for achievement of the time bound progress.

Awareness Programmes: The Information and Public relations department shall create awareness among the stakeholders on various institutional mechanisms for effective community participation. The various media and for a may be made use of.

Social audit: The mandated annual social audit process shall be executed to know the community's perception and feedback of implementation of the Tribal sub plan. Further the reputed agencies and Non-Governmental bodies involved in socio-economic research may take up independent evaluation of the ongoing schemes and suggest innovative inputs based on their field research.

6. Summary

Tribal Sub plan (TSP) is strategy for proportionate allocation of funds aimed at area development of the ST predominant population. Over the years it evolved with institutional mechanisms brought into the force for effective implementation through the guidelines issued by the Planning Commission from 1974-2010. There after the States took proactive measures in bringing out the statutory Tribal Sub Plan Acts. The Sub Plan Act of Andhra Pradesh has been a model and has influenced other states to adopt it with minor variations. Later on from the financial year 2017-18 there has been a paradigm shift in budgeting pattern from Plan- Non plan budgeting to Capital-Revenue type. This has done away with the plan and subsequently sub plan. In the Post planning stage, Niti Aayog's role in identification of proper indicators for gap analysis and strategies to achieve sustainable development goals have envisioned the perspective plans for the effective implementation of schemes under ST Component and special development fund (SDF).

7. Recapitulation

- What are the objectives of TSP strategy?
- What are the salient guidelines of planning commission from 1974-2010?
- List the institutional mechanisms and statutory Acts by states from 2013-14.
- Examine the paradigm shift from Plan- Non plan budgeting to Capital-Revenue type.

- How Telangana State is pioneer in bringing the Special Development fund Act?
- What is NITI Aayog's role in post plan stage?
- What are the provisions made for non-lapsability and non divertibility?
- Examine the 2022 development Strategy of Government of India.

8. Key Terms

Planning Commission, Tribal Sub Plan (TSP), Special component Plan (SCP), Human Development Indices (HDIs), National Institution for Transforming India (NITI) Aayog, Millennium Development Goals (MDGs), Sustainable development Goals (SDGs), Pragatipaddu, Nirvahanapaddu, Social Sector, Economic Sector, General Sector, Centrally Sponsored State Plan Schemes (CASPS).

9. Activity

Different strategies were evolved for area development and beneficiary oriented schemes over a period of time. The Integrated Tribal Development areas (ITDAs) and Integrated Tribal Development Projects (ITDPs), the Modified Area Development Approach (MADA) and Tribal Clusters are some of such strategies.

- Why do you think are the Human development indices (HDIs) of Scheduled Tribes (STs) are still lagging behind?
- What do you think of current role of Tribes Advisory Council (TAC) and is there any need to relook its role in the changes scenario of Tribal Sub Plan (TSP)

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4

Inter-Sectoral Coordination of Welfare Activities: Needs and Challenges

“... Inter-sectoral co-ordination is likely to lead to more effective public policies due to enhanced governance knowledge, mutual learning, reduced risk of deadlock in decision making, avoidance of unintended side-effects and the prevention of implementation resistance. Furthermore, inter-sectoral co-ordination may gain from transparent and participatory procedures in terms of more obvious legitimacy” (Hogl 2002:2).

Source :

Hogl, Karl 2002 Background Paper on Inter- Sectoral Co-ordination. Contribution to COST- Action E-19. National Forest Programmes in European Context.

<http://www.metla.fi/eu/cost/e19/hogl1.pdf> accessed on 5.4.2018

- *Is the above statement true in the context of tribal development in India?*
- *How do you think inter-sectoral co-ordination would be improved in the present state of affairs?*

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1. Introduction

The Scheduled Castes and Scheduled Tribes constitute 25 % of the total population of India. Within the states of Andhra Pradesh and Telangana too the proportion of Scheduled Castes and Scheduled Tribes population together is nearly a quarter of the total population of the states. For the nation to progress it is very much necessary to act in a coherent way by including these populations in the process of development. This requires meaningful coordination among government departments and schemes that will fuel to increase the momentum of development process. The dearth of funds necessitates the convergence of efforts and schemes. Further, the convergence also gives the scope for faster achievement of intended objectives. Hence, there is a need for inter sectoral coordination. Though over a period of time the same is being attempted there are few challenges which needs to be addressed. The current chapter deals with them.

2. Learning Objectives

To understand the following:

- (1) Understand the need for optimal utilization of the funds allocated
- (2) Recognize the challenges in inter sectoral coordination
- (3) Identify corrective measures

3. The Issues of Inter-Sectoral Coordination of Welfare Activities

The schemes that are targeted for the marginalized communities needs to be transformed from the welfare schemes to the development oriented schemes. The welfare schemes mostly pertain to the social sector are more of the nature of the subsidies and pensions where as the development schemes pertain to the economic sector that aims the social development and economic empowerment of the communities.

There is a need to design a perspective plan with clear goals and milestones to bridge the developmental gap. The development of a perspective plan requires a concerted effort of all the line departments and convergence of the schemes of State Government and Government of India and also a collaborative effort between various academic and research institutions working in the areas of similar domain.

This necessitates the inter-sectoral coordination for the following objectives.

3.1. Optimal utilization of financial resources

The Government of India often indicates that the funds of the Centre shall be used for bridging the gap of funds, and that they shall be complementary to the state government initiatives. Accordingly although there are few schemes which are completely funded by the Centre, for many of the Government of India Schemes there is a matching share to be released by the State in various ratios. Hence, for the optimal utilization of resources there shall be a mechanism for the coordination. The resources need to be tapped from the appropriate sources and the guidelines that fulfill the criterion need to be properly studied so as to make the schemes fit and dovetail them into the State schemes.

