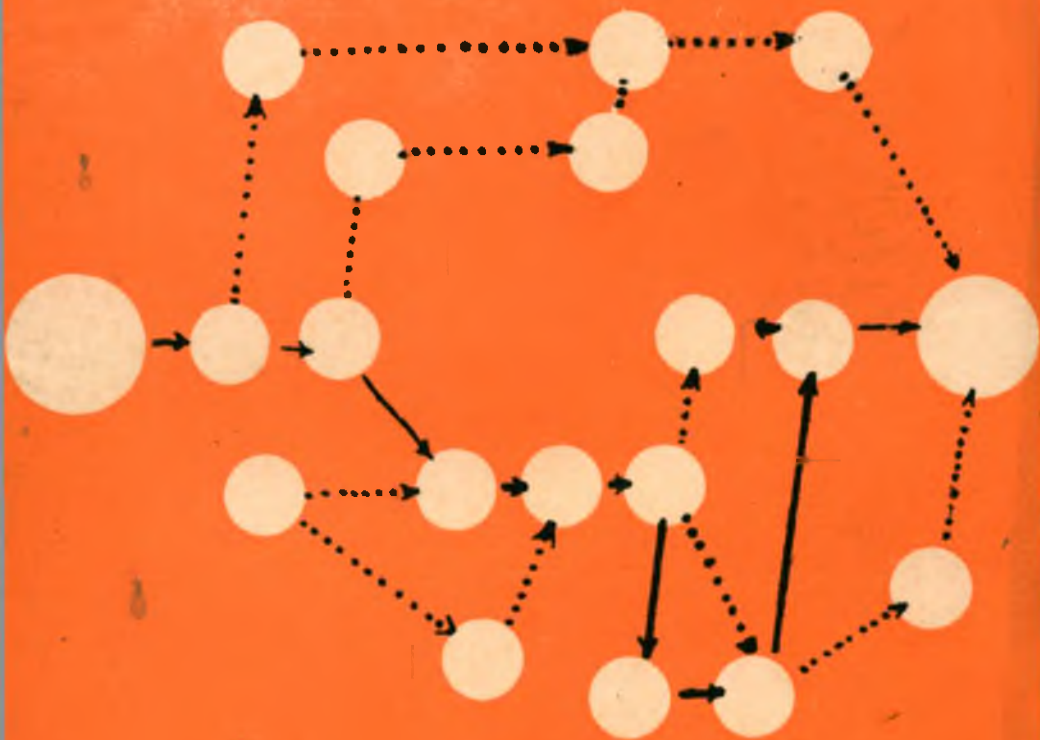




REPORT OF WORKING GROUP ON MONITORING & EVALUATION OF TRIBAL DEVELOPMENT AND DEVELOPMENT OF BACKWARD CLASSES



GOVERNMENT OF INDIA
MINISTRY OF HOME AFFAIRS
NEW DELHI



REPORT OF
WORKING GROUP ON
MONITORING AND EVALUATION OF
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DEVELOPMENT OF BACKWARD CLASSES

NEW DELHI
JULY 1979

GOVERNMENT OF INDIA
MINISTRY OF HOME AFFAIRS

FOREWORD

The Ministry of Home Affairs constituted a Working Group on Monitoring and Evaluation of Tribal Development and Development of Backward Classes sector in July, 1978. A copy of Government order constituting the Working Group is at Annexure I. The Working Group submitted its Report in July, 1979 and this has been accepted by the Ministry. The Report has been sent to the State Governments and Central Ministries for implementation, as seen from copies of letters at Annexures II and III, respectively.

2. The concept of the Tribal sub-Plans having been accepted in the Fifth Five Year Plan period by the concerned States, its operation is now our major preoccupation. It is difficult to admit that implementation has been placed on an even keel. The Special Component Plans of the Scheduled Castes have been grounded for more than a year. Between the concept and the reality lies a chasm, an awareness of which can be grasped through, *inter alia*, the instrument of monitoring and evaluation. The antennae have, therefore, to be strong and sensitive. They should be able to relay the fulfilment and the achievement against the objectives and the targets. The feedback should have an impact on decisions and policies, at whatever level, State or national, they are taken.

3. It is expected that with the implementation of the recommendations in the report, a forceful monitoring and evaluation system will be built up, as powerful and as sensitive as the nervous system in a human being. Such an apparatus is likely to lead to vigour in implementation of the socio-economic development programmes benefiting more effectively Scheduled Tribes and Scheduled Castes.

BHUPINDER SINGH

Joint Secretary

*Dated New Delhi-110001
the 18 February, 1980*

INTRODUCTION

The Ministry of Home Affairs, on the suggestion of the Planning Commission, constituted a Working Group on Monitoring and Evaluation of Tribal Development and Development of Backward Classes Sector in July, 1978. The terms of reference of the Working Group were as follows :—

- (i) To study the existing monitoring system in respect of Tribal Development and Development of Backward Classes Sector ; and
- (ii) to make suggestions for improvement in the system in the context of the rolling plan.

A copy of the Order constituting the Working Group is at Annexure I.

The Working Group in its meeting held in August, 1978 constituted a Sub-group under the Chairmanship of Shri U. K. Kohli, Chief, Monitoring and Information Division, Planning Commission with Dr. B. L. Rawat, Director, Monitoring and Information Division, Planning Commission, Dr. M. G. Sardana, Additional Director, Central Statistical Organisation, Miss K. Dutt, Joint Director, Planning Commission and Shri R. P. Garg, Dy. Director (BCD), Ministry of Home Affairs as members and Dr. P. S. K. Menon, Dy. Director, Ministry of Home Affairs (TD Division) as the Convenor. Later Shri B. N. Srivastava, Dy. Director replaced Shri R. P. Garg. The terms of reference of the Sub-group were as follows :—

- (i) What should be the channels of flow of information in individual sectors and in an integrated form from the lowest level to the highest level in the States and Central Ministries ;
- (ii) What should be the content of information flowing from one level to another in individual sectors and in an integrated form ; and
- (iii) Whether the existing monitoring agencies at different levels are strong enough or require strengthening.

The sub-group submitted its report in June 1979. The Sub-group's report was considered by the Working Group. After discussion, the Sub-group's report was adopted by the Working Group with some modifications.

