In India, over the last several decades, development goals and targets have been backed by commitment of resources by the State through an extensive array of public programs. However, indicators of human development, particularly among marginalized communities, point to the sub-optimal outcomes from these investments.

This Report analyses the reasons for the continuing and large gaps between the social sector outlays and the outcomes. Through the experiences of the Sustainable Tribal Empowerment Project (STEP), the Report argues why it is essential for focusing on building community capacities to enable them to overcome barriers of participation and utilize opportunities for acquiring a range of assets and capabilities both at the individual as well as collective levels.

The Report presents the strategy and interventions of STEP, being implemented in 6000 tribal communities in four districts of Andhra Pradesh since November 2001 with the objective of empowering them to realize their rights and overcome poverty, hunger and malnutrition.

The outcomes of STEP have been measured through a group of indicators, which collectively form the Human Empowerment Index and Gender Empowerment Index. The indicators encompass the social, economic and political dimensions of development in the Project Area. The Report also compares these indices with those in the Control Area to establish the significant impact made by the project.

This Report will be of use to all those who are engaged in the process of human development and empowerment of poor in India.
“This text has been drafted with financial assistance from the Commission of the European Union. The views expressed herein are those of the beneficiary and therefore in no way reflect the official opinion of the Commission.”
Sustainable Tribal Empowerment Project in Andhra Pradesh

Social Mobilization, Empowerment and Capabilities
Enhancing Development Outcomes

2006
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### Abbreviations and Acronyms

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<tr>
<td>ADM</td>
<td>Area Development Manager</td>
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<tr>
<td>AIDS</td>
<td>Acquired Immuno Deficiency Syndrome</td>
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<td>ALS</td>
<td>Alternative Learning School</td>
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<td>ANC</td>
<td>Ante Natal Care</td>
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<td>ANM</td>
<td>Auxiliary Nurse and Midwife</td>
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<td>ANS</td>
<td>Academy of Nursing Studies</td>
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<td>AOL</td>
<td>Action Oriented Learning</td>
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<td>AP</td>
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<td>Andhra Pradesh Community Forest Management Project</td>
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<td>Anganwadi Center</td>
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<td>Annual Work Plan</td>
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<td>Anganwadi Workers</td>
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<td>BCC</td>
<td>Behavior Change Communication</td>
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<td>BPL</td>
<td>Below Poverty Line</td>
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<td>Community Action Group</td>
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<td>CAP</td>
<td>Community Action Plan</td>
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<td>Community Based Monitoring System</td>
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<td>Community Development Management</td>
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<td>CF</td>
<td>Community Facilitator</td>
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<td>Community Health Worker</td>
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<td>Community Land Development Program</td>
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<td>District Education Officer</td>
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<tr>
<td>DIP</td>
<td>Detailed Implementation Plan</td>
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<td>DLSC</td>
<td>District-Level Steering Committee</td>
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<td>District Rural Development Agency</td>
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<td>District Water Management Agency</td>
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<td>EC</td>
<td>European Commission</td>
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<tr>
<td>EEI</td>
<td>Education Empowerment Index</td>
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<td>EG</td>
<td>East Godavari</td>
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<td>EU</td>
<td>European Union</td>
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<td>FLE</td>
<td>Family Life Education</td>
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<td>GCC</td>
<td>Girijan Credit Cooperative</td>
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<td>GDP</td>
<td>Gross Domestic Product</td>
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<td>GEI</td>
<td>Gender-related Empowerment Index</td>
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<td>GoAP</td>
<td>Government of Andhra Pradesh</td>
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<td>GVK</td>
<td>Girijan Vidyas Vikas Kendra</td>
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<td>HEI</td>
<td>Human Empowerment Index</td>
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<td>HIV</td>
<td>Human Immunodeficiency Virus</td>
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<td>ICDS</td>
<td>Integrated Child Development Service</td>
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<td>IFA</td>
<td>Iron Folic Acid</td>
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<td>IMR</td>
<td>Infant Mortality Rate</td>
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<td>ITDA</td>
<td>Integrated Tribal Development Agency</td>
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<td>ITDP</td>
<td>Integrated Tribal Development Project</td>
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<tr>
<td>MC</td>
<td>Mothers Committee</td>
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<td>MEO</td>
<td>Mandal Education Officer</td>
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<td>MLP</td>
<td>Micro Level Plan</td>
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<tr>
<td>MMR</td>
<td>Maternal Mortality Rate</td>
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<td>MMS</td>
<td>Mandal Mahila Samakhya</td>
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<td>NABARD</td>
<td>National Bank for Agriculture &amp; Rural Development</td>
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<td>NGO</td>
<td>Non Governmental Organization</td>
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<td>NHD</td>
<td>Nutrition &amp; Health Day</td>
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<td>NPE</td>
<td>National Policy on Education</td>
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<tr>
<td>NTP</td>
<td>Non-Timber Forest Products</td>
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<td>OSD</td>
<td>Officer on Special Duty</td>
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<td>PDS</td>
<td>Public Distribution System</td>
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<td>PEC</td>
<td>Primary Education Committee</td>
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<td>PESA</td>
<td>Panchayat Extension to Schedule Areas</td>
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<td>PHC</td>
<td>Primary Health Center</td>
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<tr>
<td>PNGO</td>
<td>Partner Non Government Organization</td>
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<td>PO</td>
<td>Project Officer</td>
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<td>PoA</td>
<td>Plan of Action</td>
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<td>PRI</td>
<td>Panchayati Raj Institution</td>
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<td>PSC</td>
<td>Project Steering Committee</td>
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<td>PTA</td>
<td>Parent Teacher Association</td>
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<td>PTG</td>
<td>Primitive Tribal Groups</td>
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<td>RBC</td>
<td>Residential Bridge Courses</td>
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<td>RCH</td>
<td>Reproductive and Child Health</td>
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<td>RF</td>
<td>Revolving Fund</td>
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<td>RIAD</td>
<td>Remote and Interior Area Development</td>
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<td>RIDF</td>
<td>Rural Infrastructure Development Fund</td>
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<td>RTI</td>
<td>Reproductive Tract Infections</td>
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<td>SC</td>
<td>Scheduled Castes</td>
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<td>SCRP</td>
<td>School Complex Resource Person</td>
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<td>SEC</td>
<td>School Education Committee</td>
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<td>SHGs</td>
<td>Self Help Groups</td>
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<td>SKL</td>
<td>Srikakulam</td>
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<td>SLAC</td>
<td>State-Level Advisory Committee</td>
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<td>ST</td>
<td>Scheduled Tribes</td>
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<td>STEP</td>
<td>Sustainable Tribal Empowerment Project</td>
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<td>STI</td>
<td>Sexually Transmissible Infections</td>
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<tr>
<td>TBA</td>
<td>Traditional Birth Attendant</td>
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<td>TSP</td>
<td>Tribal Sub-Plan</td>
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<tr>
<td>VA</td>
<td>Village Animator</td>
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<td>VO</td>
<td>Village Organization</td>
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<td>VSP</td>
<td>Visakhapatnam</td>
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<td>VSS</td>
<td>Vana Samrakshana Samithi</td>
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<td>VZM</td>
<td>Vizianagaram</td>
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Preface

From the time India gained Independence to the current period, her development goals have consistently aimed at economic growth, poverty reduction and social equity. On the economic front, the country has made impressive progress, emerging as the fifth largest economy in the world. In growth terms, today, it is second only to China, while its per capita consumption has witnessed a five-fold increase within the last two decades. While at the same time, India ranks a low 127 in the Human Development Index, and accounts for one in five child deaths in the world, amounting to 2.5 million child deaths annually. Only 42% of her children are fully immunized, 63 of every 1000 infants born in India die within a year, while the corresponding figure is 46 in Bangladesh and just 13 in Sri Lanka. 260 million people still live below the poverty line; more than 210 million people are undernourished, 74% of children and 52% of women in the country suffer from anemia. 300 million persons in the age group of 7 years and above are illiterate; 40 % students will not complete primary education and 60% of children enrolled in schools drop out, before they even complete secondary education. These figures reveal the stark realities of India’s development efforts. These statistics provide a measure of the abysmal quality of life led by millions in the country and point to the dangers of measuring growth merely in terms of economic growth. While India has made considerable progress in the last half century, in terms of purely economic growth averages, the situation of the vast proportion of its vulnerable population consisting of women, dalits and tribals continues to be glaringly alarming. This also reveals the dangers of measuring progress in terms of ‘national averages’, which mask the appalling status, particularly of, marginalized groups. Finally, such data, quite unambiguously, point to the sub-optimal outcomes of decades of investments made by the country towards social and human development.

The most severely affected among the marginalized communities are the tribals, who, despite several special constitutional provisions and programs, have still not been able to break out from the vicious cycle of poverty, isolation and exploitation. Despite the protection given to the tribal population by the Constitution of India (1950), they remain the most backward section of society on the three most important indicators of development: health, education and income. The status of tribal women is lower than that of women in the general population and the Scheduled Caste (SC) women. It is also lower than the status of tribal men. The status of tribal women is characterized by over-work, exploitation by market forces, illiteracy, and malnutrition.

Over the last several decades, the development goals and targets have been backed by commitment of resources through an extensive array of public programs that have been implemented to varying degrees of success through a widespread service infrastructure. Overall, the Government has been spending an average of 20% of its total expenditure on social sector programs in the last two decades. The appraisal of the Ninth Plan, for instance, pointed out about INR 400 billion per annum is utilized for rural development by way of Central and State schemes in sectors such as health and family welfare; social justice and empowerment; as well as watershed and agriculture development. This is in addition to public investments in infrastructure such as roads and power, which directly benefit the rural poor. These resources have been channeled through a range of poverty alleviation measures and area development programs, which have focused on the poor and disadvantaged.
These include welfare programs for the weaker sections (SC, ST), women, children, and a number of special employment programs for self and wage employment, rural housing programs, etc. In the offing is a very large employment guarantee program – the National Rural Employment Guarantee Act 2005 – for enhancement of livelihood security among the poor in rural areas.

The reason that state investments are not directly transferred to the targeted poor, and channeled through state run development schemes, rests on the assumption that such initiatives are likely to build capabilities, raise income levels and have multiple spin-off effects in the long run. The investments are thus envisaged to have both intrinsic and instrumental value. However, given India’s existing levels of poverty and differentials in human development, clearly signify that neither intrinsic nor instrumental impacts are being optimally attained. The obvious question then, after five decades of development planning and significant investments of financial and other resources, is why there are continuing and large gaps between the social sector outlays made by the State and the outcomes of these investments? The note of caution is not to confuse an effort for greater efficiency and effectiveness in terms of spending current outlays and realizing desired outcomes, with indifference to the mobilization of additional resources.

With low levels of human development indicators in health and education, and with 26% of the population below poverty line, increasing allocation for social sector is the need of the hour and more so if we want to achieve the human development goals set by the country. However, the best argument for mobilizing more resources is ensuring that the present outlays translate into desired outcomes.

Continuing analysis of the reasons for sub-optimal outcomes have led to continuously evolving approaches and measures to development programming. Recognizing the need for greater responsiveness, the overarching focus has been on citizen involvement as active participants instead of beneficiaries in the development process. In recent times, the move has been towards devolution of power to manage local affairs and decentralization of decision-making; improving transparency, accountability, and sensitivity of institutions and delivery systems; need based quality service delivery mechanisms; and an enabling policy framework. These have included the enactment of the Constitutional 73rd Amendment Bill, for the creation of statutory institutional structures for realizing the goals of self-governance under the Panchayati Raj system and the recent Right to Information Act. In addition, efforts have been made to strengthen institutional arrangements, build institutional capacities, implement institutional reforms — involving improvement in outreach and quality of services of delivery mechanisms, and decentralizing delivery mechanisms —, ensure implementation of rules and guidelines, and involve participation of various stakeholders from the planning the implementation stages. However, despite the recognition, relevant rhetoric and enabling changes in the environment, progress in the desired direction has continued to be elusive. For, basic capacities are required in the community to demand minimum wages as prescribed by the government, participate as active members in the Gram Sabha, use the information obtained through enabling legislation, initiate action against people who have been misusing panchayat funds and fight corruption. For the millions of marginalized people in the country, the odds of being able to participate on favorable terms and conditions in the overall development process, in order to build their capabilities and access opportunities, itself is dependent on a basic set of capacities that are fundamental to participation, especially in a context where there are high inequalities, vested power structures and institutionalized processes of discrimination and exclusion.

Poverty is multi-dimensional, and it is essential that the capacities of the community are strengthened so that they are able to acquire a range of assets and capabilities at the individual level (health, education and housing) and at the collective level (the ability to take collective action) to solve their problems. Poverty is bound with the condition of capability deprivation. Therefore, for people to take advantage of poverty-reduction programs and development, they need
to be empowered. Empowerment connects growth and human development by broadening human capabilities and improving the distribution of resources.