For instance in the State of Telangana, the state flagship schemes like mission Bhageeratha is converged with National Rural Drinking Water Programme (NRDWP) scheme, Two Bed room Houses scheme is converged with the Prime Ministers Awas Yojana (PMAY) Scheme and crop loan waiver with Pradhan Mantri Fasal Bima Yojana (PMFBY).

Some of the schemes of Government of India which can be converged with the State Sector schemes are like Paramparagat Krishi Vikas Yojana, Mahila kisan shashaktikaran pariyoana, Gramin Bhandaran Yojana in Agricultural Sector, Prarambik Shiksha Kosh(PSK), Innovation in Science Pursuit for Inspired Research (INSPIRE), National Scheme for Incentive to Girl Child for Secondary Education, Kasturiba Gandhi Balika Vidyalaya (KGBV),Kishore Vignanik Protashan Yojana, Massive Open Online Courses (MOOC)s, Unnat Bharat Abhiyan, Uccharat Avishkar Abhiyan,National Innovation Foundation, Support to Vas/SRCs/Institutions for Adult Education and Skill Development in Education Sector, Rajiv Gandhi Swasthya Bima yojana,PM Bharatiya Janaushadi Kendra, Central Govt Health Scheme National Mental Health Programme, National Programme for Health care of Elderly, National programme for Prevention and Control of cancer, Diabetes, Cardiovascular diseases and stroke in Health Sector, Atal Pesnison Yojana, Pradhan Mantri Adarsh Gram Yojana,Suraksha Bima, Jeevan Jyothi,Jan Dhan, Swabimhan, Swawalamban in Rural Development Sector and PM Kaushal Vikas Yojana, National Board of Skill Certification, National career service (NCS), ASPIRE, LESS in youth empowerment.

3.2. Expert domain knowledge

There are multitude of scientific institutions, Non-Governmental Organizations and academic institutions which are working in their domains. Each has been independently operating where by the duplication and under coverage of the gap is evident. The expertise and advances in science and technology in respective fields have to be transmitted to the line departments executing the welfare and development schemes. In this context a memorandum of understanding (MoU) can be signed with various state of the art institutions in the state to develop strategies for the convergence of state and central schemes, help implementation of the schemes by the state government, monitor and evaluate the same for further development of the scheme.

The Department of Tribal welfare in Telangana has been instrumental in coordinating with Indian Institute of Technology-Hyderabad (IITH) for creating a digital platform of “ST Job Portal” to bring together the job providers and job seekers. Similarly the services of the National Bank for Agriculture and Rural Development (NABARD) and Society for Elimination of Rural Poverty (SERP) are engaged in forming the Farmers and Producers Organizations (FPOs) and a Memorandum of Understanding with International Crop Research Institute for Semi Arid Tropics (ICRISAT) for the Exposure Visits of Tribal Farmers.

Some of the institutions of repute whose services can be utilized are like Central Research Institute of Dry land Agriculture(CRIDA),Krishi Vignan Kendra(KVK)s, National Institute of Agricultural Research and Management(NAARM), National Institute of Agricultural Extension and Management (MANAGE), Central Institute of Medicinal and Aromatic Plants (CIMAP), National bank for Agriculture and Rural Development (NABARD), Indian Immunological Limited (IIL), National Research Centre on Meat

(NRCM) Tata Institute of Fundamental Research (TIFR) Indian Space Research Organisation (ISRO) Telangana Satellite Resource Applications Centre (TSRAC) in agriculture, animal husbandry and fisheries sector, National University of Educational Planning and Administration (NUEPA), State Institute of Educational Management and Training (SIEMAT), University Grants Commission(UGC),Academic staff colleges Indira Gandhi National Open University(IGNOU), BR Ambedkar Open University (BRAOU) Advanced Training Institute(ATI) of Ministry of Skill Development, Government of India, International Institute of Information Technology (IIIT-H), Indian Institute of Technology-Hyderabad (IITH), University of Hyderabad, English and Foreign Languages University (EFLU), Maulana Azad National Urdu University (MANNU) in Education Sector, Indian Institute of Health Research (IIHR), Public Health Foundation of India(PHFI), Central Institute of Medicinal and Aromatic Plants (CIMAP) National Institute of Pharmaceutical Education and Research (NIPER) Ronald Ross Institute of Tropical Diseases in Health Sector, National Academy of Construction(NAC) Water and Land Management Training and Research Institute (WALANTARI), Central Power Research Institute(CPRI) in Infrastructure Sector.

3.3. Operational ease and coordination

The design and development of schemes is a continuous process. Over a period of time new schemes and programmes emerge with an incremental shift from the existing ones so as to increase the potentiality and productivity of the scheme. The needs of the beneficiaries too evolve when the basic needs are met. The raise in the quality of living demands for the further requirement of the productivity. At times as per the new legislative Acts, new schemes are designed and the old ones are revamped. The convergence approach facilitates the evolution of the schemes to its optimum potential.

For instance, the Government of India has enacted the Recognition of Forest Rights (RoFR) Act in 2005 where in the traditional forest dwellers were entitled with the individual and community rights over forests. The initial aim is to give rights over the land and forest based resources which were pivotal for the livelihood of the forest dwellers who were inhabiting the forests since times immemorial. In both Andhra Pradesh and Telangana States , the convergence of RoFR with the schemes of Horticulture Department ensured the productive usage of the land and the convergence with Panchayat Raj Department has ensured the land development for higher productivity.

The convergence of various schemes facilitates the multipronged approach for the development. Atleast one scheme in sector shall be planned with convergence. The schemes potential for convergence are like Prandhan Mantri Krishi Sinchay Yojana (PMKSY), Mahathma Gandhi National Rural Employment Guarantee Scheme (MGNREGS).