2. The monitoring and evaluation system suggested in this Report, it may be noted, restricts itself to the tribal development programmes and the programmes for the Scheduled Castes. Although the Backward Classes Sector will, in its connotation, include Classes other than the Scheduled Castes and the Scheduled Tribes, there is no well laid down uniform development programmes obtaining in any State/the Centre. Also, the programmes for these Classes are of an extremely limited nature.

Present Position

3. Before suggesting a monitoring and evaluation system for the sector under consideration, it is felt, it would be useful to narrate in brief the on going developmental programmes for the development of the Scheduled Tribes and the Scheduled Castes. Tribal Development has claimed the special attention of the Union and State Governments, from the beginning of the plan era. The Constitution incorporates special provisions to ensure speedy development of the tribal areas, the tribal communities and the Scheduled Castes. In particular, Article 46 enjoins on the State the special responsibility of promotion with special care of the educational and economic interests of the weaker sections of the people and in particular, of the Scheduled Castes and the Scheduled Tribes, and protecting them from social injustice and all forms of exploitation. During the Fifth Five Year Plan period areas (the Development Blocks) with 50% or more tribal concentration were delineated and tribal sub-plans prepared for 18 States and Union Territories. The two main objectives of the tribal sub-plan are to narrow the gap between the levels of development of tribal areas and other areas and to improve the quality of life of the tribal community. The tribal sub-plan seeks to tackle the problems of the Scheduled Tribes and the tribal areas in an integrated manner. The tribal sub-plan areas is divided into 180 Integrated Tribal Development Projects. The Integrated Tribal Development Project is the operational unit for planning and is treated as the basic unit for adaptation of all sectoral programmes. The Integrated Tribal Development Project represents the total development effort in the project area and includes all programmes taken up in the region by various sectoral authorities.

4. It is envisaged that investment to the tribal sub-plan areas will flow from four sources viz., State Plan, Central Ministries/Departments, Special Central Assistance controlled by the Ministry of Home Affairs and Institutional Finance. It is reported that during the Fifth Plan period the total investment in the sub-plan areas was about Rs. 590.00 crores. It is estimated that the investment in the tribal sub-plan areas during the Medium Term Plan 1978-83 would be of the order of Rs. 3,000.00 crores comprising of about Rs. 1850.00 crores from State Plan, Rs. 500.00 crores from Central Ministries/Departments, Rs. 300.00 crores from Institutional Finance and Rs. 350.00 crores from Special Central Assistance. When investment of such a magnitude is to take place, it is imperative that a proper monitoring system too should be evolved.

5. In regard to the development of Scheduled Castes, greater emphasis was being placed during the Fifth Five Year Plan on the role of general sectors in providing the major thrust to their development. The resources and programmes in the Backward Classes Sector acted only as a catalytic agent and its supplementary role was recognised. It is well-known that the problems of the Scheduled Castes who constitute about 15 per cent of the total population of the country are different from those of the Scheduled Tribes who constitute another 7 per cent. In majority of cases, the Scheduled Castes live interspersed with other communities. The Planning Commission have issued detailed guidelines in regard to the development of the Scheduled Castes and Scheduled Tribes during the Sixth Five Year Plan (1978-83). It has been specifically brought to the notice of the State Governments and Central Ministries that special attention is to be given to the development of the Scheduled Castes and Scheduled Tribes under the Five Year Plan (1978-83) through (i) tribal sub-plans; and (ii) Special Component Plans for the Scheduled Castes. Funds available in the plans of the Centre and States for outlays under different schemes are required to be specifically directed to benefit these two disadvantaged groups of the population.

6. The Planning Commission have further informed the concerned authorities of the Centre and States that for the Scheduled Castes, it has been decided to prepare separate Special Component Plans and that it is necessary to identify schemes under each sector which have direct relevance to their development and to earmark funds for them out of the divisible pool of the plans in proportion to the population of the individual target groups. The guidelines of the Planning Commission also spell out

that Special Component Plans for the Scheduled Castes should contain adequate in-built mechanism of concurrent monitoring and evaluation. Also, the Central Ministries may extend necessary assistance to the State Governments in formulating suitable programmes benefiting the Scheduled Castes.

7. In short, the various programmes for development of Scheduled Castes and the Scheduled Tribes could thus, be broadly classified into following categories :—

- (a) Tribal sub-plan programmes in which there is an integration of sectoral efforts ;
- (b) Special Component Plan benefiting the Scheduled Castes ;
- (c) Other general programmes both in the Central and State sector where the Scheduled Castes and the Scheduled Tribes are also benefitted ; and
- (d) Programmes under the Backward Classes Sector.

8. The tribal sub-plan areas in the eighteen States and Union Territories have been divided into 180 Integrated Tribal Development Projects. The administrative unit is the Integrated Tribal Development Project with Project Officer, Project Administrator as head of the Project. The lowest unit of execution of programmes is the Block and the lowest functionary the village level worker or equivalent functionary. At the Integrated Tribal Development Project level all developmental programmes are required to be integrated and administered by the Project Officer.

Existing Monitoring Set-up

9. At present, the Project Administrator gets feedback from lower functionaries such as Block/Taluka Development Officers or the concerned District level officers. At the district level, a review is generally made periodically by the district level authorities. At the State level, the programmes are supervised/monitored by the respective heads of Departments and coordinated by the Tribal Development Commissioner. More or less, this general arrangement exists in most of the States.

10. As to the existing arrangements in the Central Ministries/ Departments, it is to be admitted that as yet no well set system has evolved although the Tribal Development Division in the Ministry of Home Affairs is receiving some routine periodical reports, e.g. of expenditure. Further, at the time of Annual Plan

discussions, the States, the Central Ministries and the Planning Commission get an opportunity to review the programmes in a general way. The Planning Commission have prescribed certain tables and Schedules to be included in the Annual Plan documents but experience shows that these do not, in most cases, convey up-to-date position and the picture that one gets is very sketchy. It also needs to be pointed out that in the guidelines issued by the Planning Commission to the Central Ministries for the preparation of programmes for the tribal sub-plan 1978-83 (Planning Commission D.O. No. PC/SW12(1)/77 dated 13th December, 1977) the Planning Commission has observed as follows :—

“Since each Ministry is responsible for the concerned sector, it must make its own arrangements for suitable monitoring of programmes in the tribal areas. A special cell should be created for monitoring of programmes in the sub-plan areas which could be a part of the monitoring system of the Ministry. Since the Central Ministries will now have to have a constant dialogue with their counterparts in the States in relation to tribal areas, it may be necessary to make a senior officer responsible for implementation of programmes in the tribal areas in various Ministries.”