The Sustainable Tribal Empowerment Project (STEP) is being implemented in four tribal districts of Andhra Pradesh since November 2001 with the objective of capacitating tribal communities to plan and manage their community development activities and empowering the tribal community for self-help and mutual trust to recognize their rights and duties, and overcome poverty, hunger and malnutrition. STEP aims to directly impact the lives and livelihoods of the tribal community through interventions in education, health, livelihoods (micro-finance and micro-projects) and local self-governance with social mobilization as the overarching strategy. STEP’s operational strategy involves building and strengthening existing institutions at the community-level by promoting involvement of the people in micro-level planning (decision-making through the action-oriented learning process) and multi-stakeholder partnerships to bridge existing gaps between service delivery and community accessibility by attempting to match basic community needs and demands through more responsive development services. With the help of local partner NGOs and community-based organizations (CBOs) and in collaboration with the Integrated Tribal Development Agencies (ITDAs) of the State government, STEP is implementing process-oriented, multi-sectoral initiatives, and integrating them with approaches based on rights, social equity and gender sensitivity. This has involved the development of strategies in each intervention, each strategy consisting of a series of activities. The objective of each activity has been defined, processes outlined and desired outcomes drawn out. These have been meticulously measured through a group of indicators, which collectively formed the empowerment indices (human and gender empowerment index), for each dimension of development – social, economic and political. Given the low status of women, particularly tribal women, each set of empowerment indicators was separately adjusted to reflect the gender inequality in each major dimension of development. To validate and compare the empowerment levels achieved in the four Project districts, the neighboring district of Khammam was selected as a control district and the empowerment indices for the district measured. The achievement of the Project was apparent when the empowerment indices in the Project Area were compared with that of the Control Area. One of the most notable findings of the empowerment measurement is that the aggregate Gender Empowerment Index (GEI) in the Project Area is almost at par with the aggregate Human Empowerment Index (HEI) in the social dimensions, while the differential in the political dimension is still substantial. Comparing the indices of the Project Area with the Control Area, it is found that the Control Area shows lower levels of HEI and GEI. Considering that gender differentials are also slightly higher in the Control Area, and that too measured on a lower base, it is evident that Project interventions have been successful in raising the overall empowerment index as well as bridging the gender differential. Particularly, in local organizational capacity, the gender differential in the Project Area is much lower than that of the Control Area, indicating that the Project has had a significant impact in this crucial aspect.

Empowerment is measured through both processes and outcomes. As a process it facilitates individuals, groups, organizations, institutions and societies to develop abilities so as to perform functions, solve problems and achieve objectives. As outcomes, it involves citizen’s attempts to gain greater control in their community and influence external institutions as a result of such processes. STEP as a project has been successful in demonstrating both dimensions of empowerment.

The path traversed by STEP has been one characterized by tremendous challenges and hopes. The challenges have been with empowering the tribal communities in the four coastal districts of Andhra Pradesh, residing in about 6000 hamlets in inaccessible forest lands, enjoying very low levels of literacy and health, and living on the edge of socio-political awareness and empowerment. The hopes have been with empowering them with knowledge about their rights and entitlements, building their capacities to take charge of their development needs, and mobilizing them through
massive social mobilization efforts leading to effective action. In a short span of just above four years, STEP has tried to provide palpable evidence to solve the riddle of the disconnect between economic growth on the one hand and human development and empowerment on the other, that continues to plague development planning till date. By building capacities in the tribal communities of Andhra Pradesh to transform the development paradigm and become masters of their own destiny, we believe that STEP has pioneered a development model that addresses different dimensions of human development and empowerment. It has showcased mechanisms for bridging the gap between social sector outlays and commensurate outcomes. It has demonstrated interventions that work with the existing service delivery system, but enable the client, the community, to be in charge. In short, it has taken the country’s development debate a significant STEP forward.
Section A

Overview

This section presents a comprehensive situation of tribal communities in India and the Project area, and discusses the project rationale, conceptual empowerment framework and presents the overall impact in terms of human empowerment.

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- Rationale of STEP 11
- Empowerment – The Central Theme of STEP 17
- State of Human Empowerment 23
Introduction

Long years ago we made a tryst with destiny, and now the time comes when we shall redeem our pledge, not wholly or in full measure, but very substantially. A moment comes, which comes but rarely in history, when we step out from the old to the new...

The achievement we celebrate today is but a step... to the greater triumphs and achievements that await us. Are we brave enough and wise enough to grasp this opportunity and accept the challenge of the future?

That future is not one of ease or resting but of incessant striving so that we may fulfil the pledges we have so often taken and the one we shall take today. The service of India means the service of the millions who suffer. It means the ending of poverty and ignorance and disease and inequality of opportunity... We have to build the noble mansion of free India where all her children may dwell.

The future beckons to us. Whither do we go and what shall be our endeavour? To bring freedom and opportunity to the common man, to the peasants and workers of India; to fight and end poverty and ignorance and disease; to build up a prosperous, democratic and progressive nation, and to create social, economic and political institutions which will ensure justice and fullness of life to every man and woman.

This is part of the speech delivered by our first prime minister, Pt. Jawaharlal Nehru to the Constituent Assembly in New Delhi, on the eve of Independence Day, August 15, 1947. Fifty-eight years of development and nine Five-year Plans later we still have a long way to go, with a significant portion of the population living below the poverty line. While, on the one hand, the country has made impressive strides in food grain production, industrial growth, and Information Technology, and is emerging as one of the fastest growing economies in the world in the post-liberalization era, 260 million Indians still live below the poverty line. While, on the one hand, the country has made impressive strides in food grain production, industrial growth, and Information Technology, and is emerging as one of the fastest growing economies in the world in the post-liberalization era, 260 million Indians still live below the poverty line. While, on the one hand, the country has made impressive strides in food grain production, industrial growth, and Information Technology, and is emerging as one of the fastest growing economies in the world in the post-liberalization era, 260 million Indians still live below the poverty line. While, on the one hand, the country has made impressive strides in food grain production, industrial growth, and Information Technology, and is emerging as one of the fastest growing economies in the world in the post-liberalization era, 260 million Indians still live below the poverty line. While, on the one hand, the country has made impressive strides in food grain production, industrial growth, and Information Technology, and is emerging as one of the fastest growing economies in the world in the post-liberalization era, 260 million Indians still live below the poverty line. While, on the one hand, the country has made impressive strides in food grain production, industrial growth, and Information Technology, and is emerging as one of the fastest growing economies in the world in the post-liberalization era, 260 million Indians still live below the poverty line. While, on the one hand, the country has made impressive strides in food grain production, industrial growth, and Information Technology, and is emerging as one of the fastest growing economies in the world in the post-liberalization era, 260 million Indians still live below the poverty line. While, on the one hand, the country has made impressive strides in food grain production, industrial growth, and Information Technology, and is emerging as one of the fastest growing economies in the world in the post-liberalization era, 260 million Indians still live below the poverty line.

However, it would be incorrect to say that no progress has been made since the country achieved independence. On almost all the parameters, which describe the quality of life of a citizen, we have certainly marched forward. (Refer to Table 1)

- India is one of the largest economies in the world. Its total GDP in 2003 was $600 billion. India’s Annual Per Capita Income has increased from INR 3687 in 1951 to INR 12,416 in 2005.
- India’s Per Capita Consumption Expenditure (INR/month) has increased from INR 125 in 1983 to INR 591 in 2001.
- Life expectancy at birth has gone up from 41 years in 1951 to 61 years in 2001.
- The literacy rate also has gone up from 17% to 65% in the same period. However, the process of development should be viewed and assessed in terms of what it has done for an average individual. It has also to be examined in terms of the benefits and opportunities that it generates for people overall and how they are eventually distributed between men and women, across all classes and regions. Hence, development outcomes should

<table>
<thead>
<tr>
<th>Year</th>
<th>Human Development Index Trend (India)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1975</td>
<td>0.407</td>
</tr>
<tr>
<td>1980</td>
<td>0.434</td>
</tr>
<tr>
<td>1985</td>
<td>0.473</td>
</tr>
<tr>
<td>1990</td>
<td>0.511</td>
</tr>
<tr>
<td>1995</td>
<td>0.545</td>
</tr>
<tr>
<td>2000</td>
<td>0.577</td>
</tr>
<tr>
<td>2003</td>
<td>0.602</td>
</tr>
</tbody>
</table>

Source: Human Development Report, 2005
be evaluated from both the “conglomerative perspective”, which focuses on advances made by all groups in each community, and “deprivational perspective”, which judges the quality of life led by the poor and marginalized. In addition, development outcomes should also be judged on the basis of gender, caste, and rural-urban factors.

**Indian Development Scenario**

In India, 260 million people still live below the poverty line, more than 210 million people are undernourished, 74% of the total children suffer from moderate anaemia and 52% of total women in the country suffer from some kind of anaemia. (Refer to Table 2)

India accounts for one out of every five child deaths in the world, amounting to 2.5 million child deaths annually; 63 of every 1,000 infants born in India die within a year, while the corresponding figure is 46 in Bangladesh and just 13 in Sri Lanka. Only 42% of its children are fully immunized; a person born in India lives 14 years lesser than one born in a developed country. About 300 million people in the age-group of seven years and above are illiterate; 40% children will not complete primary education and 60% of children enrolled in schools drop out before they even complete secondary education. These figures reveal the poor quality of life led by millions in the country, which is concealed when we observe the overall progress the country has made in the last half century.

In comparison to the poverty status of the general population, a review of the status of the tribal communities presents an even grimmer picture.

**Tribal Situation in India**

The tribal situation in the country presents a varied picture. Some areas have high tribal concentration while in other areas the tribals form only a small portion of the total population. There are some tribal groups, which are still at the food gathering stage, some others practice shifting cultivation, yet others may be pursuing primitive forms of agriculture.

The tribal population of the country, as per the 2001 census, is 84.3 million, constituting 8.2% of the total population, more than in any other country in the world. It has grown by 2.45% per annum during the period 1991-2001 with more than 70% concentrated in Andhra Pradesh, Bihar, Chhattisgarh, Gujarat, Jharkhand, Madhya Pradesh, Maharashtra, Orissa, West Bengal and North-Eastern states.

**Tribal Development Scenario**

The situation and lifestyle of the tribal people are conditioned by and in alignment with natural eco-systems and its resources. Mostly inhabiting remote, hilly and forest areas, tribal groups are predominantly considered ‘traditional’ societies with ‘indigenous’ cultures, leading isolated and secluded lives, cut off from the mainstream.

Tribal people worship their own pantheon of nature gods and goddesses and continue to practice in their ancient customs and manners. Their languages do not have scripts and are essentially verbal.

Tribals maintained an autonomous existence till their territories were opened up by the British for strategic reasons such as exploitation of...
The Seven major tribes and their respective locations are:

- Gonds: Madhya Pradesh, Chhattisgarh, Andhra Pradesh, Maharashtra, Jharkhand, Gujarat, Karnataka, Orissa, West Bengal
- Bhils: Madhya Pradesh, Gujarat, Rajasthan
- Santhals: Jharkhand, Orissa, West Bengal, Tripura
- Minas: Rajasthan, Madhya Pradesh, Jharkhand, Chhattisgarh
- Oraons: Jharkhand, Madhya Pradesh, Chhattisgarh, Maharashtra, Orissa, West Bengal
- Mundas: Jharkhand, Madhya Pradesh, Chhattisgarh, Orissa, Tripura, West Bengal
- Khonds: Orissa, Bihar, Andhra Pradesh, Maharashtra, Madhya Pradesh, West Bengal

Who are the Tribals?

Tribals in India are a pre-class society united by a ‘fabric of kinship’. They had a historical role in the evolution of human society. Though there are historically seven major tribes represented in India, they have over the years split into hundreds of different sub-tribes, each with their own language, tradition and customs.

The Seven major tribes and their respective locations are:

- Gonds: Madhya Pradesh, Chhattisgarh, Andhra Pradesh, Maharashtra, Jharkhand, Gujarat, Karnataka, Orissa, West Bengal
- Bhils: Madhya Pradesh, Gujarat, Rajasthan
- Santhals: Jharkhand, Orissa, West Bengal, Tripura
- Minas: Rajasthan, Madhya Pradesh, Jharkhand, Chhattisgarh
- Oraons: Jharkhand, Madhya Pradesh, Chhattisgarh, Maharashtra, Orissa, West Bengal
- Mundas: Jharkhand, Madhya Pradesh, Chhattisgarh, Orissa, Tripura, West Bengal
- Khonds: Orissa, Bihar, Andhra Pradesh, Maharashtra, Madhya Pradesh, West Bengal

forests and mineral resources, and regular supply of cheap labor.

Despite the protection given to the tribal population by the Constitution of India (1950) (Refer to Annexure 5 and 6), they remain the most backward ethnic group in India, on the three most important indicators of development: health, education and income. Tribals are more backward not only compared with the general population, but also compared to the Scheduled Caste (SC), the other acknowledged backward social group with constitutional protection. (Refer to Table 3)

In fact, the conditions of tribals in post-independence India have, in many ways, worsened. Tribals are the
The vulnerable condition of the Scheduled Tribes (STs) is further exacerbated. STs have often been exploited to forego their most important resource — land. Nearly 85.39 lakh tribals had been displaced until 1990 on account of some mega development Project, or reservation of forests as National Parks. Overall, they constitute at least 55.16% of the total displaced people in the country. Displacement of tribals from their land amounts to violation of the Fifth Schedule of the Constitution as it deprives them of control and ownership of natural resources and land essential for their way of life.

The Constitution provides for the notification of certain communities as tribal. A tribe becomes a Scheduled Tribe (ST) only when it is notified in the Schedule under Article 342 of the Constitution of India. The notification is on the basis of a varied mix of ethnic, social, linguistic and economic criteria. This usage is the only available working definition of a tribal in India. (Refer to Annexure 1)

Responses to Tribal Development

The Constitution of India provides for a comprehensive framework for the socio-economic development of STs and for preventing their exploitation by other groups of society. A detailed and comprehensive review of the tribal problem was done on the eve of the Fifth Five-Year Plan and the Tribal Sub-Plan (TSP) strategy took note of the fact that an integrated approach to the tribal problems was necessary in terms of their geographic and demographic concentration.

Accordingly, the tribal areas in the country were classified under three broad categories:

- States and Union Territories having a majority ST population.
- States and Union Territories having substantial tribal population but majority tribal population in particular administrative units, such as blocks and tehsils.
- States and Union Territories having dispersed tribal population.