4. Challenges of Inter- Sectoral Coordination of Welfare Activities

a) Coordination

Most often the schemes of the similar nature are being implemented by the various line departments of the state government. However different criterion and guidelines exist making it difficult for convergence. The information is opaque so as to explore the

possibilities of the convergence. Further the lack of coordination between the departments executing the civil and infrastructure works and the departments implementing beneficiary oriented schemes due to the variance of nature of execution too hampers the efforts. There is a lack of awareness and coordination equally at higher level and field level functionaries.

For instance, in Telangana State, The scheme of interest free loans is executed by Agriculture, Rural Development and Industries Departments. Similarly the Skill Development Programmes are implemented by the Rural Development, Tribal Welfare and Employment and Training Department. Each of these schemes has though different target beneficiaries, the funds could be pooled from different resources and used ensuring non-duplication.

b) Uncertainty of Funds from Government of India

The Government of India mandates to implement the schemes as per the scheme specific guidelines but certain criterion do not fit to the local requirement and hence the state government is not in position to execute the scheme. Even in case of implementation of the scheme, the funds are often released at the fag end of the financial year and the non-release of the states matching share curtails the execution. This affects the succeeding year's allocation as the states often could not submit utilization certificates of the preceding year. In few cases the guidelines are not even issued though the notional allocations are made for the scheme.

The notional allocations made for the schemes like Smart Cities and Atal Mission for Rejuvenation and Urban Transformation (AMRUT) under centrally sponsored schemes by proportionate earmarking of funds could not accrue any benefits to scheduled tribes (STs) as the scope for utilization of funds for STs in urban areas is limited. Similarly for schemes like social security scheme for unorganized workers the guidelines for the constitution of welfare board are still awaited.

c) Absence of the Baseline Data

In a welfare state there is an ever increasing demand for the quantity and quality of services. The Government allocates the funds based on the prioritisation of certain criteria. But the absence of authentic baseline data depicting the status of Human Development and Socio Economic Indices of various tribal communities in the state and across various districts also curtails the possibility of the rational investment across the sectors.

The basic indicators for evaluation of economic empowerment include ST Farmers, ST Land Holdings, ST Agricultural labour, RoFR Individual and Community Titles, Livestock Population owned by STs, ST Fisherman, ST Fisherman societies, ST Membership in Cooperative Societies, Forest Area, Sanctuaries in Scheduled areas, Forest Villages in Agriculture and allied sectors.

Similarly some of the indicators depicting the trends of socio economic development like ST Children in School Going Age group, Schools in Tribal areas/Agency areas, Kasturiba Gandhi Balika Vidyalayas(KGBVs) in Tribal Areas, ST Teachers, ST Enrolment and Drop out ratios, ST Students in College Going Age group, Group wise ST Students (Bi.P.C,M.P.C), Stream wise ST Students in vocational and professional courses, Trade wise ST Students, ST Students studying in IITs, IIITs, Medical Colleges etc, Adult Illiteracy

rate of STs, Gender Gap between ST Students in Higher Education and Universities, Research Institutes, ST Fellowship holders etc, in Education sector are not readily available with the state government.

Regarding Health sector indicators like, the ST Infant Mortality Ratio, ST Maternal Mortality Ratio, ST Under 5 (U5) Mortality Ratio, ST Traditional Healers, Traditional Dais, Inventory of Medicinal Herbs used by STs, ST Arogyasree beneficiaries, STs with Acute/Chronic diseases. PHCs and CHCs in tribal areas, Vicinity of PHC/CHC to ST Habitations, ST Women Anaemic and under nutritional, Pregnant and Lactating Women, ST Disabled (Visually Handicapped, Orthopedically Handicapped and Hearing impaired, Paraplegic) are required in assessing the need.

The infrastructure availability like Unconnected ST Habitations, Road length in Scheduled areas, ST Ayacutdars, Tanks in ST Habitations, Availability of safe drinking water to ST Households, Un-electrified ST Habitations, ST Habitations with 3 Phase connectivity, No of Forest Villages, Hill top villages, Roof area of Institutions, ST Landholdings requiring borewells, ST Bore-wells requiring energization, ST Grampanchayats, villages with a range of 40%-100% ST Population, Habitations with a range of 40%-100% ST Population are some of the indicators. Other such indicators include Telephone connectivity in scheduled areas, Mobile connectivity, Videoconferencing facilities in Scheduled areas etc., could be resourceful but the data are not available.

5. Suggestive Measures

a) Bottom Up Planning

The size of the budget is based on the estimated revenues and the projected income of the state so as to support the socio-economic initiatives in the state. Hence planning is often based on the macro projections based on the socio economic surveys which lead to the top down approach. But the participatory planning approach will enable the stakeholders to explore the strategies for convergence from the micro level. The consideration for the felt needs will help in evaluation of relative strengths of each of the strategies. Thus, there is a need for convergence of macro and micro strategies.

The Telangana Government's initiative of "*mana vooru mana pranalika*" facilitated decentralized planning and prioritization of the same at the district level. This in a way help planning from the bottom. The allocation of a percentage of budgets to the Gram panchayats as in the case of the Maharashtra Model also contributes to the bottom up and decentralized planning.

b) Perspective Plan

A perspective plan can be developed with clear indicators and milestones. The possible source of funds can be estimated. The Government of India's sustainable development goals (SDGs) which are customized from the United Nations Millenium Developemnt Goals (UN MDGs) with clear targets of physical outcome could ensure the pace and direction of the outcome.