11. The Central Coordination Committee for the Welfare of Backward Classes constituted by the Ministry of Home Affairs under the Chairmanship of the Minister of State in the Ministry of Home Affairs wherein all concerned Central Ministries/Departments are represented had also occasion to discuss the role of the Central Ministries/Departments for tribal development. In regard to monitoring, the Committee was of the view that it may not be possible for the Ministry of Home Affairs to go into all the details in respect of programmes in all the sectors. It should, therefore, adopt a selective approach of keeping itself informed about key issues. The sectoral Ministries will be required to keep themselves informed in greater detail about the development of the tribal areas in relation to the developmental aspects under their charge no matter whether the subject is formally, a State subject or a Central subject. The Central Ministries, therefore, also will be required to review their own preparedness for taking up this task on a continuing basis. They may have to review their own arrangements and redeploy their expertise in such a fashion that monitoring of the programmes in relation to tribal areas is made possible.

Defining Requirements

12. As observed earlier even now the States and Union Territories do progress reporting on the schemes for the development of the Scheduled Tribes including programmes in the sub-plan, Scheduled Castes and other related groups. This progress reporting system has been evolved over a period beginning from the first plan. This cannot, however, be termed as fully satisfying the monitoring requirements. In relation to the Centrally Sponsored Programmes, the administrative Ministries/Departments obtain periodical physical and financial progress reports from the concerned authorities to keep a watch over the implementation of programmes and for budgetary purposes. At the State and below level also information in respect of schemes implemented is received periodically. The progress is also appraised of at periodical performance review and meetings. But in no case has monitoring as such been developed, deliberately and consciously. It needs reiteration that monitoring goes, somewhat beyond simple progress appraisal, the system prevalent more or less uniformly in the sector. It is advantageous to recapitulate that monitoring would include *inter alia* the following :—

- (a) The receipt of progress information from operating and implementing levels ;
- (b) Its appraisal in terms of financial and physical performance as compared to targets ;
- (c) Identification of shortfalls, bottlenecks and lagging areas, causes for shortfalls, problems and difficulties faced by implementing levels and anticipating future shortfalls as well as problem areas ;
- (d) Examining the effects of these shortfalls and problems on the completion of the given projects as per estimates of time and cost, and also on inter-related and inter-dependent programmes/projects/sectors ;
- (e) Appraising the overall progress of the State economy through selected indices and in relation to targets laid in the plan documents, re-defining and re-adjusting targets wherever necessary, re-allocating resources and priorities and taking other appropriate action ;
- (f) Sending feedback information to the implementing levels for initiating corrective action with a view to bringing the lagging projects/programmes back on course ;

- (g) Reviewing the corrective action taken at the implementing level in response to the above feedback ;
- (h) Building a data bank and store house of progress information which should provide information as and when needed in the future ; and
- (i) Feeding the higher levels in the State Government, Central Ministries, Planning Commission and other concerned agencies with the up-to-date progress information as may be required.

13. Thus, in its broad concept, monitoring will not only include the quantitative appraisal of performance in relation to targets but also qualitative assessment as to whether the objectives of the programmes/schemes are being fulfilled or are likely to be fulfilled. Monitoring will, thus, include concurrent evaluation of the programmes/projects as well. However, it will not include either ex-ante project/programmes appraisal or post-implementation evaluation although it will have direct relationship with both.

14. Monitoring is essentially concerned with proper implementation of the plan. On the evaluation side, the results of continuous monitoring during the implementation stage will provide part of the data required for post-implementation evaluation of projects/programmes. If the monitoring and evaluation set-ups are properly integrated, the duplication in data collection in relation to implementation of the same programmes/schemes could be avoided and one set of data could be utilised to serve both the purposes, particularly as these two exercises are to be undertaken at different points of time.

15. Since monitoring is an effective tool to planning and implementation, the monitoring process will need to be established at appropriate levels in order to feed directly the concerned authorities. In a State, the top most level of monitoring could be at a central point where overall progress of the State's performance could be watched, resource allocation and priorities examined, inter-sectoral linkages established and the inter-project and inter-programme implications of bottlenecks, shortfalls, delays etc. analysed. The Tribal Development Commissioner and Secretary, Harijan Welfare Department are the coordinating authorities for the Scheduled Tribes and the Scheduled Castes respectively at the State. This Central authority, therefore, could be such Central point. The next level of monitoring could be that in the technical/subject departments in the States, such as agriculture, irrigation etc. These could serve as the

foçal point for the sectoral monitoring. This will provide the input information to the central unit. Within the sector, monitoring may have to be undertaken at a number of hierarchical levels so that at the bottom most level in the department each executing officer has a properly established monitoring sub-system with full details about its activity and control. In addition to this monitoring on the vertical planes, flow of progress information on horizontal level both within each department and from one department to another will have to be established. Apart from the monitoring on the functional or sectoral basis, there will also be need of monitoring on special basis, e.g. taking all the projects and programmes in one geographical area.

Reporting levels

16. In regard to tribal development, we suggest that the following three reporting levels should be adopted :—

- (a) *Level III Reporting*—Generated and utilised at Integrated Tribal Development Project level for planning, decision-making and control.

—Provide data base for next Level II Reporting.

Here, we are not suggesting the lowest level (other than Integrated Tribal Development Project) for obvious reasons. Now that Integrated Tribal Development Project has been recognised as the lowest operational unit for tribal sub-plan programmes any lower level will not really matter. Also, different States may have different lowest operational units such as Block, Panchayat Samity, village, Hamlet etc. Therefore, the Sub-Group feels that the Integrated Tribal Development Project authorities may collect information relating to particular items/schemes/programmes as the local situation warrants. In the present context, it is needless to say that Level III Reporting is most important. It is essential that utmost attention is paid at this level.

- (b) *Level II Reporting*—Emanating from the Integrated Tribal Development Project and submitted to the respective sectoral subject department at the State Government level in respect of concerned programmes and in totality to the Tribal Commissioner of the State Government.

Here, the Integrated Tribal Development Project authorities will submit reports to the concerned subject departments at the State level in respect of particular items and a consolidated return to the Tribal Commissioner because at the State level it is the Tribal

Commissioner who coordinates all programmes in the tribal sub-plan areas and he will be required to look into all aspects in a comprehensive manner.