The TSP strategy has been adopted for all

Table 3
Comparison of Tribal and General Development Indicators in India

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Scheduled Tribes</th>
<th>General Population</th>
</tr>
</thead>
<tbody>
<tr>
<td>Population below Poverty Line</td>
<td>46 %</td>
<td>26%</td>
</tr>
<tr>
<td>Mortality Rates</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(i) IMR (per 1000 live births)</td>
<td>84.2</td>
<td>70</td>
</tr>
<tr>
<td>(ii) MMR (per 1000 live births)</td>
<td>5 to 8</td>
<td>4</td>
</tr>
<tr>
<td>Literacy</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>29.60%</td>
<td>65.20%</td>
</tr>
<tr>
<td>Male</td>
<td>25.25%</td>
<td>75.64%</td>
</tr>
<tr>
<td>Female</td>
<td>18.19%</td>
<td>54.03%</td>
</tr>
<tr>
<td>School Drop-outs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1st - 5th Class</td>
<td>74.26%</td>
<td>39.58%</td>
</tr>
<tr>
<td>1st - 7th Class</td>
<td>82.39%</td>
<td>56.82%</td>
</tr>
<tr>
<td>Access to safe drinking water</td>
<td>43.21%</td>
<td>62.30%</td>
</tr>
<tr>
<td>Road Length per sq. km.</td>
<td>1.65 %</td>
<td>46.79 %</td>
</tr>
</tbody>
</table>


most adversely affected ethnic group due to developmental Projects of dams, factories and mines. Though they constitute only 8.2% of the national population, 40% of them have been displaced due to developmental Projects since independence. The commercial exploitation of tribal land, which accounts for nearly 20% of the country’s landmass, has assumed a disturbing dimension. Tribal rights to land, forest and water have been seriously eroded, as non-tribal peasants, traders, businessmen and other categories of aliens have moved onto tribal land. Imperatives of economic development in post-independent India have continued to uproot tribals from their habitat without successfully rehabilitating them, thus leading to their increasing marginalization.

Among the tribal communities, the
round development of tribal areas throughout
the country since the Fifth Five-Year Plan.
Under the TSP approach almost entire tribal
inhabited area has been covered under one of
the following, depending upon their population
percentile:

i) Integrated Tribal Development Project
(ITDP)

ii) Modified Area Development Approach
(MADA)

iii) Clusters

iv) Primitive Tribal Groups (PTGs)

The TSP approach ensures allocation of funds
for tribal areas from State Plans as well as
Central Ministries, at least proportionate to the
population of tribals in the state (from State
Plan) and to the overall proportionate tribal
population for the country from the budget of
Central Ministries and Financial Institutions,
etc.

Integrated Tribal Development
Project (ITDP)

With several departments working in the sub-
plan area, tribals were being forced to approach
several agencies to redress their grievances in
developmental as well as regulatory matters.
It was therefore considered necessary by the
government that all officers and staff working
in the sub-plan area, irrespective of their
departments, should be brought under the
administrative control of a single agency, the
Integrated Tribal Development Agency, under
the administration of a Project Officer (PO). The
objective was to facilitate better coordination
amongst all functionaries operating in the sub-
plan area and provide a single agency to cater
to the tribals.

The ITDPs are generally contiguous areas of
the size of a tehsil or block or more, in which
the ST population is 50% or more of the total.
On account of demographic reasons, however,
ITDPs in Assam, Karnataka, Tamil Nadu, West
Bengal may be smaller or not contiguous. Andhra
Pradesh and Orissa have opted for an agency
model under the Registration of Societies Act
and the ITDPs there are known as Integrated
Tribal Development Agencies (ITDAs).

So far 194 ITDPs/ITDAs have been delineated
in the country in the states of Andhra Pradesh,
Assam, Bihar, Gujarat, Himachal Pradesh,
Karnataka, Kerala, Madhya Pradesh, Maharashtra,
Manipur, Orissa, Rajasthan, Sikkim, Tamil Nadu,
Tripura, Uttar Pradesh, West Bengal and Union
Territories of Andaman & Nicobar Island and
Daman & Diu. In Jammu and Kashmir though
no ITDP has been delineated yet, the areas
having ST population in the state are treated as
covered under the TSP strategy. In eight states
having scheduled areas, the ITDPs/ITDAs are
generally co-terminous with TSP areas. Project
Officers head the ITDPs/ITDAs though they
may be designated Project Administrators or
Project Directors.

Modified Area Development Approach
(MADA) Pockets

These are identified pockets of concentration
of ST population containing 50% or more ST
population within a total population of a
minimum of 10,000. The total number of MADAs
identified so far in the various TSP states is
259. Generally, MADA pockets do not have
separate administrative structures to implement
development programs. The line departments
of the state government are expected to implement
development programs in MADA pockets under
the overall control of the district authorities.

Clusters

These are identified pockets of tribal
concentration containing 50% or more ST
population within a total population of about
5,000 or more. As in the case of MADA pockets,
there are no separate administrative structures
for Clusters. So far 82 Clusters have been
identified in various TSP states.

Primitive Tribal Groups

Primitive tribal groups (PTGs) are tribal
communities among the STs who live in near
isolation in inaccessible habitats. They are
characterized by primitive technology, a low
population growth rate and extremely low
levels of literacy. So far 75 PTGs have been
identified.
The well-being of any society depends importantly on the status of their women. The popular image and perception of the tribal women is that of being better off than their non-tribal counterparts. It is widely recognized that tribal women enjoy a better status within their own communities than women in mainstream Indian society do. There are fewer restrictions on their mobility. Women have considerable freedom of choice in the selection of marriage partners and tribal cultures have liberal norms related to divorce and remarriage by women. Due to their important role in the agriculture-cum-forest based tribal economies, women have traditionally enjoyed respect as economically-productive members of their communities. This is reflected in the tradition of ‘bride price’ instead of ‘dowry’ among most tribal communities. A major indicator of tribal women’s better status is the favorable tribal female to male ratio when compared to those of other communities.

There is no child marriage, no stigma on widowhood. The tribal women enjoy the right to decide about their marriage. A tribal woman can divorce and remarry easily. She earns and is, therefore, to a great extent, economically independent. A higher social status of women was reported by Furer-Haimendorf [1943] Hutton [1921], Hunter [1973] and Firth [1946] among Tharus of Uttar Pradesh, and Nagas and Garos of the North-East.

Alternatively, there are many facts, which indicate a lower status for tribal woman. For example, she does not have property rights except in a matrilineal society, which is a small proportion of the tribal population. She is paid lower wages than her male counterpart for the same work. Several taboos discriminating against tribal women exist in certain tribal groups implying impurity and low status. A tribal woman cannot hold the office of a priest. The Kharia woman cannot touch a plough nor can they participate in roofing of a house. The Oraon women are also prevented from touching a plough. In certain tribes only the males can participate in ancestor worship (Satyanarayana and Behera, 1986). The Toda and Kota women in southern India cannot cross the threshold of a temple. The Santhal women cannot attend communal worship.

Among the settled agricultural tribes, however, there have been two crucial areas of gender inequality by tradition, property rights and political participation. Among most agricultural tribes in the study area, property, particularly land, passes through the male lineage and under customary law, women do not have inheritance rights to land. Their customary laws govern matters of inheritance and rights to property among these tribes. The second important area of gender inequality among the settled tribes has been the exclusion of women from political participation, even from traditional community institutions. Rivers (1973), Dalton (1872) and Grigson (1938) have reported low status of women among Todas, Kharias and Mariya Gonds with reference to certain taboos during certain periods and ceremonies. Majumdar (1973) has reported a higher status of tribal women on some indicators while lower on other, while Shashi (1978) has concluded that the status of tribal women varies from tribe to tribe.

### Table 4

**Distribution of Landed Households by Ownership right over Land by District (in percent)**

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Ownership Right</th>
<th>SKL</th>
<th>VZM</th>
<th>VSP</th>
<th>EG</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Husband</td>
<td>76.79</td>
<td>79.80</td>
<td>78.34</td>
<td>70.10</td>
<td>76.64</td>
</tr>
<tr>
<td>2.</td>
<td>Wife</td>
<td>7.74</td>
<td>4.38</td>
<td>1.96</td>
<td>7.67</td>
<td>4.20</td>
</tr>
<tr>
<td>3.</td>
<td>Both</td>
<td>0.79</td>
<td>0.34</td>
<td>0.14</td>
<td>--</td>
<td>0.22</td>
</tr>
<tr>
<td>4.</td>
<td>Grownup sons</td>
<td>0.40</td>
<td>0.51</td>
<td>1.46</td>
<td>0.92</td>
<td>1.08</td>
</tr>
<tr>
<td>5.</td>
<td>Grownup daughters</td>
<td>--</td>
<td>--</td>
<td>--</td>
<td>0.11</td>
<td>0.02</td>
</tr>
<tr>
<td>6.</td>
<td>Joint family</td>
<td>11.90</td>
<td>13.64</td>
<td>16.52</td>
<td>18.33</td>
<td>15.93</td>
</tr>
<tr>
<td>7.</td>
<td>Others</td>
<td>2.38</td>
<td>1.35</td>
<td>1.59</td>
<td>2.86</td>
<td>1.92</td>
</tr>
</tbody>
</table>
The status of any social group is importantly determined by its levels of health-nutrition, literacy-education and employment-income. However, the importance of women in the tribal society is more important than in other social groups in India, because of the fact that the tribal woman works harder and the family economy and management depends on her.

**Health Status**
IMR is higher among the tribals as compared to the national average. The nutritional status of tribals is low. Life-expectancy in tribals is lower than the national average. A high incidence of Sickle Cell disease (HbSS) and Glucose-to-Phosphate Enzyme Deficiency (G-6-80) is witnessed in some tribal groups. Higher fertility rate is reported in tribal women as compared to the national average. (Basu S., 1993)

**Education Status**
The literacy rate of tribals is lower than that of the general population as well as the Scheduled Caste (SC) population. Literacy rate of rural tribal women is the lowest of all groups. There is a gender bias in the literacy of tribal population as in other groups, with female literacy being lower than male literacy. Though there has been a five-fold increase in the literacy of tribal females, it is still much lower than the national average.

**Employment Status**
Tribal women are working women almost without any exception. Working women in all social groups work harder than men. This is more so for tribal women. In fact they are overworked; they rise early in the morning and go to the forest to collect fuel, fetch water, help in agricultural activities, cook for the family, look after the children, do the washing, etc.

A very large majority of the tribals (almost 90%) are engaged in agriculture; their other economic activities being food gathering (including hunting and fishing), handicrafts, trade and commerce, and industrial labor. Rarely are they engaged in only one occupation.

Only less than 10% of the tribal women are involved in activities other than agriculture. This is less than half the percentage of females in the general population in similar occupations. This category includes livestock, forestry mining/quarrying, manufacturing/processing/servicing and repairs in household as well as non-household industries, trade/commerce and services.

With the advent of modern agricultural implements, unemployment of women has increased and they have been migrating to other areas as laborers. Further marginalization of tribal women has occurred due to several restrictions regarding forest use.

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Panchayats Extension to Scheduled Areas (PESA) Act

In December 1996, the Parliament passed the PESA Act recognizing the tribals’ right to self-rule. PESA is unprecedented because it gives radical self-governance power to the tribal community and recognizes its traditional community rights over natural resources. It legally recognizes the capacity of tribal communities to strengthen their own systems of self-governance or create new legal spaces and institutions to help reverse centuries of cultural and political onslaught on their land and community.

If implemented in both letter and spirit, the Gram Sabha of the village would become the focal institution, now endowed with significant powers. For instance, under section 4(d) of PESA: ‘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.’

The Ministry of Tribal Affairs (MoTA) is also implementing various Centrally-sponsored and Central sector schemes under which financial assistance ranging from 50% to 100% is given to the states and UTs. These funds are used for construction of hostels and coaching of ST students for competitive examinations, upgradation of their merit, research and training, setting up of ashram schools, vocational training centers, village Grain Banks, educational complexes for ST girls in low literacy pockets and development of PTGs. Besides, NGOs have also been involved in the development of STs.

With the prime objective of providing marketing assistance and remunerative prices to tribals for their minor forest produce (MFP) and surplus agricultural produce (SAP) and to wean them away from exploitative private traders and middlemen, the Tribal Co-operative Marketing Development Federation (TRIFED) was set up by the government in the year 1987. TRIFED has ensured remunerative prices for the MFP to tribals.
Rationale of STEP

Tribals of Andhra Pradesh

Andhra Pradesh is one of the most populous States in India with a population of around 76 million people (7% of the total Indian population), out of which 73% live in rural areas. It has a sizeable ST population, numbering 5,024,104 and constituting 6.6% of its total population. There are a total of 34 tribes in Andhra Pradesh, of which 9 belong to the PTGs. Prominent among them are the Khonds, Kolamis, Nayakpods, Koyas, Konda Doras, Valmikis, Bhagatas, Savaras, Jatapus, Gadabas, Yanadis and Chenchus.

From the earliest times, the Telangana region had among its native inhabitants, foresters and hill-men, and other tribals. Some tribals inhabited the sea-board region. Their habitat spreads along the coastal and mountain strip of the Bay of Bengal from the Bhadragiri agency in Srikakulam district to the Bhadrachalam agency in Khammam and Godavari districts. From there it spreads north-eastwards to the Adilabad region. This tribal area is contiguous to the tribal areas of Bastar, Dandakaranya and Vidarbha. Tribal communities are mainly concentrated in the hilly and forest areas of eight districts of Northern Andhra Pradesh namely Srikakulam, Vizianagaram, East Godavari, Visakhapatnam, West Godavari, Khammam, Warangal and Adilabad.