The Government of Telangana's Vision for "*Bangaru Telangana*" and Government of Andhra Pradesh vision of "*Swarnandra Pradesh*" is an attempt to selectively achieve the targets and to improve the Socio-Economic Human Development Indices (HDI) of the

state within a time frame. The provision of uninterrupted electric supply for agriculture is one such attempt in the recent past in Telangana.

c) Model Villages

A comprehensive plan with the overall development of the villages/habitations for demonstration effect can be made. The components like Open Defecation Free(ODF) habitations, Individual House Hold Latrines (IHHLs), Self Help Groups(SHG), Farmers Producers Organizations (FPOs), Economic Support Schemes, etc., can be coherently devised so as to develop the model villages or colonies which could instill similar approach amongst other habitations.

The following are some of the case studies that reveal the inter-sectoral convergence in Andhra Pradesh and Telangana states. From these cases, several others can be developed for the development of the Scheduled Tribes in the state.

d) Mission Kakatiya

Mission Kakatiya is one of the flagship programmes taken up by the Government of Telangana in a prestigious way to rejuvenate the tank based irrigation in Telangana state. In order to ensure inter-departmental coordination for Mission Kakatiya at the district level, the Government have constituted the District Level Implementation, Monitoring and Evaluation Committee with District Collector as chairman, Superintending Engineer (MI) as member convener and sectoral officers of line departments as members. District level committee meets once a week during the working season and once a month during the rest of the year where in the tank wise progress of implementation of the works will be reviewed, and any problems encountered in implementation of the programme will be discussed and resolved.

Though the Irrigation & CAD department is the chief implementing department the engineers of the department at all the levels will be in constant touch with the officials of the line departments to have better coordination.

The Agriculture Department carries out the tasks like collection of samples of silt to test its suitability for application in agriculture fields and publicizing to utilize tank bed silt by farmers. Further the farmers will be motivated for efficient use of available water through change in irrigation system and improved water management techniques, raising productivity of farms through suitable cropping pattern and increased cropping intensity, balanced use of chemical fertilizers and judicious use of plant protection chemicals. Reduction of cultivation cost through introduction of improved implements and equipment and Introduction of high-tech agriculture to increase the farm returns.

The Rural Development department converges various other programmes being implemented, with the Mission Kakatiya and coordinates with other line departments whenever and wherever necessary.

Forest department takes role for effective utilization of tank foreshore areas in selected locations through afforestation. It has been given responsibility of raising nurseries and plantations wherever necessary, undertaking training programmes for maintenance and cultural operations. Planting Silver Oak and Toddy (Eetha) trees around the tank

boundaries for reducing silt inflow into the tank, and creating an additional, sustainable income source for the tank community.

The Fisheries department attempts to increase the productivity in aquaculture by upgrading production practices through improved stocking, use of improved feeding, management and harvesting techniques and Intensive fish and prawn cultivation.

The Revenue Department identifies the *shikam* lands, determines/demarks the FTL of tank, and identifies the government waste lands for dumping the unproductive soil and liaisons with Irrigation department for removing illegal constructions in tank bed.

The ground water department regularly monitors the groundwater levels and quality of groundwater and supply list of over exploited villages to the district Superintending Engineers/Executive Engineers.

The I&PR Department creates awareness on the benefits of restoration of the tanks by using different types of media and organizing IEC activities like street plays, *kalajathas*, wall writings, developing pamphlets and involving rural folklore like Chindu, Voggukathalu etc., motivates the farmers to utilize the useful silt excavated out of the tanks in their agriculture fields at their cost, by explaining the benefits that come out of it. It organizes essay and elocution competitions for the students on the topic “tanks and their restoration”, in coordination with the education department, at school, Mandal and District levels and award prizes to the winners to encourage them in motivating their parents. It also involves NCC, NSS, Guides and Scouts and Nehru Yuva Kendras etc., in propagating the benefits of the programme and Involves Public Representatives and SHGs in the programme.

e) Bangaruthalli

It is a scheme meant to take care of the girl child in every household from her birth till she completes her graduation there by addressing the infant mortality and institutional child birth, contributing to the girl child protection and ultimately womens empowerment. If a woman gives birth to a baby girl, Rs 2,500 will be deposited into her account and another Rs 1000 will be given for the first 2 years at the time of immunization. Further Rs 1,500 will be given every year to the family through Anganwadis till the baby attains the age of 5 years from 3rd year onwards. At the time of admission to primary school, Rs 2,000 will be given every year for her studies from the first to the fifth standard, and Rs 2,500 from sixth to eighth standard, Rs 3,000 for ninth and tenth standard. For the girl's study of Intermediate course, she will be given Rs 3,500 each year, and Rs 4,000 a year during her graduation. The scheme is supposed to enhance the social status of the Girl Child and delay her age of marriage. To incentivize institutional delivery, registration of birth, immunization the convergence between health and family welfare, women development and child welfare, school education etc., are facilitated.

f) Maarpu

Similar attempt is made through the convergence programme of MAARPU(change) which signifies the convergence efforts by Health, Women Development & Child Welfare, Panchayat Raj and Rural Development Departments, working along with the Self Help Groups(SHG) and their federations, to bring about a quick decline in the Infant Mortality Rate(IMR), Maternal Mortality Rate(MMR) and Malnutrition in the State.

Maarpu involves focus on the 20 identified key interventions which include Early Registration of Pregnancy, Ante Natal Checkups; Maternal Nutrition; Identification of high-risk pregnancies; Birth Planning; Institutional Delivery; Early initiation of breast feeding; Exclusive breast feeding for six months; Post Natal Care and Newborn Care; Immunization; Growth Monitoring; Complementary feeding and Child Nutrition; Management of ARI& Diarrhea; Strengthening of referral system; Family Planning; Maternal and infant Death Reviews; Sanitation & Hygiene; Age at marriage; Adolescent Girls and Gender Sensitization.