- (c) *Level I Reporting*—Emanating from the respective sectoral subject departments at the State level and submitted to the concerned Central subject department/Ministries and from the Tribal Commissioner to the Ministry of Home Affairs.

Here, the sectoral subject departments will be concerned with programmes under their charges. To illustrate, the Agriculture Secretary in the State will report to the Ministry of Agriculture in respect of agricultural programmes. The Tribal Commissioner will submit a consolidated report to the Ministry of Home Affairs because it is the Ministry of Home Affairs which is in overall charge at the Centre for development of the tribal sub-plan areas.

17. In regard to the Scheduled Castes development it is suggested that the following three reporting levels may be adopted :—

- (a) *Level III Reporting*—Generated and utilised at District level for planning, decision-making and control.

—Provide data base for next Level II Reporting.

We are not suggesting a level below district because it is felt that the interspersed nature of habitation of the benefit groups (Scheduled Castes) would make it difficult to prescribe a uniform pattern of reporting for below district levels. The district coordinating authority could, however, collect information from below formations relating to particular items as the local situation demands.

- (b) *Level II Reporting*—Emanating from the District level and submitted to the respective sectoral subject departments at the State Government level in respect of concerned programmes and in totality to the Secretary, Harijan Welfare.

The submission of returns by the district level authority to the subject departments will enable those departments to keep a regular watch over programmes concerning them. A report in totality to the Secretary, Harijan Welfare will enable him to monitor all aspects at State level in a coordinated manner.

(c) *Level I Reporting*—Emanating from the respective sectoral subject departments at the State level and submitted to the concerned Central subject departments/Ministries and from the Secretary, Harijan Welfare to the Ministry of Home Affairs.

The sectoral subject departments, both at the State and the Centre will be responsible for the programmes under their charge. The Secretary, Harijan Welfare at the State will submit a consolidated report to the Ministry of Home Affairs which is in overall charge at the Centre for the development of the Scheduled Castes.

The Report Format

18. It is needless to point out that the report formats will need to be developed on the basis of monitoring information requirements at various levels. At present a major problem is the existence of voluminous reports with mass of data while the required progress information is generally not easily available. It would thus, be necessary to prune the existing reports and data, streamline them to very simple and brief formats (preferably one to two pages only) which could be easily filled and supplied by the reporting agencies. These brief reports should generally cover physical progress against targets, financial achievements against targets, shortfalls, delays, problems and bottlenecks, action taken and action required at higher level.

19. We have suggested a set of proformae. Instructions for filling up the returns have also been separately given. We suggest that to begin with this set may be adopted. The position could be reviewed after about a year when the system gets organised. Should there be any need to modify or add, this can be done after a review.

20. The set of proformae now suggested is purely from the monitoring point of view. Therefore, it presupposes that the present system of calling for information from various sources by various agencies will continue to be effective for particular purposes e.g. information necessary for administrative approval, sanction, periodic statistical returns etc.

Frequency and Time-Lag

21. The frequency of progress reporting will have to be specified depending on the type of project and scheme and the level at which monitoring is to be undertaken. Perhaps, for

lower levels, it could be weekly, fortnightly or monthly. For the State level, it may be enough to have monthly and quarterly reports, and for central level, it could be quarterly. For quarterly or half-yearly report, the permissible time-lag should be 10 days after the close of the quarter.

22. We have suggested a reasonably sufficient programme for reporting at I.T.D.P./District and State level. It is felt that the information so reported will enable the State and Central authorities to keep a close watch on the programmes. However, if the State or lower level authority feel with reference to a particular scheme or a set of schemes that more detailed information is required for effective monitoring, they may prescribe additional returns to be submitted at frequent intervals. Such returns should in no case duplicate the work and care should be taken to ensure that the information so collected is essential for checking and re-checking the returns now suggested by us. It has been indicated in the return itself as to the authority at the central level to whom they should be sent periodically. On receipt of such returns the Ministry of Home Affairs and each Central Authority will compile and effectively monitor programmes. The Planning Commission should also be kept informed simultaneously of the progress of implementation in the field.

Administrative Set-up

23. In most of the I.T.D.Ps./Districts, there is at present, a Statistical Assistant or Progress Assistant. Maybe with the additional work involved, they may need strengthening. While we do not embark upon a suggestion of prescribing minimum staff support in each I.T.D.P./District we urge upon the State Authorities to post minimum required staff depending upon the work-load in each particular administrative unit.

24. At the State level, there should be established a monitoring cell consisting of adequate staff depending upon the volume of work more or less on the pattern at present in the State Planning Departments. Perhaps, an Officer of the rank of Deputy Director with adequate supporting staff could be put in charge of this work at the State level.

25. At the Centre, each Ministry having substantial programme in the tribal areas and for the Scheduled Castes and Scheduled Tribes should establish a separate monitoring cell.

The cell should be adequately staffed with competent personnel consisting of a minimum of one officer of Senior Research Officer/Deputy Director grade one Research Officer and 2 Investigators. At the Ministry of Home Affairs both in the Scheduled Castes and Scheduled Tribes wing, there should be adequate staff support for undertaking the voluminous monitoring work. There should be two separate monitoring units in the Ministry adequately staffed. The unit should be headed at least by an officer of the status of Joint Director with supporting staff of one Deputy Director/Senior Research Officer, 2 Research Officers and two Investigators.

26. In the Planning Commission, the Backward Classes Division is, at present, looking after the work relating to the Scheduled Castes and the Scheduled Tribes. The Planning Commission will need to coordinate the work relating to Scheduled Castes and the Scheduled Tribes in the Central Ministries and the Ministry of Home Affairs as also to keep a watch on the development taking place in the States, particularly in the context of the tribal sub-plan and the Special Component Plan for the Scheduled Castes. They will also, therefore need staff support and a minimum of one officer of S.R.O./Dy. Director grade and one Research Officer and two Investigators could be considered.

Processing and Filing of Data

27. The data that may be thrown up through this monitoring system will be enormous. Quick processing of the data and proper filing thereof are essential parts of an effective monitoring system. Various methods are available for processing and filing. Wherever computer facilities are available it would be desirable to train a few persons for the work and also avail of the facilities in the nearby areas. We are not, at present, suggesting separate computer unit for the monitoring and evaluation of tribal development and the Scheduled Castes programmes. This could also be considered at a later stage depending upon the working of the system.