In Andhra Pradesh there are several nomadic tribes such as Piccukaguntlu, Balasanta, Saradakandru, Viramushtivaru, Bavanilu, Birannalavaru, Gollasuddulu, Dasarulu, Jangamulu, Kommuvaru and others. The main occupation of some Telugu nomads is ballad singing while others are occupied in itinerary trade and commerce. The womenfolk are engaged in cottage industries such as making toys, baskets, mats, beads and cosmetics. They are always on the move, subject to changes in weather. Overall the livelihood of most of the tribal communities revolves around marginal agriculture, dangar cultivation (shifting cultivation) and forest-based activities (Refer to Table 6).

In 1986, ITDAs in Srikakulam, Vizianagaram, Visakhapatnam, East Godavari, West Godavari, Khammam, Warangal and Adilabad in Andhra Pradesh, were established with the primary object of ensuring an integrated approach towards implementation of developmental programs for tribals in the sub-plan area. The ITDAs are vested with administrative control over agriculture, horticulture, livestock farms, and ashram schools.

However, there remained overt gaps in the service delivery system due to low outreach of development programs to remote tribal areas, insufficient human resources, particularly in health and education sectors, and low capacities of the frontline service providers. All these factors cumulatively accentuated the impoverishment, exclusion and alienation of tribal communities from mainstream development, both in terms of availability of in situ socio-economic opportunities and accessibility to basic development and civic services. Consequently, poverty levels for STs were significantly higher than the general population in the state. The development indices of STs confirm the limited impact of majority of the state’s poverty reduction programs (Refer to Table 7). Therefore, there is a growing concern that without adequate efforts to empower tribal communities, state-wide investments in rural poverty reduction may not translate into

There are 698 Scheduled Tribes (STs) spread all over the country. Seventy-five of these are identified as Primitive Tribal Groups (PTGs) considering they are more backward. These tribes continue to live in a pre-agricultural economy and have very low literacy rates. Their populations are stagnant or declining.

Orissa has the largest number of STs (68). Andhra Pradesh has a total of 34 STs, of which nine belong to the PTGs.
tangible and sustainable improvements in the lives and livelihoods of the tribal poor.

In view of the wide disparities in levels of development between the general population and STs, the Government of Andhra Pradesh (GoAP) has been making continuous efforts for tribal development through framing of appropriate policies and specific poverty reduction programs. In addition to promoting the national mandate of universalization of primary education among tribal children, in 2004, the GoAP also initiated the drafting of a State policy for tribal youth. Simultaneously, the GoAP is also actively engaged in the formulation of relevant rules for implementation of the PESA (Panchayats Extension in Scheduled Areas) Act for the promotion of Panchayats or local self-governance bodies at the village-level. However,

### Table 6

**Occupation of Tribal Communities in Andhra Pradesh**

<table>
<thead>
<tr>
<th>Tribe</th>
<th>Districts of Concentration</th>
<th>Major Occupation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Konda Reddy</td>
<td>East Godavari, West Godavari, parts of Khammam</td>
<td>Shifting cultivation, Collection of Minor Forest Produce and Horticulture</td>
</tr>
<tr>
<td>2. Gadaba</td>
<td>Srikakulam, Vizianagaram, Visakhapatnam</td>
<td>Settled agriculture</td>
</tr>
<tr>
<td>3. Porja</td>
<td>Visakhapatnam</td>
<td>Shifting cultivation</td>
</tr>
<tr>
<td>4. Khond</td>
<td>Visakhapatnam</td>
<td>Shifting cultivation, Minor Forest Produce gathering</td>
</tr>
<tr>
<td>5. Savara</td>
<td>Srikakulam, Vizianagaram</td>
<td>Shifting cultivation (Konda Savara), Settled agriculture (Plain Savara), Horticulture, Minor Forest Produce gathering</td>
</tr>
<tr>
<td>6. Jatapu</td>
<td>Srikakulam, Vizianagaram</td>
<td>Settled agriculture</td>
</tr>
<tr>
<td>7. Konda Dora</td>
<td>Srikakulam, Vizianagaram, Visakhapatnam, East Godavari</td>
<td>Settled agriculture</td>
</tr>
<tr>
<td>8. Bhagatha</td>
<td>Visakhapatnam</td>
<td>Settled agriculture</td>
</tr>
<tr>
<td>9. Valmiki</td>
<td>Visakhapatnam, East Godavari</td>
<td>Settled agriculture</td>
</tr>
<tr>
<td>10. Koya</td>
<td>East Godavari, West Godavari, Khammam, Warangal, Karimnagar and parts of Adilabad</td>
<td>Mostly settled agriculture (and also Horticulture in East Godavari &amp; West Godavari)</td>
</tr>
<tr>
<td>11. Goudu</td>
<td>Visakhapatnam, Srikakulam, Vizianagaram, East Godavari</td>
<td>Shifting cultivation, Settled cultivation, Cattle rearing</td>
</tr>
<tr>
<td>12. Kammara</td>
<td>Srikakulam, Vizianagaram, Visakhapatnam, East Godavari</td>
<td>Black smithery, carpentry, shifting cultivation, settled cultivation</td>
</tr>
<tr>
<td>13. Konda Kapu</td>
<td>Srikakulam, Vizianagaram, Visakhapatnam, East Godavari and West Godavari</td>
<td>Shifting cultivation, MFP gathering, Settled cultivation</td>
</tr>
<tr>
<td>14. Kotia</td>
<td>Vizianagaram, Visakhapatnam</td>
<td>Agriculture</td>
</tr>
<tr>
<td>15. Kulia</td>
<td>Visakhapatnam</td>
<td>Agriculture and MFP gathering</td>
</tr>
<tr>
<td>16. Mali</td>
<td>Srikakulam, Vizianagaram, Visakhapatnam</td>
<td>Floriculture, Settled agriculture, Vegetable cultivation</td>
</tr>
<tr>
<td>17. Manne Dora</td>
<td>Srikakulam, Visakhapatnam, East Godavari</td>
<td>Agriculture</td>
</tr>
<tr>
<td>18. Mukha Dora</td>
<td>Srikakulam, Visakhapatnam, East Godavari</td>
<td>Agriculture, MFP gathering</td>
</tr>
<tr>
<td>19. Reddi Dora</td>
<td>Srikakulam, Visakhapatnam</td>
<td>Agriculture, Podu cultivation, MFP gathering</td>
</tr>
<tr>
<td>20. Rona Rena</td>
<td>Srikakulam, Vizianagaram, Visakhapatnam</td>
<td>Settled cultivation, Podu cultivation</td>
</tr>
<tr>
<td>21. Valmiki</td>
<td>Srikakulam, Visakhapatnam, East Godavari</td>
<td>Agriculture, MFP gathering, Podu cultivation, Traders</td>
</tr>
</tbody>
</table>
### Rationale of STEP

Development and empowerment of tribal communities is a challenging objective, even in a progressive state like Andhra Pradesh.

**Sustainable Tribal Empowerment Project (STEP)**

Sustainable Tribal Empowerment Project is a multi-sectoral initiative aimed at significant and sustainable improvement in the quality of life of 235,000 poor and marginalized tribal communities in four districts of north coastal Andhra Pradesh, covering 20% of the total tribal population in the state. The Project was formally launched in November 2001 for a seven-year period with the support of European Union (EU) and is implemented by CARE India in partnership with ITDAs (Integrated Tribal Development Agencies, under the Department of Tribal Development, GoAP), local partner NGOs and community-based organizations (CBOs).

The Project is implemented in the tribal areas of Srikakulam, Vizianagaram, Visakhapatnam and East Godavari districts in northern Andhra Pradesh, India. The Project operational area covers 6,200 habitations in 778 Gram Panchayats spread over 42 mandals.

### Main Problems Being Addressed

The Project has been addressing the following problem areas:

- Inadequate efforts to build capacities of tribal communities to effectively manage and utilize developmental services, combined with a lack of enabling policy framework, have hindered the endeavour towards planned growth and development of tribal areas.
- Lack of awareness on rights and entitlements results in tribal community’s inability to access basic civic services.
- Low capacities of the frontline service providers, especially in health and education, along with the remote and difficult terrain are major obstacles that contribute to the low quality of services.
- Livelihoods of tribals revolve around subsistence agriculture and forest-based activities. Tribals have limited access to formal credit mechanisms and economic activities. The majority of tribal households comprise landless families that are dependent on low agricultural wage rates, often arbitrarily fixed by buyers in a market. The nature of the tribal economy is characterized by the dominating influence of buyers, very often linked to collateral securities with a high interest rate. Insecure tribal livelihoods characterized by food insecurity eventually results in distress migration.
- In addition to this, there is prevalence of inequality and discrimination in terms of participation, benefit sharing and inclusion. These conditions are more pronounced in the case of tribal women. Their status has been

### Table 7

**Comparison of Tribal and General Development Indicators in Andhra Pradesh**

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Scheduled Tribes</th>
<th>General Population</th>
</tr>
</thead>
<tbody>
<tr>
<td>Population below Poverty Line</td>
<td>61%</td>
<td>16%</td>
</tr>
<tr>
<td>Mortality Rates</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(i) IMR (per 1000 live births)</td>
<td>103</td>
<td>67</td>
</tr>
<tr>
<td>(ii) MMR (per 1000 live births)</td>
<td>5 to 8</td>
<td>3</td>
</tr>
<tr>
<td>Literacy</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(i) Total</td>
<td>17.16%</td>
<td>61.11%</td>
</tr>
<tr>
<td>(ii) Male</td>
<td>25.25%</td>
<td>70.85%</td>
</tr>
<tr>
<td>(iii) Female</td>
<td>8.68%</td>
<td>51.17%</td>
</tr>
<tr>
<td>School Drop-outs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(i) 1st – 5th Class</td>
<td>74.26%</td>
<td>46.71%</td>
</tr>
<tr>
<td>(ii) 1st – 7th Class</td>
<td>82.39%</td>
<td>64.98%</td>
</tr>
<tr>
<td>Access to Safe Drinking Water</td>
<td>45%</td>
<td>55%</td>
</tr>
<tr>
<td>Road Length per sq. km.</td>
<td>1.65%</td>
<td>46.79%</td>
</tr>
</tbody>
</table>

found to be lower than that of women in the SCs or in the general population and, contrary to popular belief, lower than the status of tribal men in their own community.

**Intervention Focus**

The Project works with multi-stakeholders to bring about improvement in the quality of life of tribals. The Project strategies are designed to address issues of low community capacities, low outreach and poor quality of social services, insecure livelihoods, and poor participation in local governance, weak institutional arrangements and gaps at the policy level. The cross cutting strategy employed by the Project is to enhance community capacities through access to information, inclusion/participation, strengthening local organizational capacities and improving quality of services. This overall approach is aimed at empowering the tribal communities to participate, negotiate, change, and hold accountable the institutions that affect their well-being.

STEP’s social mobilization initiatives strive to raise community awareness and build their capacities so that the communities can themselves bridge existing gaps in service delivery. STEP perceives its role in equipping the tribal communities so that they not only plan and manage their development activities on their own, but are also able to recognize and demand their rights and entitlements to overcome poverty.

With empowered communities’ increasing demand for basic services, STEP also works with the government to strengthen and sensitize the service delivery system to be responsive to the community’s demands. STEP undertakes capacity building of government frontline functionaries for effective service delivery and also of NGO staff to effectively facilitate social mobilization processes with emphasis on transparency and accountability.

The Project recognizes the judicious and systematic management of natural resources as a prerequisite of sustainable development. It demonstrates sustainable land and water management practices by harnessing indigenous knowledge and technical know-
how from livelihood support agencies for wider replication through ITDAs. Apart from this, women SHGs are promoted for bringing about women’s empowerment and enhancing household income by linking them with mainstream agencies. Majority of these SHGs have been promoted with little emphasis on building capacities resulting in most of them being defunct because of factors such as low literacy levels, lack of entrepreneurial motivation, lack of knowledge on market avenues, and absence of linkages of products with markets. SHGs exhibit varying degree of efficiency in terms of savings, thrift and business skills, and unmet credit demands. SHGs are now being federated into Village Organizations (VOs) and Mandal Samakhyas under the World Bank funded Indira Kranthi Pathakam. The Project supplements these efforts by strengthening the SHGs through building of good management practices that would strengthen the VOs. The Project focuses on establishing linkages to formal lending sources and also facilitating skill upgradation for promotion of micro enterprises through value addition to existing livelihood options.

Given the fundamental premise of the Project to complement and supplement mainstream agencies, it establishes convergence mechanisms at various levels to facilitate larger outreach and wider impact. Convergence mechanisms for the Project include the setting up of coordination mechanisms at the state level for policy advice, Project level for operational guidance, district and Mandal level for joint planning and coordination among various line departments. Apart from this, the Project also advocates for tribal rights and entitlements by supporting networks of NGOs to lobby for pro-tribal development policies. The overall approach is designed at enhancing community capacities while facilitating them to access existing opportunities to overcome their current poverty levels.

The 73rd Amendment to the Constitution in 1992 and the Panchayats Extension to Scheduled Areas (PESA) Act, 1996, provides space for the village community to take charge of governance at the grass-roots level through the Panchayati Raj Institutions (PRIs). The Act empowers the tribal villages to protect community property resources, control social sector functionaries and non-timber forest products (NTFP), manage water bodies, give recommendations for mining leases, be consulted for land acquisition, enforce prohibition, identify beneficiaries for poverty alleviation and other governmental programs. In the absence of proper guidelines, the PESA Act is not being properly implemented now.
Empowerment –
The Central Theme of STEP

Poverty, Economic Deprivation and Empowerment

Why is it that more than a quarter of our population still remains in abject poverty? Is it because of insufficient resources or their inefficient utilization? Is it due to misplaced strategies or weak emphasis?

Global experiences in poverty alleviation and development have provided us with valuable lessons, one of which is that poverty is not just about lack of income. Economic deprivation, or lack of income, is a standard feature of most definitions of poverty. And when poverty is defined thus, strategies for dealing with poverty are based on the same perspective. Most of the poverty eradication programs in the country have been seeking to address this through employment generating infrastructure-building schemes.