There are mechanisms existing in various levels for the inter-sectoral planning and convergence like that of the following at various levels. Some of them are:

State Level: Two Committees one under the Chairmanship of Chief Minister with Group of Ministers as members i.e, the State Council for development of Scheduled castes and Scheduled Tribes and the second, the Nodal agencies for Tribal Development and Scheduled castes development under the chairmanships of Minister for tribal welfare and social welfare respectively with the secretaries of the key line departments as members are existing. The periodical meetings along with the follow up of resolutions taken up for coordination of activities for implementation of schemes will ensure the intended results.

District Level: The Governing Body meetings of ITDAs is a platform for the interface between the field level issues brought into the notice of the officers of various line departments where in the project officer as part of the single line administration coordinates with the sectoral officers and the addresses the issues. The efficiency of the intersectoral coordination is pivotal for the area development envisaged by the TSP strategy.

Further the District level Monitoring Committees of TSP chaired by the District collector and convened by the Project Officers in ITDAs and District Officers of Tribal and social welfare in Non-ITDAs is a mechanism for planning the socio economic development and infrastructural needs and coordinating the implementation from time to time. If the mandated frequency of meetings is ensured the coordination will yield positive results. The bankers committee meetings held under the chairmanship of the District Collector will be a platform to discuss the implementation of the Economic Support schemes and livelihood scheme implemented by various Agriculture and allied departments.

Local Level Committees: In addition the local level committees of various kinds are facilitated of which Hostel Advisory Committees with periodical parents and teachers committee meetings, Hospital advisory committees in the name of Rogi Kalyan Samithis for the welfare of the patients as prescribed under National Health Mission, The village health and sanitation committee meetings, Mother and child care and nutrition counseling's will facilitate the inter-sectoral coordination at various levels.

6. Summary

The social development and economic empowerment are the twin objectives of any welfare state. As the society progresses new needs emerge and revised targets are framed by the State. Though the outcome is not entirely based on quantification of the progress, the indicators with quantifiable units could help in prudential investment of scarce resources. Further as the welfare and development always go hand in hand there is a need for convergence between various schemes and coordination between various sectors. Various

institutions have achieved expertise in specific domains and for effective convergence the same needs to be incorporated which will yield intended benefits. The article highlights the indicators for concentration and schemes with scope for convergence with some of the case studies. Further the potential of existing institutional mechanisms for effective coordination are also dealt.

7. Recapitulation

- What are the objectives of intersectoral coordination?
- What are the challenges of intersectoral coordination?
- What are the suggestions of improved intersectoral coordination?

8. Key Terms

Indicators, Base line data, Human Development Indices (HDIs), National Institution for transforming India (NITI) Aayog, Millennium Development Goals (MDGs), Sustainable development Goals (SDGs), Pragatipaddu, Nirvahanapaddu, Social Sector, Economic Sector, General Sector, Centrally Sponsored State Plan Schemes (CASPS), Rural Infrastructure Development Fund (RIDF), Non divisible component, Nodal Department.

9. Activity

Social sector schemes aimed at improving the Human Development Indices are implemented by the line departments of Education and Health. Economic Sector schemes for poverty alleviation and Economic empowerment are implemented by line departments like Agriculture, Animal Husbandry etc., General sector schemes like that of Law Department and Home Department indirectly assist in effective implementation of the plan. Can we consider these sectors as complimentary to each other or should any one of these sectors be given prominence over others?

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Web links:

<http://pmksy.gov.in/AboutPMKSY.aspx>

<http://mhrd.gov.in/convergence-central-skill-development-schemesprogrammes>

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5

PESA (Panchayats Extension to Scheduled V Areas) Act and Its Implementation

“PESA Act, as several studies indicate, has not been properly implemented. Important problem identified is “PESA in its application in the legal space as applicable in the States requires the examination of which central and state laws that this would impinge on and to what extent these have been harmonized. Needless to say, PESA provisions does not have an independent existence as it is embedded within the subject laws under the union list, concurrent list, the State Panchayat Raj laws and the subject laws under the State list” (Bijoy 2012: 39).

Source:

Bijoy C. R. 2012 Policy brief on Panchayat Raj (Extension to Scheduled Areas) Act of 1996. UNDP. <http://www.undp.org/content/dam/india/docs/UNDP-Policy-Brief-on-PESA.pdf>

- *Why do you think that PESA Act has not been implemented effectively other than the above reason?*
- *Why do you think the tribal leaders are not able to get the PESA implemented for it immensely benefits the tribal community?*

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1. Introduction

The Constitution provides for two protections for tribes i.e., the non-tribes cannot purchase lands in scheduled areas and regulation of money lending. There is also special provision in the constitution in which governance of the scheduled area comes under the governor of each state and the governor is to submit the report of the area to the president of India annually. Subsequently the seventy-third amendment provided for uniform framework of Panchayat administration with provision for exclusive Panchayat administration in the V Schedule area keeping in view of the protection of tribal culture and traditional governance among themselves. PESA is meant to integrate tribal governance with the modern local administration. It extends the same constitutional provision like protection of tribal lands and regulation of money lending by Gram Sabha.