Conclusion

28. Apart from collection of data, clearly spelt out procedure should be laid down for other feedback information to the reporting levels indicating the action taken at the receiving and any instructions or corrective action to be undertaken at the reporting level.

29. To provide a base for accurate decision-making a system of obtaining, abstracting, storing and retrieving and analysing data (raw facts) is an imperative necessity. The primary objective here is to provide the top management a means for alerting him to potential bottlenecks and delays which might occur in the implementation of the project/programmes or activities. It also aims at providing a basis for planning and reporting to the various levels.

30. Over the past few years, the network, Planning and Scheduling Technique has developed under a variety of names largely in the construction and defence industries. The two most common types of the network technique are the Critical Path Method (C.P.M.) and the Programme Evaluation and Review Technique (P.E.R.T.). It would be advisable for the implementing authorities to consider whether any of these systems could be advantageously employed to keep an effective track of Implementation of programmes. They could also consider getting personnel trained in these techniques.

31. The monitoring units receiving the progress information at various levels should also bring out summarised output reports giving the total picture in a particular scheme and send it to higher levels. Mere establishment of an organisation and developing the monitoring system as suggested above will not serve the purpose. It is essential for the States to take concrete steps for their implementation, otherwise the monitoring system designed will merely serve as a system. Periodical meetings to review the progress in various fields with concerned administrative heads will alone enable them to take corrective steps. The usefulness of the monitoring system will be fully achieved only if timely corrective steps are undertaken at all levels. In fact, this is the crucial point of the system.

ANNEXURE 1

No. 17014/27/78-ED

GOVERNMENT OF INDIA/BHARAT SARKAR
MINISTRY OF HOME AFFAIRS/GRIH MANTRALAYA

New Delhi, the 3rd July, 1978

OFFICE MEMORANDUM

SUBJECT.—Constitution of Working Group on Monitoring and Evaluation of Tribal Development and Development in the Backward Classes Sectors.

In the draft Five Year Plan 1978—83 emphasis has been laid on effective implementation of plans and the need for strengthening the monitoring and evaluation system at various levels. There are considerable gaps and time-lags in a number of areas connected with tribal development and the development of backward classes, and it has, therefore, been decided that a Working Group may be constituted to study the existing monitoring system and make suggestions for improvement in the context of the requirements of the rolling plan:

2. Accordingly a Working Group on Monitoring and Evaluation on Tribal Development and Development in the Backward Classes Sectors is constituted as follows** :—

1. Dr. B. D. Sharma, *Chairman*
Joint Secretary (TD),
Ministry of Home Affairs.,
2. Shri U. K. Kohli, *Member*
Chief, Monitoring Division,
Planning Commission.
3. Dr. K. C. Seal, *Member*
Director,
Central Statistical Organisation,
Sardar Patel Bhawan,
New Delhi.

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| 4. Shri B. J. Heerji,
Tribal Commissioner-cum-Secretary,
Tribal & Harijan Welfare Deptt.,
Madhya Pradesh,
Bhopal. | <i>Member</i> |
| 5. Shri P. Kandaswamy,
Secretary,
Social Welfare Department,
Tamil Nadu,
Madras. | <i>Member.</i> |
| 6. Shri M. V. Natrajan,
Deputy Secretary (TD),
Ministry of Home Affairs,
New Delhi. | <i>Member-
Secretary</i> |

3. The terms of reference of the Working Group will be as follows :—

- (i) To study the existing monitoring system in respect of Tribal Development and Development of Backward Classes Sectors; and
- (ii) To make suggestions for improvement in the system in the context of the rolling plan.

4. The Working Group will submit its report by the end of July, 1978.

Sd/-
(M. P. RODRIGUES)
Director (TD)

NOTE :—The following changes were subsequently made in the constitution of the Working Group.

1. Miss K. Dutt, Joint Director, Planning Commission included as Member.
2. Shri Bhupinder Singh, Joint Secretary, Ministry of Home Affairs, replaced Dr. B. D. Sharma as Chairman.
3. Dr. B. D. Sharma, Tribal Commissioner, Madhya Pradesh replaced Shri B. J. Heerji.
4. Shri A. S. Ahluwalia, Secretary, Government of Tamil Nadu replaced Shri P. Kandaswamy.

**MONITORING AND EVALUATION OF TRIBAL
DEVELOPMENT
AND
DEVELOPMENT OF BACKWARD CLASSES SECTOR
INSTRUCTIONS**

I. General

The monitoring reports consist of ten Tables listed in Appendix.

- (i) In so far as the returns from the State Governments are concerned, viz., those at Serial Nos. 1—5 and 7—10 of the Appendix, they could if they so desire, adopt the same format for collecting the information from lower formations such as, Heads of the Departments, District Collectors, Project Officers etc. The States could also prescribe a suitable periodicity of reporting. In any case the form, content and periodicity of reporting as suggested now may be adhered to while reporting to Central Ministries/Departments.
- (ii) The tables TD. I, TD. II, TD. III and TD. SCD. I to V in so far as they relate to Schedule Tribe or Tribal Sub-Plan areas, are required to be sent to the Ministry of Home Affairs at the address Director, Ministry of Home Affairs, Tribal Development Division, Room No. 99-A, South Block, New Delhi-110011.
- (iii) The tables SCD. I, SCD. II and TD. SCD. I to V in so far as they relate to the Scheduled Castes may be sent to the Deputy Secretary, Ministry of Home Affairs, Scheduled Castes and Backward Classes Division, Room No. 612, Shastri Bhavan, New Delhi.
- (iv) The reports concerning Central Ministries/Departments, may be sent to the designated officer of the subject Ministry/Department.
- (v) In order to make the monitoring timely and effective, a reasonable time schedule of reporting will have to be rigidly adhered to. It is suggested that for quarterly and half-yearly reports, the State Governments must receive the returns from lower formations within 10 days of the close of the quarter/half-year. The State Government must report to various

other agencies (Review Committee at the State level, Ministry of Home Affairs, subject Ministries/ departments etc.) within 15 days of the close of the quarter.

- (vi) In reporting the details of the sectors, sub-sectors in the tables, the terminology as used in plan documents and budget papers may be followed to avoid confusion.
- (vii) In addition to the returns, the State Governments could indicate in a separate write up the salient developments that need to be taken notice of and have taken place in the State during the quarter in relation to the development of the Scheduled Castes and the Scheduled Tribes. This will help the coordinating authorities to keep abreast of the latest trends in the implementation of programmes.