This view is not entirely without merit, since income does have an enormous influence on the quality of life. Impoverishment results frequently from inadequacy of income and low income is an important causal factor of poor living. However, when we view poverty as poor living or poor quality of life, it is obvious that we cannot limit its meaning simply to income. An impoverished life is one which is unable to take important decisions related to basic activities that an individual performs to lead a decent life.

Poverty is characterized by poor access and control over resources, the inability of the poor to exercise their choices voluntarily, and influence decisions which impact their own persons and households, apart from lack of material resources and assets. Not only are there unequal power relations in the community, many of the poor are socially excluded from mainstream community life. Therefore, poverty is bound with the condition of capability deprivation, not only evident in health, knowledge and education, but in people’s inability to exercise their civil and political rights and the lack of dignity and self-confidence in the public domain. When the marginalized poor are so disempowered, it is not surprising that development efforts of the past decades have not been successful in providing the poor a decent living.

Consequently, a very fundamental prerequisite to enlarging these choices is building human capabilities – the range of things that people can do or be in life. The very basic capabilities for human development are to lead long and healthy lives, to be knowledgeable, to have access to resources needed for a decent standard of living and to be able to participate in community life as well as social and political affairs. Without capabilities, many choices are simply not available, and many opportunities in life remain inaccessible.

While human development concerns the expansion of social, economic and political capabilities that widen people’s choices for leading the kinds of lives they value, empowerment focuses on the question of how the expansion of assets and capabilities, as well as inclusion, can enable people to take part in the development processes that shape their lives. It implies the presence of a democratic polity in which people can influence decisions on a scale well beyond their households. Empowerment is hence recognized as an approach that facilitates people to take advantage of poverty-reducing opportunities.
Empowerment, with its emphasis on enhancing individual capabilities, entitlements, rights and freedom is one of the four pillars of human development and effectively reinforces the other three – equity, productivity and sustainability.

**Key Elements of Empowerment**

Resources, agency and outcome constitute the three key elements of empowerment. Resources form the enabling conditions under which choices are made, agency is the process through which choices are made and achievements are the outcomes of choices (Kabeer, 2001). Since the emphasis is on enabling conditions and the process through which choices are made, the achievements are treated as outcomes of empowerment. The process through which choices are made is characteristically a bottom-up approach emphasizing the importance of participation and inclusion.

**Empowerment Outcomes**

Apart from the process of empowerment, there are certain desirable empowerment outcomes. As a process, empowerment involves building people’s capacity through mobilizing and organizing them to channel their collective skills and resources to understand the cause of poverty. As an outcome, it involves people coming together to bring structural transformation of the political, social and cultural conditions to address the causes of their poverty.

Empowerment operates at different levels. At the individual level, people may experience a more immediate psychological empowerment such as increase in self-respect, esteem, or confidence. All this often evolves from collective action as well. At the community level, empowerment allows individuals and groups to organize and mobilize themselves to achieve commonly defined goals.

Empowerment is context specific. Empowerment in one context can often have different implications elsewhere.
Empowerment is the expansion of assets and capabilities of poor people to participate in, negotiate with, influence, control, and hold accountable institutions that affect their lives (World Bank, 2002a).

Empowerment is about the creation of political, legal, socio-cultural and economic environment that would facilitate, encourage and enable the powerless (i.e., the poor) to influence policies, decisions, actions on their behalf (Sharma, 2003).

Empowerment is the process of gaining power, both control over external resources, and growth in inner self-confidence and capability (Sen, 1997).

Empowerment is the process of awareness and capacity-building leading to greater decision-making power and control, and to transformative action (Marilee, 1995).

Empower is used in a legal context meaning “to invest with authority, authorize” (HMC, 2000).

The process by which people, organizations, or groups who are powerless a) become aware of the power dynamics at work in their life context, b) develop the skills and capacity for gaining some reasonable control over their lives, c) exercise this control without infringing upon the rights of others, and (d) support the empowerment of others in their own community (MWhirter, 1991).

Empowerment can be loosely defined as a process through which previously disempowered people increase their access to knowledge, resources, decision-making power, and raise their awareness of participation in their communities and their ability to increase their control over their own environment (Johnson, 1999).

Empowerment is “the process by which the powerless gain greater control over the circumstances of their lives. It includes both control over resources (physical, human, intellectual, financial) and over ideology (beliefs, values, and attitudes). It means not only greater extrinsic control, but also a growing intrinsic capability – greater self-confidence, and an inner transformation of one’s consciousness that enables one to overcome external barriers to accessing resources or changing traditional ideology” (Batliwala, 1994).

Definitions of Empowerment

Mechanisms of Empowerment

Social mobilization is an important mechanism of empowerment with capacity building in terms of knowledge transfers to individuals or groups as an integral component. However, it alone is not sufficient unless there is a simultaneous effort at reforms of oppressive practices.

Reforms that contribute towards good governance create an enabling environment that helps to remove barriers and promotes the build-up of assets as well as organizational capabilities of the poor, thereby strengthening the demand side of empowerment. Simultaneously, it stimulates a responsive government to improve the supply side of development.

Empowerment is a strategy of conflict resolution. It signifies that individuals/people are empowered by gaining new awareness and understanding of goals, skills, resources and decision making, which makes it possible for them to utilise the new insights in mediation and negotiations.

Altogther, empowerment efforts are seen to be successful when four key elements such as access to information, inclusion/participation, accountability and local organizational capacity are in place. Making state institutions more accountable to people (good governance), removal of social barriers/discrimination and building assets and capabilities including organizational capability are mutually reinforcing pillars or aspects of the empowerment approach to poverty reduction.

Women’s empowerment is also a critical element. Apart from the fact that women form the disempowered and marginalized sections of society, they also suffer from household and inter- and intra-familial relations which are a source of their disempowerment.

STEP’s Conceptual Framework of Empowerment

The major components of the conceptual framework of empowerment developed under STEP Project are: (i) the guiding principles of empowerment, (ii) Action Oriented Learning.
(AOL) process, (iii) accountable systems and responsive community and (iv) the three spheres of social, economic and political empowerment. (Refer to Figure 3)

For any development program to be successful, it is important that the empowerment approach be the main plank on which activities are based.

**Action Oriented Learning (AOL)**

**Process and Linkages with Guiding Principles of Empowerment**

AOL is an all-inclusive process, which is marked by the participation of all segments of the community – men, women, the aged and the vulnerable – and therefore incorporates the needs of each of these segments. The AOL process enables the tribal communities to critically reflect, analyze and understand their socio-economic conditions for taking relevant actions. It incorporates steps such as access to information, reflection, and identification of issues through participatory planning resulting in Micro Level Plans (MLPs), action (implementation of the MLPs), monitoring, review and learning. It is a dynamic process which unfolds with initial facilitation from local NGOs, animators and the CBOs.

The guiding principles of empowerment that feed into the AOL process are:

- **Access to Information:** Informed communities are better equipped to take advantage of opportunities, access services, exercise their rights and entitlements, and hold state and non-state actors accountable. Updated information is provided to tribal communities on basic services and provisions in the areas of health, education and infrastructure facilities; on social security schemes; employment generation programs; natural resource management; and provisions of local self governance (PESA). In addition, various capacity building programs are undertaken to equip the community to comprehend, reflect and act on the information.

- **Inclusion/Participation:** Opportunities for vulnerable and other excluded groups to participate in decision making are critical to ensure that resources are used equitably and based on community priorities. Active participation of all sections of the communities, especially the most vulnerable, forms the basis of the AOL process. The participation of the government frontline staff also is critical for sensitization and synergetic planning.

- **Local Organizational Capacity:** Organized communities are more likely to have their voices heard and their demands met. The AOL process equips communities and CBOs to plan and work together to identify, prioritize and resolve issues. It unites the entire community and provides them an opportunity to get their voices heard at various forums. The community planning process is integrated with the Gram Sabha that results in a more vibrant and representative Panchayat Raj Institution.

- **Transparency:** This encompasses the obligation of service providers to explain their intentions to the community and present transparent records of their activities. State officials, public employees, and private actors are held answerable for their policies, actions, and use of funds. Government agencies, both administrative and political, and delivery agencies need to demonstrate horizontal accountability to the community apart from its internal accountability mechanisms.

**Accountable Systems and Responsive Community**

The methodology of action oriented learning (iterative processes of learning, action and reflection) based on the principles of inclusion and participation and access to information, produces a responsive community having a collective voice, through robust CBOs and demand their rights and entitlements.

As the government is committed to social justice and poverty eradication, it has a series of supportive legislations and policies in place. It endeavours to provide quality services, transfer power to local bodies, enables access and control
The Empowerment Cycle Through Action Oriented Learning (AOL)

**Step 1. Identification**
Communities identify and agree on priority needs that they can address as the primary actor based on their experience, skills and resources.

**Step 2. Action**
Actions are developed to address priorities, decided and managed by communities. Implementation is initiated.

**Step 3. Monitoring**
Progress is monitored by communities against their goals and objectives, problems identified and solved.

**Step 4. Review and Learning**
The outcomes of the initiative are reviewed against their goals and the process by which these were planned, achieved and problems overcome (both success and failure).

Empowerment
(Human & Gender)

Poverty Reduction

Individual, CBOS & Community
Social
Political
Economic

Accountable Systems
- Providing quality services
- Accountable institutions/organizations
- Supportive policies
- Good Governance

Responsive Community
- Community voices
- Community and CBOS capacities
- Networks and Partnerships
- Local self governance

Attacking Root Causes of Poverty
- Capability deprivation
- Unequal access and control over resources and opportunities
- Unequal power relations
- Vulnerability
- Social exclusion

Guiding Principles
- Inclusion/participation
- Access to information
- Accountability/Transparency
- Local Organizational Capacity

Action Oriented Learning Process
The Empowerment Cycle Through Action Oriented Learning (AOL)

Communities progress to next and more complex initiatives.

Process is initially facilitated and informed by social mobilization.

Actions are developed to address priorities, decided and managed by communities. Implementation is initiated.

Figure 3
Conceptual Framework of Empowerment
over local resources and make its delivery agencies accountable to the community (suo moto and/or in response to community demand).

The inter-play of the demand side from the (responsive) community and the supply side from the (accountable) government/institutions, more in collaborative than in confrontationist mode, is a distinguishing feature of the empowerment process.

Social, Political and Economic Empowerment

The lessons learnt from earlier developmental initiatives emphasise that poverty cannot be reduced significantly unless systematic efforts are made to simultaneously augment and harmonise the three fundamental components of empowerment – the economic, political and socio-cultural.

Economic empowerment concerns the expansion of assets, including physical and financial opportunities, to pursue economic gains. Economic growth cannot be sustainable unless it is broad-based and egalitarian. Particularly, it has to equitably engage marginalized groups such as women, dalits and tribals in productive employment and other income-generating activities.

Political empowerment involves enlarging the capabilities associated with democratic self-governance. It ensures not only respect for the fundamental rights and dignity of all individuals but their equitable representation in the institutions and decision-making processes at each level.

Socio-cultural empowerment entails the strengthening of “human and social capital”. It spans a broad spectrum of human development parameters, from access to safe water, primary health care, basic education and skill acquisition through social status, cultural expression and the sense of belonging to social entities.

Improvements in one dimension of empowerment can play a catalytic role in bringing change in the other two. An integrated approach is required to bring about sustainable empowerment, an outcome of people becoming empowered socially, economically and politically.

The Venn diagram (Figure 3) in the conceptual framework of empowerment comprehensively illustrates the linkages between social, economic and political empowerment. For sustainable empowerment, all these three components have to be addressed simultaneously. The diagram reflects that interactions between social and political empowerment, without economic empowerment make people’s empowerment unsustainable (area B). Likewise area D represents a situation where the lack of political empowerment will make social and economic empowerment unsustainable. Hence, promoting sustainable development (area A) requires the engagement of these three fundamental components of empowerment.

The empowerment process focuses on building capacities of people to attack the root causes of poverty which is characterized by social exclusion, capability deprivation, unequal power relations, and unequal access and control over resources. The emphasis is on enhancing individual and organizational capacities for people to claim and demand their entitlements and rights, and become active partners in the development process. It is in this manner that a sustainable effort towards poverty reduction will succeed.
State of Human Empowerment

After more than half a century of development planning, people’s needs remain unfulfilled, institutions are weak and policies fall short of being sufficiently pro-poor, leaving vast segments of the population out of the mainstream of development.

One of the major reasons cited for this failure is the lack of community’s involvement in development programs. Beneficiaries have been passive recipients of government schemes, behaving more as supplicants.

Of late, it has been felt that it is so much the nature and quality of the program but the manner in which the program is executed that is crucial to its success. Those who are affected by and/or are to benefit from any Project or program need to participate in all its aspects – from planning to implementing and monitoring – to ensure transparency and accountability. Until and unless the community and its people, including the marginalized, are able to exercise control and influence factors and decisions that affect their lives, development programs will fail to achieve their intended goals.

In simple terms, people should have the power or ability to control situations that affect their life. Thus, human development concerns the expansion of social, economic and political capabilities that widen people’s choices for leading the kind of lives they value.

With the maturing perception that the poor and marginalized have to play an active role in program implementation – strongly advocated from the human rights perspective – policy makers and planners have sought to reorient Project implementation to ensure community participation and ownership. The process of putting the baton in the hands of the community is called empowerment and the Human Empowerment Index (HEI) is an effort to measure it.

Measuring Empowerment

Empowerment is recognized as an approach that creates the environment to enable citizens to take advantage of poverty reducing opportunities, assets and resources politically (including legal), economically, socially and psychologically. This can be characterized as the empowerment approach to human development.