2. Learning Objectives

- (1) To develop understanding of the emergence of PESA as new governance structure in scheduled area; and
- (2) To elaborate on the various provisions and status of implementation in the ten scheduled area states particularly Andhra Pradesh

3. Constitutional Provisions for Scheduled Area

The annexure of the article 244(1) of the Constitution gives provisions as to control and administration of scheduled area and scheduled tribes. The main provisions are as follows: its area of applicability; Centre shall stay informed on administration of scheduled area through special report from governor annually; Centre may issue directions to the state regarding administration of scheduled areas; provision for a tribal advisory Council three fourths of which would be made of tribal legislators in that state; empowers Governor to acclimatize for scheduled areas, post facto and with retrospective effect (by amending or repealing), any act passed by the state legislature or parliament or any law; either through public notification or through fresh regulations for peace and good governance of such areas; though for such regulations TAC is to be consulted before their making and President must assent before application; empowers the President to declare, diminish, decrease, increase or redefine, Scheduled Areas; In consultation with respective Governor in last two cases; and provides that even simple majority in the parliament can amend the fifth schedule. However, mostly tribal councils are ineffective in advising the governments. They are not active in intervening in preventing laws and their implementation like forest and mining laws which are detrimental to tribes and their interest. Periodical reports of Governors of scheduled area to the President of India are hardly sent and in effect the President of India cannot effectively act in protecting tribes from unfair laws and actions of state governments.

4. 73rd Amendment and its Extension to Scheduled Areas

Article 40 of the constitution says that state shall organize Panchayats for the purpose of the administration below state level. After years of experience of the states having poorly organized local administration, it was felt that the structure of Panchayats their functions and powers and finances should be made permanent across all the states barring exceptions.

Accordingly 73rd amendment was passed in 1992 with the provisions for three tier structure, regular elections, state finance commission, reservation for SCs and women and list of 29 powers and functions to be assigned to Panchayats. This amendment is with the exception, under section 243M (4), it shall be extended to scheduled area. After deliberations, Bhuria Committee was appointed to look into draw a scheme of administration in scheduled areas.

5. Bhuria Committee and PESA

Bhuria committee felt that customary law, traditional practices, community ethos should pervade whatever politico- legal-administrative structures are brought into being in Scheduled and Tribal Areas. In fact, the makeup of these structures should be imbued with mode of living, organisation, cultural mores etc., of tribal community. A second important facet, the committee felt, should aim at combating and preventing exploitation and building up political, economic, social, moral strength of these communities.

The Committee spelt out a few basic premises, which it considered them as important before setting out legal framework. These are as follows:

- **The scheme should pre-eminently be related to participative democracy**, particularly at the grass-root tiers. Autonomy for institutions under contemplation at the grassroots and district levels should **bear a living relationship with the self – management practices which have been in vogue in tribal areas. The autonomy should be non-manipulable.**
- The Gaon Sabha or the Gram Sabha at the hamlet/village level should exercise the different functions as traditionally prescribed. **More specifically, management of land, forest, water, air etc., resources should be vested with it.** This right should be deemed as axiomatic in functioning of Gram Panchayat, intermediate panchayat and district councils, and also where necessary to be woven into regulations, laws etc. we would like to emphasis harmonious inter play of forces at different tiers.
- Gram Sabha unit as contemplated by the committee was that there may be a Gram Sabha for a hamlet, or a group of hamlets or a village, as the case may be, in a tribal area. It comprises a face-to-face community managing its affairs in accordance with well established traditions and customs. The customary code and procedures should not be disturbed. A hamlet/village comprising a community in a tribal area must be distinguished from a revenue village, which is more an administrative entity. It should be clearly understood that in tribal areas hamlets are more common than big villages.
- The committee further felt that the village community that is at the level of Gram Sabha, should have the responsibility of safeguarding the right of tribal in matters relating to land, water, forest, minor forest produce etc. they should be vested with power to regulate and use community land, forest, water, air and other natural resources, local schools, dispensaries, roads, ferries, market etc. Government serving in the respective Panchayats should be under their control. The right to mineral leases should be vested in favour of the community.
- Bhuria committee has given primacy to Gram Sabha in the legal framework which is envisaged based on the understanding of the political, social and economical situation prevailing in Scheduled V areas. However, all the recommendations could not find

their place in PESA was enacted in the central act of 40 of 1996. Further discretionary provisions led to inordinate delay in implementation of PESA in most of the state governments and, as mentioned in the beginning that, no state government could reach the stage of full decentralization based on PESA.

6. PESA – Major Provisions

The following provisions in PESA Act of 1996 changes the way the panchayats in non-scheduled area conceived and operated. Section 4 of PESA is firm in saying that the Legislature of a State shall not make any law under that Part which is inconsistent with any of the following features, namely:

- (a) a State legislation on the Panchayats that may be made shall be in consonance with the customary law, social and religious practices and traditional management practices of community resources;
- (b) a village shall ordinarily consist of habitation or a group of habitations or a hamlet or a group of hamlets comprising a community and managing its affairs in accordance with traditions and customs;
- (c) every village shall have a Gram Sabha consisting of persons whose names are included in the electoral rolls for the panchayat at the village level;
- (d) every Gram Sabha shall be competent to safeguard and preserve the traditions and customs of the people, their cultural identity, community resources and the customary mode of dispute resolution;
- (e) every Gram Sabha shall – (i) approve the plans, programmes and projects for social and economic development before such plans, programmes and projects are taken up for implementation by the Panchayat at the village level; (ii) be responsible for the identification or selection of persons as beneficiaries under the poverty alleviation and other programmes;
- (f) every Panchayat at the village level shall be required to obtain from the Gram Sabha a certification of utilization of funds by that Panchayat for the plans, programmes and projects referred to in clause (e);
- (g) the reservation of seats in the Scheduled Areas at every Panchayat shall be in proportion to the population of the communities in that Panchayat for whom reservation is sought to be given under Part IX of the Constitution;

Provided that the reservation for the Scheduled Tribes shall not be less than one-half of the total number of seats;

Provided further that all seats of Chairpersons of Panchayats at all levels shall be reserved for the Scheduled Tribes;