II. Tables

Table—T.D.I.—seeks information on progress of expenditure in the tribal sub-plan areas. For compilation of the State level report and submission to the Ministry of Home Affairs, information will be required to be obtained from the I.T.D. Ps. The columns of the table are self-explanatory.

Table—T.D.II—seeks information on releases/sanctions issued by the State Government during the quarter. This is intended to locate timeliness of flow of funds. In cols. 8-9, the total amount of releases/sanctions issued by the State Government during the quarter should be furnished.

Table—T.D.III—seeks information on staff position in the Tribal Sub-Plan area. The intention is to assess the availability of personnel for manning the tribal development programmes. For compilation of the return at the State level, information will have to be obtained from each I.T.D.P. The report should reflect the total sanctioned posts and staff in position by designation of posts, such as, Project Officers, Agriculture Extension Officer, medical doctors, veterinary surgeons, teachers, village level workers etc.

Table—S.C.D.I—seeks information on progress of expenditure relating to Special Component Plan for the Scheduled Castes introduced recently. For compilation of this report, information has to be obtained from the district authorities. In case the scheme is in operation within the Tribal Sub-Plan area, the information could be obtained from the Integrated Tribal Development Projects.

Table—S.C.D. II—seeks information on the releases/sanctions issued by the State Government for execution of the Special Component Plan for Scheduled Castes similar to that required under *Table—T.D. II* for Scheduled Tribes.

Table—T.D. S.C.D. I—seeks information on progress of expenditure from the Central Ministries for Central Programmes whether implemented by them or by the State Governments separately for the tribal sub-plan and Scheduled Castes Special Component Plan for each State. Each subject Ministry having such programmes should send the returns both to the Ministry of Home Affairs and the Planning Commission.

Table—T.D.S.C.D.II—seeks information on physical targets and achievements in various sectors separately for the Tribal Sub-Plan and Scheduled Castes Special Component Plan. Items as per the suggestive list meant for Col. 2 are only provisional and any item the States feel is important for the purpose of this return may also be incorporated unambiguously.

Table—T.D.S.C.D.III—seeks information from Central Ministries regarding physical target and achievements of the schemes operated by them separately for the tribal sub-plan and Scheduled Castes Special Component Plan. As in the case of *Table—T.D.S.C.D.I*, the State-wise return may be submitted both to the Ministry of Home Affairs and to the Planning Commission. The selection of items under Col. 2 will be in accordance with the standard list of items prescribed by the subject Ministry.

Table—T.D.S.C.D.IV—seeks information on the additional employment generated and benefits to the Scheduled Castes and Scheduled Tribes for the State as a whole. Initially it is possible that there may be certain handicaps in collecting information separately for the Scheduled Castes and Scheduled Tribes. Considering the importance of the subject, these could be overcome by properly liaising with the manpower, employment cell, labour department and like agencies who may be collecting such information in one form or the other.

Table—T.D.S.C.D.V—seeks information on financial and physical achievements against targets for programmes under the Backward Classes Sector. Items listed in the table under physical achievement are the minimum requirement and if the States consider inclusion of other items of importance, these may also be included. The Block B of the table may be separately filled up for each group i.e., the Scheduled Castes, the Scheduled Tribes and other Backward Classes.

LIST OF TABLES

Sl. No.	Table No.	Title	Periodicity	Level of Reporting	Remarks
1	2	3	4	5	6
1.	T.D.-I	Progress of expenditure	Quarterly	State & I.T.D.P.	Relates to Tribal Sub-Plan
2.	T.D.-II	Amount of releases/sanctions issued by State Government.	Do.	State	Do.
3.	T.D.-III	Staff position	Half-yearly	State & I.T.D.P.	Do.
4.	S.C.D.-I	Progress of expenditure	Quarterly	State	Relates to Special Component Plan for S. Castes.
5.	S.C.D.-II	Amount of releases/sanctions	Do.	Do.	Do.
6.	T.D.S.C.D.-I	Progress of expenditure	Do.	Do.	Relates to Central programmes.
7.	T.D.S.C.D.-II	Physical targets and achievements— Progress report.	Do.	State & I.T.D.P.	Relates to Tribal Sub-Plan & Special Component Plan for Sch. Castes.
8.	T.D.S.C.D.-III	Physical targets and achievements— Progress report.	Do.	Staff	Relates to Central programmes.
9.	T.D.S.C.D.-IV	Additional Employment generated and benefits to the Scheduled Castes and Scheduled Tribes.	Half-yearly	State	Relates to all programmes implemented by the States.
10.	T.D.S.C.D.-V	Backward Classes Sector quarter ending March/June/September/December, 1979.	Quarterly	Do.	Relates to programmes under Backward Classes Sector.

TABLE T.D.-I

FINANCIAL

Government of.....

Progress of expenditure for the quarter ending March/June/September/December, 19.....

TRIBAL SUB-PLAN

(Rs. in lakhs)

Sl. No.	Sector/ Sub-Sector	Total outlay for the Sub-Plan during the year.	Expenditure during the quarter		Cumulative expenditure up to the end of the quarter		Likely total expenditure for the year	Remarks
			Proposed	Actual	Proposed	Actual		
1	2	3	4	5	6	7	8	9

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All Sectors

TABLE T.D.-II

FINANCIAL

Government of.....

Amount of releases/sanctions issued by the State Government to different I.T.D.Ps. during the quarter ending March/June/September/December, 19.....

(Rs. in lakhs)

Sl. No.	Sector	Outlay for the year					Releases/sanctions during the quarter	Cumulative total of the releases/sanctions during the year	Reasons for delays*
		State Plan	S.C.A.	Centrally Sponsored/ Central Schemes	Institutional Finance	Others (Specify)			
1	2	3	4	5	6	7	8	9	10

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All Sectors

*Reasons for delays :

- (1) Delay for submission of proposal.
- (2) Delay for administrative scrutiny.
- (3) Not provided under budget.
- (4) Other reasons (please specify).

TABLE T.D-III

Government of.....

Staff position as on the last day of the half-year ending 19.....

Sl. No.	Designation of the post (Sector-wise posts may be listed)	No. sanctioned	No. in position (as on last day of the half-year)	Duration of vacancy, if any
1	2	3	4	5

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TABLE S.C.D-I

Government of.....