Empowerment focuses on the question of how the expansion of assets and capabilities as well as social inclusion can enable people to take part in growth processes that also shape their lives.

This rationale underlies the effort to develop the Human Empowerment Index. The index is based on specific indicators developed to measure various elements of empowerment such as the level of awareness, access to information, participation/inclusion and local organizations’ capacities of the community as well as the transparency and accountability of the government and non-government agencies.

Human Empowerment Index

The Human Empowerment Index (Refer to Annexure 1) has been constructed by bringing together objectively verifiable indicators in the social, economic and political domains into a composite index of empowerment. It includes both outcome and process indicators to signify what has been achieved and the (empowering)
means by which it has been achieved. While the former have been part of HEI and progress indicators, the ‘how’ or process indicators are the new indicators, which reflect the community-empowering process and their contribution to the achievement of their development goals. Thus, empowerment is considered to have an intrinsic value, apart from the instrumental role assigned to it in the achievement of development goals.

Empowerment concerns the transformative use of power, in which a dominant agent also exercises his/her power in such a way that the subordinate agent learns certain skills, that undercut the power differential between them. Empowerment is therefore viewed as a means of dealing with structurally unequal power relations in legitimately defined ways.

The government has, since Independence, striven to direct its policy towards the amelioration of poverty. Various constitutional provisions, affirmative actions and amendments have clearly defined the transformative role of the state in empowering the poor and marginalized. The role of the state, more so of the local government, and the manner and extent to which it responds to the demands of an empowered community, plays an important part in achieving developmental goals, and is an important empowerment parameter.

**Dimensions of Empowerment**

Empowerment can occur in economic, socio-cultural, political, legal, interpersonal and psychological dimensions, with scope of overlap among them. For operational purposes, it is possible to group them into three broad dimensions, namely, socio-cultural, economic and political (including legal). Clearly, each of these dimensions is very broad, comprising a range of sub-domains within which people may be empowered.

Social empowerment encompasses both human and social capabilities. Human capabilities include basic elements as the quality of life comprising education, skills, health, access to safe water and sanitation, information and communication. Social capabilities, on the other hand, refer in particular to social status, dignity, cultural expression, and the sense of belonging and solidarity in society and participation in social organizations. Individual human capabilities, when combined with social capabilities, enable collective action to enhance or expand both individual and collective assets and capabilities (social capital), thereby enhancing social empowerment.

Economic empowerment concerns expanding economic capabilities to improve their access to productive assets (both physical and financial) as well as access to economic opportunities (employment, market and production technology). Experience reveals that poor people are often excluded from equal access to economic opportunities because of market regulations, as they lack information and linkages to credit and formal markets. (World Bank, 2002a). Empowerment strategies that are supportive in overcoming many of these barriers can help enhance the assets and economic capabilities critical for economic empowerment.

Political empowerment cannot be seen as the power to vote alone, but also the power of voice and of collective action (Friedmann, 1992). It is about the expansion of political capabilities/entitlements associated with democratic governance, encompassing opportunities for political dialogue, dissent and critique as well as voting rights and participatory selection of legislators and executives. Political empowerment also includes legal empowerment, which is defined as the process of acquiring

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**Role of State in the Transformative Role of Empowerment**

<table>
<thead>
<tr>
<th>Transformative role of State</th>
<th>Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>Constitutional provisions and enabling legislation</td>
<td>Right to Information Act (Refer to Annexure 15)</td>
</tr>
<tr>
<td>Affirmative action</td>
<td>Reservations for marginalized groups, reservation of seats for women in Panchayats</td>
</tr>
<tr>
<td>Decentralization</td>
<td>Panchayati Raj institutions</td>
</tr>
<tr>
<td>Special and targeted Interventions</td>
<td>Integrated Tribal Development Agency (ITDA)</td>
</tr>
</tbody>
</table>
Gender and Development

Gender refers to socially constructed roles and socially learned behaviors and expectations associated with women and men. Women and men are different biologically, but all cultures interpret and elaborate these innate biological differences into a set of social expectations about the behaviors and activities that are appropriate, and the rights, resources, and power they possess. While these expectations vary considerably among societies, there are also some striking similarities. For example, nearly all societies give the primary responsibility for the care of infants and young children to women and girls, and that for military service and national defense to men. Like race, ethnicity, and class, gender is a social category that largely establishes one’s life-chances, shaping one’s participation in society and in the economy. Some societies do not experience racial or ethnic divides, but all societies experience gender asymmetries – differences and disparities – to varying degrees. Often these asymmetries take time to change, but they are far from static. In fact, they can at times change quite rapidly in response to policy and changing socio-economic conditions. The term gender equality has been defined in a variety of ways in the context of development. This report defines gender equality in terms of equality under the law, equality of opportunity (including equality of rewards for work and equality in access to human capital and other productive resources that enable opportunity) and equality of voice (the ability to influence and contribute to the development process).

Gender discrimination remains pervasive in many dimensions of life. This is so despite considerable advances in gender equality in recent decades. The nature and extent of discrimination varies considerably across countries and regions. However, the patterns are striking. In no region of the developing world are women equal to men in legal, social and economic rights. Gender gaps are widespread in access to and control of resources, in economic opportunities, in power and in political voice. Women and girls bear the largest and most direct costs of these inequalities, but the costs cut more broadly across society, ultimately harming everyone. For these reasons, gender equality is a core development issue, a development objective in its own right. It strengthens countries’ abilities to grow, to reduce poverty and to govern effectively. Promoting gender equality is thus an important part of a development strategy that seeks to enable all people – women and men alike – to escape poverty and improve their standard of living.

Gender inequalities impose large costs on the health and well being of men, women and children, and affect their ability to improve their lives. In addition to these personal costs, gender inequalities reduce productivity in farms and enterprises and thus lower prospects for reducing poverty and ensuring economic progress. Gender inequalities also weaken a country’s governance, and thus the effectiveness of its development policies.

Source: Engendering Development through Gender Equality in Rights, Resources, and Voice, World Bank, 2001

critical awareness about rights and the law, the ability to assert rights, and the capacity to mobilize for change (Schuler and Kadirgamar-Rajasingham, 1992).

Empowerment in one dimension can play a catalytic role in bringing about change in other dimensions, depending on the context and stage of development. The expansion of human knowledge and capabilities, for instance, has an indirect influence on economic and political empowerment. However, evidence shows that empowerment-promoting development interventions within a particular dimension do not necessarily lead to empowerment in other dimensions (Malhotra and Mather, 1997; Kishor, 1995 and 2000; Hashemi et al, 1996; Beegle et al, 1998). This implies that an integrated approach is required to address sustainable empowerment, a situation where people are empowered socially, economically and politically.

Human Empowerment Index: STEP Approach

The Human Empowerment Index has been used by STEP to capture the process of development and well being of people from two perspectives: advances made by the tribal society as a whole (conglomerative perspective), and advances made by the deprived within that society (deprivational perspective). Both
these perspectives are needed to understand the process of development in any society adequately. In the specific case of the STEP Project that works with tribal communities in Andhra Pradesh, women comprise most of the deprived and marginalized sections. Hence, a Gender Empowerment Index (GEI) has been developed to monitor the progress of tribal women.

The key objective of the analysis presented in the following sections is to bring about a conceptual and methodological consensus on the use of the human empowerment approach to measure progress in tribal society. The attempt is to map the state of human empowerment by putting together ‘outcome’ indicators and composite indices that are contextually relevant, and that reflect the collective social valuation and development priorities of tribal society. The indicators facilitate guiding the program towards development goals while simultaneously providing criteria to evaluate the process of social change.

Compilation and mapping of empowerment indicators has been undertaken at three levels:

At the first level, indicators have been presented to reflect overall human empowerment and gender empowerment in the Project in three areas – social (which includes health, education, local organizational capacity, etc.), economic and political.

At the second level, a district-wise progress has been presented with the help of graphs, providing a snapshot view of the extent of empowerment in the four operational districts.

Finally, the third level of mapping highlights the distribution of villages/groups of villages that have achieved scores in high, medium and low grades in empowerment.

In all, 21 indicators have been selected for capturing the three dimensions of empowerment – human and gender.

- Social – Indicators on health, education and social mobilization constitute the Social Empowerment Index. These, in turn, include enhanced capabilities in health, education and other life skills, in addition to social capabilities that include status, dignity and other cultural expressions conveying a sense of belonging, trust, leadership and identity. It also includes the capacity to organize and participate in social organizations. Social empowerment indicators capture elements such as reproductive and child health, quality of health services, enrolment and attendance of school-going children, teachers’ attendance, community participation in school management, and the functioning of various community-based organizations. They also include indicators on achievements in terms of realizing social entitlements (like Public Distribution System) and existence of social infrastructure such as pre-school nurseries, schools, hospitals, etc.

- Economic – Addressing economic empowerment requires enhancing economic entitlements and capabilities through the expansion of economic facilities and infrastructure, and promoting equitable access to economic opportunities. Economic empowerment is thus indicated through income and material assets, financial resources, micro-projects, assets accessed by the community, income-generating activities, etc. Economic empowerment indicators capture household income, food security, and access to credit facilities and the leveraging of resources for household/village development.

- Political – The Political Empowerment Index includes freedom, power, voice and influence over public policies. It refers to the capacity to represent individuals or groups, access information, form associations and participate in the political life of a community. Addressing the political dimensions of empowerment requires political and institutional reforms. The indicators that have been used comprise enhanced capabilities of PRI members, participation in local governance, addressing local issues, etc. Political empowerment indicators capture participation in Gram Sabha, effectiveness of Panchayati Raj Institutions and achievement of community-

**Gender-related Empowerment Index (GEI)**

The Gender-related Empowerment Index (GEI) was introduced to capture some of the differences between the achievements of women and men in the area of empowerment.

The Human Empowerment Index (HEI) has been constructed by bringing together the available social, economic and political indicators into a composite index of empowerment. It measures the capabilities and the use of these capabilities to take advantage of existing opportunities.

In societies, where gender inequality exists, gender advocates have questioned even the use of the household as the unit of analysis as data has not been able to bring out the intra-household inequalities in resource distribution and other institutional biases.

The GEI measures achievement using the same variables as the HEI but adjusts the same for gender inequality. If the GEI rank is lower than the HEI rank, it reveals unequal progress between women and men.
based organizations in making the voices of the villagers/groups heard by the state.

Conventional approaches to poverty definition and measurement based on income-consumption measures have been widely criticized for failing to capture human development outcomes. (Sen, 1983, 1990; UNDP, 1997a). The use of household as the unit of analysis in poverty measurement has also been the subject of much criticism from gender advocates. At the household-level, income – and consumption-based measures do not provide a good prediction of women’s well being because of intra-household inequalities in resource distribution and other institutional biases. Gender inequality is not necessarily strongly correlated with household poverty. It is possible for women to be deprived in rich households and also for increase in household incomes to result in greater gender inequality. (Kabeer, 1996; Jackson, 1996). Gender inequality and poverty, then, are the result of distinct, though interlocking, social relations and processes. The social relations of gender mediate women’s experience of poverty. This implies that it is only by looking at the context that we can deduce whether social relations of gender act to exacerbate or relieve scarcity. (Kabeer, 1996, 1997).

The Gender-related Empowerment Index attempts to capture achievement in the same dimensions as the Human Empowerment Index but adjusts the results for gender inequality. The Gender Empowerment Index thus captures gender inequality in the social, economic and political empowerment dimensions.

**State of Tribal Empowerment**

Srikakulum district has achieved the highest level of empowerment index at 0.58, followed closely by East Godavari. The aggregate for the four districts is 0.54. The GEI for all districts (and its aggregate) is lower than the HEI. Visakhapatnam district has the lowest HEI and GEI (Refer to Figure 4).

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**Case Study  The Power of Will: Women’s Empowerment in Action**

Demudamma, 36, belongs to Teegalametta village of Koyuru mandal under the Paderu Integrated Tribal Development Agency (ITDA) area. The village has 55 households belonging to different tribal communities such as Bhagata, Konda Dora, and Valmiki, and backward communities. She represents her village in the Battapanukula Gram Panchayat, as ward member. She is literate and has a fair understanding on functions of the panchayat and various developmental schemes. She is also an active member of the CAG and SHG in her village.

After attending one of the training programs on community development, Demudamma got more involved in the village development activities and day to day functioning of the Gram Panchayat. She learnt that a scheme on a sanitation program was available with the gram panchayat, in which male members were not interested. The Gram Panchayat was thinking of utilizing the resources allotted for the sanitation program to some other activity. Demudamma raised the need for individual sanitary lavatories, also expressed by other women members in the community planning. She insisted that the earmarked funds be spent on the construction of individual lavatories, which was resisted by majority of the members. With a bid towards mustering strength for her cause, she shared the information in the meetings of the CAG and SHGs. All women members wholeheartedly supported the idea and decided to take up the cause.

Around 30 women met the sarpanch and the village secretary and demanded for individual lavatories. The women kept visiting the Gram Panchayat office until individual lavatories were sanctioned. The struggle did not end there, as no men were willing to support the implementation. However, this had little impact on the determination of the women who jointly procured the materials, dug the pits, collected stone materials and prepared the bricks. The unrelenting effort of the women motivated the men to slowly join in the ongoing work. The partner NGO personnel provided moral support all through. At a subsequent stage, the Gram Panchayat sanctioned lavatories for additional 15 households.

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1 For technical note, refer to Annexure 5 on computing Gender Empowerment Index
The difference between aggregate HEI and GEI for the project is a moderate 0.04. This indicates that the project interventions have been effective in bridging the wide differential between the status of men and women that is characteristic of tribal pockets in the country.

More than a third of the villages in each district have achieved a high level of empowerment (between 0.8 and 1.0) but a similar proportion of villages have a low level of empowerment (below 0.5) (Refer to Figure 5).