- (h) the State Government may nominate persons belonging to such Scheduled Tribes as have to representation in the Panchayat at the intermediate level or the Panchayat at the district level;

Provided that such nomination shall not exceed one-tenth of the total members to be elected in that Panchayat;

- (i) the Gram Sabha or the Panchayats at the appropriate level shall be consulted before making the acquisition of land in the Scheduled Areas for development projects and before re-settling or rehabilitating persons affected by such projects in the Scheduled Areas; the actual planning and implementation of the projects in the Scheduled Areas shall be coordinated at the State level;
- (j) planning and management of minor water bodies in the Scheduled Areas shall be entrusted to Panchayats at the appropriate level;
- (k) the recommendations of the Gram Sabha or the Panchayats at the appropriate level shall be made mandatory prior to grant of prospecting license or mining lease for minor minerals in the Scheduled Areas;
- (l) the prior recommendation of the Gram Sabha or the Panchayats at the appropriate level shall be made mandatory for grant of concession for the exploitation of minor minerals by auction;

PESA directs the states to endow Panchayats in the Scheduled Areas with such powers and authority as may be necessary to enable them to function as institutions of self-government. Further state legislature shall ensure that the Panchayats at the appropriate level and the Gram Sabha are endowed specifically with:

- i) the power to enforce prohibition or to regulate or restrict the sale and consumption of any intoxicant;
- ii) the ownership of minor forest produce;
- iii) the power to prevent alienation of land in the Scheduled Areas and to take appropriate action to restore any unlawfully alienated land of a Scheduled Tribe;
- iv) the power to manage village markets by whatever name called;
- v) the power to exercise control over money lending to the Scheduled Tribes;
- vi) the power to exercise control over institutions and functionaries in all social sectors;
- vii) the power to control over local plans and resources for such plans including tribal sub-plans;

It is categorical that the powers which can be exercised by Gram Sabha or village panchayats should not be given to higher tiers. To be sensitive to tribal, state legislature should endeavor to follow the pattern of the Sixth Schedule to the Constitution while designing the administrative arrangements in the Panchayats at district levels in the Scheduled Areas.

7. Status of Implementation of PESA

All the ten PESA states including Andhra Pradesh passed conformity Act but only Andhra Pradesh, Himachal Pradesh, Maharashtra and Rajasthan framed PESA rules. Perusal of these rules broadly suggests that they are not framed and implemented in the spirit of PESA. Firstly Gram Sabha was not formed as it is expected of PESA provisions except in case of Maharashtra. They are not formed through Gram Sabha resolutions based on the discussion of habitations or group of habitations among themselves. The reason is that if it is formed by people means it is indicating their identity of their village, boundaries and

their community resources. Secondly Gram Sabha was not conferred with powers which are mentioned in the act.

The following are the major observations regarding the implementation of PESA:

- When PESA is implemented, any law exist in the state in contravention with the provisions of law is null and void but the many state laws exist which contradicts PESA provision. It is very much true of forest laws regarding minor forest produce. According to PESA, ownership of minor forest produce vests with the Gram Sabha but many states do not follow the provisions.
- There is important provision in the PESA Act which says that **every Gram Sabha shall be competent to safeguard and preserve the traditions and customs of the people, their cultural identity and community resources and the customary mode of dispute resolution.** This is enabling provision in the constitution for tribals to protect their traditional mode of governance at village level. This is not understood in its correct perspective and spirit. It only strengthens the community and traditional governance of the tribal people. Though, they are practicing them earlier and now also, to make them aware of the constitutional recognition of their practices is big task.
- Another dimension of the implementation of PESA is conferring powers on Gram Sabha from the various departments like forest, revenue, exercise etc. But mostly states devolved powers on higher tiers or retained with the departments. But the idea of strengthening of Gram Sabha by PESA is lost in the process of framing rules and their implementation.
- In case of Andhra Pradesh, rules framed and notification issued through G.O. Ms. No dated 24-03-2011. Gram Sabha was formed in scheduled area of the state through notification by the Commissioner. But department circulars are mostly absent and the departments continue to follow the existing practices and modified to suit the interest of the departments.

8. Summary

The Constitution provides for two protections for tribals i.e. the non-tribals cannot purchase lands in scheduled area and regulation of money lending. There is also special provision in the constitution in which governance of the scheduled area comes under the governor of each state and the governor is to submit the report of the area to the President of India annually. 73rd Amendment paved the way for uniform structure of Panchayat with their functions, finances, regular elections etc., with the provision to extend it to scheduled area. Bhuria Committee was appointed to look into the developing suitable framework of governance in this area. After deliberations in the parliament, PESA Act 1996 came into force as part of 73rd constitutional amendment. All the ten PESA states including Andhra Pradesh passed conformity Act but only Andhra Pradesh, Himachal Pradesh, Maharashtra and Rajasthan framed PESA rules. Perusal of these rules broadly suggests that they are not framed and implemented in the spirit of PESA. The following are the major observations regarding the implementation of PESA:

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- When PESA is implemented, any law exist in the state in contravention with the provisions of law is null and void but the many state laws exist which contradicts PESA provision.
- There is enabling provision for the tribal communities in the PESA Act which says that every Gram Sabha shall be competent to safeguard and preserve the traditions and customs of the people, their cultural identity and community resources and the customary mode of dispute resolution.
- PESA is conferring powers on Gram Sabha from the various departments like forest, revenue, exercise etc. But mostly states devolved powers on higher tiers or retained with the departments.
- In case of Andhra Pradesh, rules framed and notification issued through G.O. Ms. No dated 24-03-2011. Gram Sabha was formed in scheduled area of the state through notification by the Commissioner. But department circulars as a follow up of rules are mostly absent and the departments continue to follow the existing practices.
- To make the rules effective departments circulars have to be sent and periodical assessment of the implementation of rules has to taken at all levels of administration. Any rule which is against the central acts and rules have to be withdrawn and rules in consonance with the PESA act have to be introduced. Apart from these activities, firstly, massive training exposure to be undertaken for all the members of Gram Sabha as basically PESA is governance from below and officials and elected members of the panchayats should be made sensitive to the new governance framework. Secondly, training on PESA act and the rules framed there under to be given to officials and elected representatives at all levels should be given, without these exercises, PESA will remain ineffective.