FINANCIAL

Progress of expenditure for the quarter ending March|June|September|December, 19.....

(Rs. in. lakhs)

Sl. No.	Sector/ Sub-Sector	Total outlay under Special Component plan for S.C.	Expenditure during the quarter		Cumulative expenditure up to the end of the quarter		Likely total expenditure for the year	Remarks
			Proposed	Actual	Proposed	Actual		
1	2	3	4	5	6	7	8	9

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All Sectors

TABLE S.C.D-II

FINANCIAL

Government of.....

Amount of releases/sanctions issued by the State Government to districts and other functionaries during the quarter ending March/June/September/December, 19.....

(Rs. in lakhs)

Sl. No.	Sector	Outlay for the year		Releases/sanctions during the quarter	Cumulative total to the releases/sanctions	Reasons for delays*
		Special Component Plan for S.C.	Others (Specify)			
1	2	3	4	5	6	7

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All Sectors

*Reasons for delays :

- (1) Delay for submission of proposal.
- (2) Delay for administrative scrutiny.
- (3) Not provided under budget.
- (4) Other reasons (Please specify).

TABLE T.D.-S.C.D.-I

FINANCIAL

Tribal Sub-Plan

Scheduled Castes Special Component Plan

Government of India

Ministry/Department of.....

STATE.....

Progress of expenditure for the quarter ending March/June/September/December, 19.....

(Rs. in lakhs)

Sl. No.	Sector/ Sub-sector/ Programme	Total outlay for the year	Central and Centrally aided programmes				Likely total expenditure for the year	Remarks
			Outlay		Cumulative expenditure up to the end of the quarter			
			Proposed	Sanctioned	Proposed	Actual		
1	2	3	4	5	6	7	8	9

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All Sectors

Note : 1. To be submitted by Sectoral Ministries/Depts. concerned with developmental programmes to the Planning Commission and the Ministry of Home Affairs.

2. The details of the Sector/Sub-Sector/Programme meant specifically for tribal development/Scheduled Castes may be indicated.

Tribal Sub-Plan

Scheduled Castes Special Components Plan

Government of.....

Physical targets and achievements—Progress Report for the quarter ending March/June/September/December, 19.....

Sl. No.	Item (As per List)	Unit	Target for the year (Additional)	Achievement during the quarter**			Reasons for shortfalls*
				I.T.D.P. STATE			
				Proposed	Achieved	Cumulative achievement up to the end of quarter	
1	2	3	4	5	6	7	8

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*Reasons for shortfalls :

(1) Delay in sanction, (2) Delay in supply of materials, (3) Delay in appointment/posting of staff, (4) Non-availability of manpower, (5) Others (Please specify).

**Targets and Achievements should indicate only the additional units of physical targets/achievements.

**SUGGESTED LIST OF ITEMS FOR PHYSICAL ACHIEVEMENTS
IN TRIBAL SUB-PLAN AREA**

[Reference Table T.D.(SCD-II)]

Item	Unit
A. Agriculture and Allied Services	
1. Minor Irrigation :	
(a) Lift irrigation :	
(i) Area under irrigation (Net)	Ha
(b) Tube Wells :	
(i) No. in operation	No.
(ii) Area under irrigation (Net)	Ha
(c) Dug wells/Bore wells :	
(i) No. in operation	No.
(ii) Area under irrigation (Net)	Ha
(d) Pumpsets/motors :	
(i) No. in operation	No.
(ii) Area under irrigation (Net)	Ha
2. Area under High Yielding Varieties :	
(i) Paddy	Ha
(ii) Wheat	Ha
(iii) Maize	Ha
(iv) Others (Specify)	Ha
3. Horticulture :	
(a) Area covered under Plantation (Specify)—	
(i)	Ha
(ii)	Ha
(iii)	Ha
(b) Families benefited :	
(i) S.T.	No.
(ii) S.C.	No.
(iii) Others	No.
4. Soil Conservation :	
(i) Land improved	Ha
(ii) Families benefited :	
(i) S.T.	No.
(ii) S.C.	No.
(iii) Others	No.

Item	Unit
5. Forestry :	
(a) Area under Plantation :	
(i) Quick growing species	Ha.
(ii) Farm forestry and other plantations	Ha
(b) Families benefited :	
(i) S.T.	No.
(ii) S.C.	No.
(iii) Others	No.
Husbandry :	
(a) Milch animals distributed,	No.
(b) Families benefited. :	
(i) S.T.	No.
(ii) S.C.	No.
(iii) Others	No.
(c) Milk Cooperative societies formed	No.
(d) Daily milk collected (quarterly average)	Ltrs.
(e) Artificial insemination :	
(i) Total attempted	No.
(ii) Calves born	No.
(f) Poultry programmes : families benefited :	
(i) S.T.	No.
(ii) S.C.	No.
(iii) Others	No.
7. Credit :	
(i) Short-term loans :	
(a) By cooperatives	Rs.
(b) By Commercial Banks	Rs.
(c) Total	
(d) No. covered :	
(i) S.T.	No.
(ii) S.C.	No.
(iii) Others,	No.
(ii) Long term loans :	
(i) By cooperatives	Rs.
(ii) By Commercial Banks	Rs.
(iii) Total	Rs.

Item	Unit
(iii) No. benefited :	
(i) S.T.	No.
(ii) S.C.	No.
(iii) Others	No.
8. Cooperation :	
(a) No. of LAMPS/Others societies :	
(i) Share Capital	Rs.
(ii) Membership :	
(i) S.T.	No.
(ii) S.C.	No.
(iii) Others	No.
(b) Credit for consumption and social needs :	
(i) Amount of credit	Rs.
(ii) Families covered :	
(i) S.T.	No.
(ii) S.C.	No.
(iii) Others	No.
(c) Marketing through LAMPS/Cooperatives :	
(i) Agriculture Produce	Rs.
(ii) Minor Forest Produce (Specify item-wise)	Rs.
9. Roads :	
(i) Surfaced	Km.
(ii) Unsurfaced	Km.
10. General education (enrolment) :	
(a) Primary :	
(i) S.T.	No.
(ii) S.C.	No.
(iii) Others	No.
(b) Middle :	
(i) S.T.	No.
(ii) S.C.	No.
(iii) Others	No.
(c) Higher Secondary :	
(i) S.T.	No.
(ii) S.C.	No.
(iii) Others	No.