East Godavari and Srikakulum show a higher social empowerment index, with a slight dip when adjusted for gender in the economic dimension, whereas all the districts except Srikakulum, have gone down to 0.51 – 0.55. However, while Srikakulum does show an economic empowerment index for 0.62, the gender adjusted figure dips drastically to 0.52, suggesting that in the sphere for economic empowerment, there is greater gender disparity (Refer to Figures 6a and 6b).
In the dimension of political empowerment, East Godavari has the highest figure of 0.58 and Srikakulam, in spite of high economic empowerment, has a low figure of 0.51. As in the economic dimension, in the political dimension, too, the gender disparity is high, with Srikakulam showing the largest variation (Refer to Figure 6c).

In the distribution of villages by levels of empowerment, against the three dimensions of empowerment, we find that more villages (42%) have a high empowerment level (0.8 to 1.0) in the social dimension (health and education) as against the economic and political dimension. Around 50% of villages have low levels of empowerment in the economic and political dimension (Refer to Figure 7).
The following Development Radars (Figures 8–12) provide a diagrammatic representation of progress in the entire Project area as well as in each of the Project districts, on the five distinct indices – Health, Education, Local Organizational Capacity, Economic and Political. These Development Radars give a snapshot view of the status of human development in the Project districts – their strengths and weaknesses on the five indices. For example, the shaded portion in the Development Radar for Srikakulam and East Godavari is larger than the other two districts indicating that these two districts are at a higher level of empowerment.
Taativanipalem (Seethampeta Integrated Tribal Development Agency) did not lack in efforts made by the state as well as the central government for its development. It could boast of self-help groups for women, a School Education Committee (SEC) to ensure education of their children, a Farmers’ Club to look at the needs of the farmers and Youth Group for employment opportunities and livelihood. All these institutions existed with most of the villagers having membership in them. However, there were no visible results from these multiple initiatives. What went wrong? Agendas set without focus do not succeed and sustain. That is what happened here. In some cases, though the schemes were accessed, the villagers could not benefit due to lack of community participation and ownership.

All this has changed now. Efforts are on to strengthen all the groups that had petered off into non-existence. A Community Action Group has been formed with representation from all these groups. Though initially the villagers resisted the idea, gradually they were persuaded. This group was to be the platform for addressing the needs of the entire village. Today, they take decisions independently to demand and access services that they are entitled to rightfully.

The women’s self-help group had become defunct when the leader moved to another village and there was no other woman to facilitate its activities. Some of the members have been sent on exposure visits to other parts of the state to learn and share their experiences. When they came back, they revived the group, and today, they are able to avail of loans. The SEC has been made functional and supervises the attendance of both teachers and volunteers regularly. Though the village school has classes till class V only, the villagers, especially the women, are confident that senior classes will also be taught in the future. The technical know-how for filtering the water was extended by the partner NGO. While they were working on the filter well, the dug out soil was used to repair the approach road to the village. This new road gave them ready access to the outside world in times of and during the monsoon. To the villagers, the real achievement is the Mandal Revenue Officer’s assurance to lay a concrete road.

The problem was discussed in the CAG and plans were made to implement a low cost technology filter well using the existing water source. The villagers came forward to devote some of their labor to work on the project, with panchayat member, Pange Nadipaiah, donating land for the construction of the filter well. The technical know-how for filtering the water was extended by the partner NGO. The women’s self-help group had become defunct when the leader moved to another village and there was no other woman to facilitate its activities. Some of the members have been sent on exposure visits to other parts of the state to learn and share their experiences. When they came back, they revived the group, and today, they are able to avail of loans. The SEC has been made functional and supervises the attendance of both teachers and volunteers regularly. Though the village school has classes till class V only, the villagers, especially the women, are confident that senior classes will also be taught in the future. At present, the teacher and volunteer come from other villages, but this will change, the committee members assure.

The construction of the filter well is one of the many achievements of the CAG. Earlier, the women had to walk half a kilometer of rocky path to a stream to fetch water. Koda Akkamma, a village woman says, ‘Not only was it very difficult to bring the water home during the monsoon season, but the water was also contaminated. Our children were constantly suffering from one illness or the other, and the adults were not immune either.’ Seggee Venkayamma points at the broken remnants of pots and vessels that are still lying around on the path, symbols of the women’s hardship for accessing this basic necessity.

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Sanyasi Rao says, “We have come a long way. I never dreamt that we would come together to demand for our rights. Today, when I see progress in the form of road and bore well, I feel proud of our community. But I also feel that we have just begun and we have a long distance to travel. As long as our groups stay strong and make right decisions with correct information, we will solve all our problems.” Nadipaiah, the ward member, adds, “We have great plans for our village and we are confident that no matter what happens, we will realize all our dreams.” This includes a check dam that will bring more land under cultivation, a colony of pukka houses, roads inside the village, title deeds for land, electricity for all the houses and streetlights.

The CAG members have a clear idea of exactly how to make these plans a reality. Khimudu Dhara, the CAG president says, “We do know and understand that the needs of each hamlet under the gram panchayat are different. But now, we have the confidence that CAGs of all hamlets can decide the agenda for the Gram Panchayat and advocate for our issues.”
Section B

Outcomes

This section discusses the key sectoral initiatives of the Project with emphasis on the processes facilitated and the outcomes.

- Social Mobilization and Institution-building 35
- Education Attainments 45
- Health Attainments 53
- Economic Attainments 61
- Enabling Environment and Local Self-Governance 77
Introduction

Social mobilization forms an essential part of empowerment, and empowerment is the product of social mobilization. While at the individual level, there may be factors which contribute to personal empowerment, given the fact that each person belongs to a social entity – be it a habitat, caste group or village community – any group activity or collective organization to achieve a common purpose has an empowering effect on the individual. Collective action also raises the ability and capacity of the group to organize and mobilize themselves to achieve commonly defined goals.

Substantive empowerment concerns interpersonal empowerment such as individual capacities, self-esteem and self-efficacy while instrumental empowerment concerns capabilities such as knowledge and skills to achieve socio-political goals.

As a process, empowerment involves building people’s capacity through mobilizing and organizing them to channel their collective skills and resources to achieve commonly desirable ends. As an outcome, it involves people coming together to bring structural transformation of the political, social and cultural conditions to improve their life circumstances.

Over the passage of time, the tribal community has witnessed many changes, most of which have been detrimental to their growth and development. These changes include the erosion of traditional tribal practices that included institutions mandated to take decisions on behalf of the community and also protect their distinctive traditions and cultures. With the decline of these traditional institutions that bonded tribal communities and the still nascent local governance mechanisms introduced by the state, the social capital of these communities has eroded. Likewise, most of the CBOs, promoted to encourage participation in the development process, remain dormant due to lack of handholding. This has significantly contributed to most of the tribal areas still remaining underdeveloped with minimal improvement in their quality of life.

Context

Multiplicity of Groups
Twelve different types of CBOs are found in tribal villages, most of them promoted as part of various schemes initiated by the government. This also is an indication of the sectoral and non-integrated approach adopted by the government. All are, in some form or the other, engaged in identifying their problems, participatory and enabling decision making and collective action. Out of these, only three to four CBOs exist in all villages and are functional to some extent. These are the women SHGs engaged in savings and credit activities, the Vana Samrakshana Samithis (VSS) involved in the management of forests, and School Education Committees (SECs), besides the Constitutionally-mandated PRIs at the Gram Panchayat level (usually a cluster of 10–12 villages). These CBOs have several mandates and are functionally segregated. Interaction among these groups to pursue a common agenda is lacking.
Lack of Capacity in Handling Community Agenda
CBOs invariably lack capacities and skills to manage their affairs. These also include inability to effectively manage their organization and to participate in different networks. Hence, they are not able to leverage resources to achieve shared goals.

Lack of Synergy among Sectoral Groups
Groups such as VSSs, SECs and SHGs are promoted by the government to encourage community participation and to serve as vehicles for implementation of sectoral programs at the grassroots level. However, without adequate self-management capacities, there is a lack of interaction and synergy in the functioning of these groups. This has adversely affected formation of social capital in the community.

Weak Institutional Arrangements
Apart from the weak management capacities and lack of synergy among these groups, there is also lack of clarity in the role of these CBOs (which is to complement and supplement the PRIs). Furthermore, the government is promoting parallel programs and structures like the Janma Bhoomi and the VOs as vehicles for decision making and local self-governance, which is undermining the role of PRIs as mandated by the 73rd Amendment of the Constitution.

Absence of Social Animation Process
The formation of truly participatory development institutions of poor tribals is not a spontaneous process but requires facilitation. The facilitator helps the tribals to organize, provide access to information, analyze their problems, articulate their felt needs, initiate actions and reflect on the actions.

Social Exclusion
Tribal communities are no longer homogeneous entities. They are not equipped with transparent and accountable representative organizations at the village-level either. The communities are divided along lines of wealth, tribe, gender and other social factors, and invariably exclude the women in community decisions.

Sector Strategy
Social mobilization and institution building are rarely a spontaneous process. For instance, there may not be an immediate felt need by the community for facilitators to carry forward the process. The Project thus extends support by sensitizing the community to identify, manage and solve their problems.

STEP believes that a meaningful development process must provide opportunity and space for self-reflection. This premise serves as the starting point for all community-based interventions. The Project, through its PNGOs, organizes and supports tribal communities to critically reflect upon, analyze and identify their socio-economic realities, through the participatory process of AOL. The AOL process offers participatory learning mechanisms for the community to identify and prioritize their problems and make plans to address them through the development of Community Action Plans (CAPs) or Micro-level Plans (MLPs). Community-led micro-level planning offers the unique opportunity to tribal communities to intensively engage in addressing their basic needs/problems related to health and nutrition, water and sanitation, education, livelihood and food security, land alienation and forest rights — the crucial dimensions that make for ‘quality of life’.

Action-Oriented Learning
The AOL process is an all-inclusive process which is marked by the participation of all segments of the client community — men, women, the aged and the vulnerable — and incorporates the needs of each of these segments. It enables the tribal communities to critically reflect, analyze and understand their socio-economic conditions for taking relevant actions. It incorporates steps such as access to information, reflection, identification of issues and participatory planning, leading to a MLP, action, monitoring, review, learning and again re-reflection. It is a dynamic process which unfolds with initial facilitation from local NGOs.
animators and CBOs. (Refer to Figure 13)

The guiding principles of AOL are:

1. **Access to information**: Informed communities are better equipped to take advantage of opportunities, access services, exercise their rights and entitlements, and hold both state and non-state actors accountable. Updated information is provided to tribal communities on basic services and provisions in the areas of health, education and infrastructure facilities; on social security schemes; employment-generation programs; natural resource management; and local self-governance (PESA). In addition, various capacity-building programs are undertaken to equip the community to comprehend, reflect and act on the information.

2. **Inclusion/participation**: Opportunities for vulnerable and other excluded groups to participate in decision making are critical to ensure the usage of resources equitably and as per community priorities. Active participation of all sections of the communities, especially the most vulnerable, forms the basis of the AOL process. In addition, proposed participation of the government frontline staff is critical, which along with sensitization also contributes to synergetic planning.

3. **Local organizational capacity**: Organized communities are more likely to have their voices heard and their demands met. The AOL process equips communities and CBOs to plan and work together to identify, prioritize and resolve issues. It unites the entire community and provides them an opportunity to get their voices heard at various forums. The community planning process will be integrated with the *Gram Sabha* that would result in more vibrant and representative PRIs.

4. **Accountability/Transparency**: This encompasses the obligations of service providers to explain their intentions to the community and presenting transparent records of their activities. State officials, public sector employees, and private actors must be held answerable for their policies, actions, and use of funds. Government agencies, both administrative, political, and delivery agencies must have horizontal accountability

Figure 13

The Empowerment Cycle Through Action-oriented Learning
Operational Strategy

Strengthening CBOs
Institution-building at the community level is a key strategy of the Project. It sustains the social mobilization process. The Project does it by building the capacities of the SECs, VSSs, SHGs, and CAGs (see box) so that they manage their mandates effectively. The SECs and VSSs are CBOs promoted as part of government initiatives to ensure community participation and ownership in education and forest management respectively, and the CAGs are a representative body to anchor comprehensive community development. This facilitates convergence between the sector-specific CBOs for overall community development.

Catalyst at Habitation Level
Effective social mobilization requires an intensive approach to build a cadre of mobilizers at the community level. This process is initially facilitated by ‘the animator’ who is a member of the village and takes the lead in initiating the AOL process. He supports the CAG in taking the community development agenda forward.

Major Activities
Community self-management is the expected outcome for all community empowerment processes. The Project implements various activities that contribute to it. All activities are planned in consultation with different stakeholders for optimum utilization of resources and greater effectiveness. Areas of convergence among stakeholders have been clearly identified after duly acknowledging mutual strengths. Further, the activities contribute to revitalize the existing system with efficiency and vigour by strengthening mainstream functions and bridging critical gaps. A set of Program Quality Parameters have been developed to ensure effectiveness of program interventions (See Box on Program Quality Parameters).
Training to Animators
Animators act as catalysts of change and facilitate the mobilization at the community level. The animator of the village could be a member of the CAG and is trained to help the group in either documentation, and/or in the AOL revisiting process and handling the responsibility of the CBMS.

Training of selected community members is provided with the objective of creating a band of social activists at the grassroots to carry the social mobilization process forward. This requires capacity-building of animators so that they are able to anchor the AOL process in the community psyche. The training curriculum covers development of village plans, functions of CBOs in the village, role of local institutions, government schemes and programs.

Training to CAG Members
The objective of this training is to ensure that the CAG members understand the roles and functions of different CBOs in village development and the working of the PRI and appreciate the importance of participation in the Gram Sabha. He should be well-informed about the government schemes in operation and know how to maintain records. He should also be able to orient people to the concept of self-help with appropriate skills to facilitate micro-plans. He needs to be competent to manage community institutions like Grain Bank.