9. Recapitulation

- What are the Constitutional provisions for Scheduled Areas?
- What is the significance of 73rd Amendment and its extension to Scheduled Areas?
- What are the premises of Bhuria Committee?
- What are the major provisions under PESA?
- List the major observations in regard to the status of implementation of PESA.

10. Glossary

- **Community Resources:** Each tribal habitation is identified by the people of that habitations for time immemorial as their boundaries. The resources include forest, trees, hills, water sources and animals as their community resources.
- **Customary Mode of Dispute Resolutions:** Tribes have traditional method of solving their disputes counseled by elders. There are long established procedures for resolving disputes
- **Fifth Schedule:** The excluded area and partially excluded area before independence in central tribal areas are declared as fifth schedule. The Schedule permitted the states



to extend their executive power to the Scheduled Areas, and granted the Governor of each state the authority to “make regulations for the peace and good government of any area in a State which is for the time being a Scheduled Area.” The Governor was thus the “sole legislature for the Scheduled Areas and the Scheduled Tribes,” competent to make laws on all subjects enumerated in the Union, State, and Concurrent Lists of the Constitution. The Governor could also preclude the application of any federal or state law in the Fifth Schedule areas. Gubernatorial authority was “of a very wide nature” and subject to only two restrictions: (i) that the Governor would consult a Tribes Advisory Council “before making any regulation”; and, (ii) that all regulations would receive Presidential assent before taking effect.

- **Gram Sabha:** In PESA it is defined as assembly of people who are voters of the habitation.
- **Minor Forest Produce (MFP):** Earlier it was called non timber produce excluding wood and bamboo. Now bamboo is considered as grass not timber. MFP includes broom, mahua, tendu leaves, gum, honey, tamarind.
- **Scheduled Tribes:** The Constitution of India does not define Scheduled Tribes as such.

Article 366(25) refers to scheduled tribes as those communities who are scheduled in accordance with Article 342 of the Constitution. According to Article 342 of the Constitution, the Scheduled Tribes are the tribes or tribal communities or part of or groups within these tribes and tribal communities which have been declared as such by the President through a public notification. The essential characteristics of these communities are: Primitive traits, Geographical isolation, Distinct culture, Shy of contact with community at large and Economically backward.

- **Scheduled Area:** In Indian Constitution, scheduled area means such as area, President may by order declare to be Scheduled Areas. The President may at any time by order. (a) Direct that the whole or any specified part of a Scheduled Area shall cease to be a Scheduled Area or a part of such an area (b) Increase the area of any Scheduled Area in a State after consultation with the Governor of that State and (c) Alter, but only by way of rectification of boundaries, any Scheduled Area.
- **Tribal Advisory Council:** Each State having Scheduled Areas therein and, if the President so directs, also in any State having Scheduled Tribes but not Scheduled Areas therein, a Tribes Advisory Council consisting of not more than twenty members of whom, as nearly as may be, three-fourths shall be the representatives of the Scheduled Tribes in the Legislative Assembly of the State. There is provision in the fifth schedule to constitute a tribal advisory Council three fourths of which would be made of tribal legislators in that state to provide tribal perspective on governance.
- **Village Markets:** They are called shandies or weekly markets organized in different days of the week. Apart from selling of their products like vegetables, mahua flowers or other minor forest produce in these markets, tribes also purchase their household goods from outside merchants.

11. Activity

Student should start focusing on reading the literature on tribes and understanding their history, culture and traditional ways of life. Visiting the habitations of tribes and interacting with them to know their life, and their dependency on community resources will help in appreciating the necessity of PESA and its implementation.

12. Suggestions

- Rules of PESA should be framed in consonance with Central PESA Act and if there are contravening rules it should be modified for implementation of PESA in its true spirit.
- There is a need for massive training of Gram Sabha members on PESA as this act is mainly to provide information about PESA, developing skill of governance and change of attitude of Gram Sabha members.
- Other members of panchayat and officials involved in the implementation of PESA should be trained in tune with the primacy of Gram Sabha in the governance in the scheduled area.

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Source Book for Functionaries in Tribal Areas Volume 5 : Panchayat Raj and Development

As part of the MoU between CIPS and the Tribal Welfare Department, Government of Andhra Pradesh, Amaravati, CIPS has been requested to design a module for the functionaries working in the tribal areas of Andhra Pradesh. CIPS has collaborated with the Department of Anthropology, University of Hyderabad and brought out these modules.

The modules are designed as source books explaining the key concepts, information and reference material pertaining to important aspects of tribal life, culture, economy and various programmes taken up for their development and welfare. Each source book is expected to help the functionaries as self-learning material, equipping the functionaries with the basic concepts, theoretical framework and practical application of the principles concerning various aspects of governance in the tribal areas and of tribal development.

Prof. B.V. Sharma and Prof. N. Sudhakar Rao of Department of Anthropology, University of Hyderabad have edited this volume, assisted by Dr. K. Koteswara Rao, Post-Doctoral Fellow at the Department, under the overall guidance of Sri C. Achalender Reddy, Director, CIPS and his team.