Item	Unit
(d) Technical education :	
(i) S.T.	No.
(ii) S.C.	No.
(iii) Others	No.
(e) Colleges :	
(i) S.T.	No.
(ii) S.C.	No.
(iii) Others	No.
(f) Ashram Schools :	
(i) Capacity	No.
(ii) Enrolment	No.
(g) No. of hostels (Capacity) :	
(i) Boys	No.
(ii) Girls	No.
10. (a) to (c) General Education :	
(i) Enrolment (already covered)	No.
(ii) Drop outs	No.
11. Water Supply :	
Hamlet/Villages provided potable water supply	No.
12. Rural Electrification :	
(i) Villages covered	No.
(ii) Total households	No.
(iii) No. of consumers	No.
13. Protective measures :	
(a) Land alienation :	
(i) Land restored	No.
(ii) No. of Tribal families benefited	No.
(b) Indebtedness :	
(i) Amount of debt liquidated	Rs.
(ii) families benefited :	
(i) S.T.	No.
(ii) S.C.	No.
(iii) Others	No.
(c) Bonded Labour :	
(i) Labourers identified	No.
(ii) Labourers released	No.
(iii) Labourers resettled	No.

Item	Unit
14. Public Health :	
(i) Primary Health centres/sub-centres	No.
(ii) Rural Hospitals	No.
(iii) Doctors	No.
(iv) Patients treated	No.
15. House-sites allotted :	
(i) S.C.	No.
(ii) S.T.	No.
(iii) Others	No.

STATE SECTOR*
CENTRAL SECTOR

Progress of Backward Classes Sector for the quarter ending March/June/September/December, 19.....

(A) FINANCIAL

(Rs. in lakhs)

Sl. No.	Name of the Scheme	Outlay for the year	Expenditure during the quarter		Cumulative expenditure up to the end of the quarter		Likely expenditure for the year
			Proposed	Actual	Proposed	Actual	
			1	2	3	4	
1. Welfare of Scheduled Tribes							
	1.						
	2.						
	3.						
	Total Scheduled Tribes						
2. Welfare of Scheduled Castes							
	1.						
	2.						
	3.						
	Total Scheduled Castes						
3. Welfare of Other Backward Classes							
	1.						
	2.						
	3.						
	Total Other Backward Classes						
GRAND TOTAL							
Backward Classes Sector							

Note : *Please strike out whichever is not applicable.

TABLE T.D.-S.C.D.-V—contd.

(B) PHYSICAL

(Rs. in lakh)

Sl. No.	Item	Additional unit	Target for the current year	Achievement for the quarter		Cumulative achievements at the end of the quarter	Reasons for shortfalls
				Proposed	Actual		
1	2	3	4	5	6	7	8

*Scheduled Castes/
Scheduled Tribes/
Other Backward Classes**

I. Education :

(i) *Pre-matric Educational Incentives*

- | | |
|---|-----------------|
| (a) Scholarships/stipends | Nos. |
| (b) Other incentives like boarding, grants, books, stationery | No. of students |
| (c) Ashram Schools | No. of schools |
| (d) Clothing/Uniform | No. of students |
| (e) Excursion | No. of schools |

(ii) *Post-matric Scholarships*

Nos.

(iii) *Construction of buildings for Girl's hostel*

Nos.

II. Economic aid :

- | | |
|--------------------------|-----------------|
| (a) For Agriculture | No. of families |
| (b) For Animal Husbandry | No. of families |
| (c) For Cottage Industry | No. of families |

III. Others :

- | | |
|---|----------------------|
| (a) House sites | No. of families |
| (b) Drinking water Wells/Tanks | Nos. |
| (c) Rewards for inter-caste marriage (For SCs only) | No. of beneficiaries |

*Please strike out whichever is not applicable.

ANNEXURE II

No. 17014/6/79-TD(R)

GOVERNMENT OF INDIA/BHARAT SARKAR
MINISTRY OF HOME AFFAIRS/GRIH MANTRALAYA

99/A, South Block,
New Delhi-110 011.

Dated the February 15th, 1980

OFFICE MEMORANDUM

The undersigned is directed to say that in July 1978 this Ministry had constituted a Working Group on Monitoring and Evaluation of Tribal Development and Development of Backward Classes Sector. The Report of the Working Group has been accepted by the Government with certain modifications in consultation with the Planning Commission. A copy of the Report is enclosed.

2. The undersigned is also directed to request you to initiate action to give effect to the Recommendations contained in the Report and also to organise a reporting system that will enable regular and uninterrupted flow of information to all concerned authorities as in the list of Tables suggested. A copy each of the Report along with some additional sets of Tables has already been sent to the State Secretaries/Tribal Commissioners dealing with the programmes for the Development of Scheduled Castes and Scheduled Tribes.

3. It will be highly appreciated if this Ministry is kept informed of the progress made in the implementation of the monitoring system from time to time, say, every quarter.

(M. P. RODRIGUES)
Director (TD)

Members,
Central Coordination Committee
for the Development of Backward Classes.

ANNEXURE II



संयुक्त सचिव
JOINT SECRETARY

भारत सरकार
GOVERNMENT OF INDIA
गृह मंत्रालय
MINISTRY OF HOME AFFAIRS

BHUPINDER SINGH
JOINT SECRETARY

D.O. No. 17014/6/79-TD(R)

27th December, 1979

DEAR

You are perhaps aware that in July 1978, the Ministry had constituted a Working Group on Monitoring and Evaluation of Tribal Development and Development of Backward Classes Sector. The Report of the Working Group has been accepted by the Government with certain modifications in consultation with the Planning Commission. A copy of the Report is enclosed.

2. I shall be thankful if you could kindly initiate action to give effect to the recommendations contained in the Report and also to organise a reporting system that will enable regular and uninterrupted flow of information to all concerned authorities as in the list of Tables suggested. We are getting the Report printed and more copies will be made available to you soon. In the meantime, additional sets of Tables are enclosed so that these can be distributed to the Report Agencies without delay.

3. I shall be thankful if you could kindly let us know the progress made in the implementation of the monitoring system from time to time, say, every quarter.

With regards,

Yours sincerely,

(BHUPINDER SINGH)

The Tribal Commissioners & Secretaries
dealing with the Development of Scheduled Tribes
and Scheduled Castes in the States/U.Ts.