Training Quality Parameters for CBOs
- Availability of training module
- ToT for trainers
- Use of similar training methodology for each level of training (from PCO to community)
- Administration of observation checklist
- Availability of training brief of each program
- Availability of training institutions/resources persons
- Availability of action plan
- Submission of a follow-up report on progress against action plan

Training Quality Parameters for Animators
- Functional literacy
- Orientation session to be conducted for CCs on animator training module
- Availability of training module
- Administration of observation checklist
- Availability of action plan
- Submission of a follow-up report on progress against action plan

Training to VSS Members
The Vana Samrakshana Samithis (VSSs) were promoted to involve the community in ensuring protection, conservation, maintenance, and management of forest resources as part of the Andhra Pradesh Community Forest Management Project (APCFM). This training enhances their skills in maintenance of records and development of Joint Forest Management Plans, along with strengthening the roles and responsibilities of the community. This training also analyzes the causes and consequences of forest depletion and elaborates on the power of VSS over forest offenders. Apart from the above, the training also includes the following:
- Explains the role of the managing committee — its composition, functions,
and responsibilities; entitlement of VSSs to forest resources, including claim over specific NTFP
- Revenue sharing between Forest Department and VSSs, and
- Role of VSS in undertaking village development programs.

**Exposure Visits**
Exposure visits contribute immensely to learning, with the premise of ‘seeing is believing’ being fundamental to all exposure visits. It reaffirms one’s conviction and increases the existing understanding of CAGs as agents of change. The CAG members’ get first-hand learning/understanding of different challenges in social mobilization/action and are exposed to experiential learning through an interactive process. Reflective sessions are held on consolidating the learning during the exposure visits. The exposure visit is organized to present demonstrable practices managed by the people to provide generic information/knowledge that may be contextually used for activities in the visitor’s operational area.

**Local Organizational Capacity Empowerment Index**
Local organizational capacity empowerment index of the entire Project area, comprising all four districts, is 0.51. East Godavari district performs well as compared to other districts as its local organizational capacity empowerment index is 0.57. Even its gender adjusted local organizational capacity empowerment index is 0.57, suggesting that in so far as local organizational capacity is concerned, the composite rank of its indicators does not reflect gender inequality. The other districts show a lower local organizational capacity empowerment index which falls further when adjusted to reflect gender inequality in organizational capacity. (Refer to Figure 15)

Levels of empowerment may be classified as high when the index measures between 0.8 and 1.0,
medium when it lies between 0.5 and 0.8, and low when it falls below 0.5. In the case of local organizational capacity, we find that in East Godavari, only 21% of villages fall in the low organizational index category, 52 per cent show high levels of empowerment, and more than a quarter lie in the medium range. Visakhapatnam district has 47% villages showing high levels of organizational empowerment index but more than one-third villages still reflect a low organizational capacity level. The other two districts share a somewhat similar distribution pattern vis-à-vis levels of local organizational capacity empowerment index. (Refer to Figure 16)

**Summing Up**

The Project has been facilitating communities to identify, critically analyze and reflect upon their socio-economic realities, through the AOL process. The micro-level planning process offers a unique opportunity to tribal communities
Social Mobilization, Empowerment and Capabilities: Enhancing Development Outcomes

Information dissemination on basic services and entitlements is a continuous process facilitated by the animator. These processes are facilitated by the PNGOs with due recognition of the communities’ capacities for taking development initiatives independently.

Institution-building at the community level is a key strategy of the Project. It sustains the social mobilization process. The Project does it by building the capacities of the SECs, VSSs, SHGs, and CAGs so that they manage their mandates to intensively engage in addressing their basic needs related to livelihood, health and nutrition, water and sanitation, and education. However, social mobilization and institution-building at the grassroots initially requires external facilitation. The AOL process is marked by regular meetings at the village-level to review action taken against planned activities. These meetings serve as platforms for information-sharing on relevant social issues and rights/entitlements of the communities.

I remember the day distinctly. I accompanied my father to attend a meeting of ITDA at Seethampeta, 40 kms away from my hamlet. It was my first exposure to such a meeting with officials and local leaders. I kept silent, as the atmosphere was new to me. After a few days, people from Velugu Association visited our village. I felt a sense of familiarity as I had seen them in the meeting earlier at ITDA. They talked of organizing the youth in the village.

We jumped at the idea! Twenty-one of us immediately formed a group. As I had studied up to class 7, I was nominated as secretary of the youth group. All the youth started literacy classes and the group was active for a year and a half. But the group could not flourish further as we lacked any specific objective to pursue as a group.

Some time later, I heard women in our village talking of forming a SHG. With the failure of our youth group, people were doubtful about its prospects. The concept of thrift is unknown to us as we do not believe in saving for the future. Neither do we acquire any assets. We are content with our traditional lifestyle.

I took keen interest in discussing the concept of savings with women. That was the time when VELUGU Association, the NGO, was looking for active youth to work for them in the villages. The sarpanch of our Gram Panchayat recommended my name. I took part in a three-day training at Palakonda and my interaction with other participants of my age group helped me to understand the intricacies of community development.

This training was followed by a two-month orientation on NTFP management at Rajahmundry. This exposure made me self-confident and improved my knowledge base. The villagers gave me an opportunity for the village development by selecting me unanimously as the Village Animator (VA). My responsibility was promotion and strengthening of CBOs for overall development of the village.

It took us some time to understand development concepts such as CAG, planning and decision making, etc. The villagers needed a lot of persuasion to accept collective responsibility and to join the CAG. As I had sufficient exposure, I made them realize the importance of community organization. With women and youth representatives, the CAG steadily got into action. It was the ideal forum for villagers to discuss and identify village needs and exchange of information on many important issues. We developed the confidence to question government officials. The Education Committee was strengthened and the local teacher was put to task for being absent without prior notice. We also contribute half a day of our earnings for village activities if we run short of funds.

In course of time, we realized that our internal resources were insufficient to meet our needs. Three days of work in a month outside the village will help us to contribute to the SHG thrift fund.

V. Mangaih
Village Animator
VELUGU Association
STEP
effectively. While the SECs and VSSs are CBOs promoted as part of government initiatives to ensure community participation and ownership in education and forest management respectively, the CAGs are a representative body to anchor comprehensive community development. The CAGs thus facilitate convergence between the sector-specific CBOs for overall community development.

The Project is also intensifying its efforts to strengthen the PRIs by building the capacity of the PRI members and village secretaries for better functioning of the PRIs. The community-planning process is linked to that of the Gram

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**Case Study We Need to Change, Change for a Bright Future**

The Savaras of Peddaguda, a hamlet in Seethampeta mandal, Srikakulam, live against incredible odds of vulnerability and poverty. The many development initiatives undertaken by the government have not reached the remote hamlet which can be approached by foot only through a four kilometer walk through the hills. Their livelihoods depended on rainfed subsistence agriculture and produce collected from the forest.

This has been slowly changing in the past three years since Velugu Association, a PNGO, began its work in Peddaguda from 2002. Somayya, the VA says, “When CARE selected our village under STEP, it took us some-time to understand development concepts such as self-help, community planning, CAG and collective decision making. The villagers needed a lot of persuasion to accept collective responsibility. But, my experience as a volunteer with VELUGU Association had made me understand the concepts of action plans, meetings and I made my fellow-villagers realize the importance of the CAG over a period. With women representatives and youth leading the way, the CAG steadily got into action and became a forum for the villagers to identify their needs and deliberate on important issues in the community planning process. The training programs on the concept of self-help, leadership and community action plan instilled confidence in women and helped them become vocal, express their needs and interact with outsiders. We even started questioning the officials to get services which we were entitled to.”

In the beginning of the Project, one SHG with 14 members got involved in thrift and savings. Says one of the women, “We soon realized that individually we cannot meet all our needs and started to save in the SHGs to meet our individual needs. We need to change, change for a bright future of collective ownership and collective action.” Another SHG with 10 women members was started and the Project facilitated the groups to obtain a bank loan. It was used to substantiate income with activities like leasing of land, buying of plough bullocks and dairy animals. Part of the loan amount was also utilized for purchase of agricultural implements for the entire village. The PNGO also mobilized the community and showed ways at regenerating gooseberry and hill broom, a dominant species natural to the area, through community protection. The practice led 15 families to utilize the hill broom and helped them earn an additional income of Rs.700 per family on an average. The Savaras also started collecting usiri and hill broom on a large scale to augment their incomes.

Land development activities in the form of soil and moisture conservation were undertaken. The VAs, village leaders and NGO representatives were taken on an exposure visit to tribal areas of Orissa, where similar socio-economic and geographical conditions prevail. The exposure visit helped the villagers understand the benefits of similar work and the villagers acquired additional land under lease and initiated collective farming. A community Grain Bank was promoted to ensure food security to the habitants. Four hundred kgs of grain was purchased by the CAG with support from STEP, with the community contributing towards the construction of a traditional bamboo storage bin.

The laying of a four-kilometer-long approach road from the main village through self-help has also been taken up under the ‘Food for Work (FFW) Program’, which generated 90 days of employment for the community. This stands as an excellent example of community empowerment where the villagers went to the Panchayat and convinced the heads to sanction the work to them. When the Panchayat engineering officials opposed the proposal, the villagers moved the government machinery to get approval and completed the task.
Sabhas thus ensuring that the Panchayat planning and review process is more effective and representative of the community’s needs and aspirations. In addition, the Project will focus on creating synergy between the actions of the Gram Sabha and of the Panchayat to facilitate better solutions to the communities’ needs. This will further consolidate the AOL process at the community level and ensure that tribal communities can independently carry forward the development agenda and sustain it.
Introduction

Tribal children are often victims of the vicious intergenerational cycle of poverty, illiteracy and deprivation. This is evident in the extremely poor adult literacy rates reproduced as low education levels among tribal children. Despite the proactive policy of Universalization of Elementary Education, the education scenario in tribal areas is fraught with many challenges. Lack of teaching skills, indifferent attitude of teachers, along with low awareness levels of the tribal communities on the importance of education — all these cumulatively result in a lack of children’s participation in schools characterized by high levels of absenteeism and alarming dropout rates.

At school, the experiences of tribal children range from discrimination to a sense of complete alienation. They encounter a series of obstacles which include commuting long distances to school in hostile environmental conditions, discrimination by teachers, difficulty in comprehending the medium of instruction, and in negotiating space for themselves. Though there is formal inclusion in the mainstream education system represented by high enrolment, children’s participation in schools remains low, due to inadequate support by teachers, particularly necessary for first-generation learners. Use of common vernacular language as the medium of instruction also acts as an impediment to tribal children since it is distinctly different from their mother tongue.

Context

The tribal sub-plan (TSP) approach came into being from the Fifth Five-year Plan in which the elementary education sector was accorded priority. Elementary education was considered a crucial input for the holistic development of tribal communities, apart from being a constitutional obligation. A broad policy-frame for education was adopted in the TSP, giving equal importance to both quantitative and qualitative aspects of education. The policy proposed the transformation of the structure of primary education with a special focus on improving access and quality in tribal areas.

Tribal communities traditionally reside in interior, underdeveloped, and inaccessible areas. Demographically, tribal habitations are small, scattered, and sparsely populated. The Sixth All India Educational Survey (1993) reveals that 78% of tribal population and 56% of tribal habitations have been provided primary schools within the habitation. Another 11% of tribal population and 20% of their habitations

<table>
<thead>
<tr>
<th>Educational Status as per the Project Baseline</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Literacy rate among tribals is 17.16%; 8.6% among women and 25% among men</td>
</tr>
<tr>
<td>• Illiteracy is predominant in remote villages and among PTG communities like Savaras, Parojas, Khonds and Konda Reddis</td>
</tr>
<tr>
<td>• Women teachers constitute a very low number and are present mostly in interior villages</td>
</tr>
<tr>
<td>• Girls face resistance from parents for attending school beyond class V</td>
</tr>
<tr>
<td>• The Mid-day Meal Scheme and Akshara Shankranti program are perceived to have reduced dropout rates to some extent</td>
</tr>
<tr>
<td>• The process of obtaining caste certificate, necessary for admission to ashram schools involves both time and substantial expenses</td>
</tr>
<tr>
<td>• SECs are not functional</td>
</tr>
<tr>
<td>• School vacations are not synchronized with the local community's needs like market days, tribal festivals, harvests, etc.</td>
</tr>
</tbody>
</table>
have schools within a one-kilometer radius. The population and distance norms for opening of new schools by the government have not comprehensively benefited the tribal locations due to a host of reasons. In view of difficult terrain, geographical and ecological barriers in tribal areas, a distance of more than half-a-kilometer poses a problem for small children wanting to attend school.

The environment at school is intimidating and unsupportive, leaving the children dispirited and discouraged. It has been found that rigid systems of formal schooling, which are not child-centred and the traditional pattern of functioning of schools in tribal areas ultimately make children wary of school. The uniform structure and transaction of curriculum has put the tribal children at a disadvantage. Though the GoAP has recently come out with textbooks in seven different tribal dialects, the use of Telugu in the classroom persists. The age-old issue of changing the content and curricula to suit the tribal context persists and needs to be addressed to make schooling contextual and relevant to the tribal socio cultural milieu.

Community participation in the management of schools has proved to be an effective instrument in attaining the goals of Universalization of Elementary Education. The SEC has been conceived in the light of the National Policy on Education (NPE) (Refer to Annexure 8), the Program of Action (POA) and the Andhra Pradesh School Education (Community Participation) Act, 1998, to ensure community participation. However, the participation of the community until date has been uni-directional, limited to attending meetings and to receiving information without any significant stake in the management of schools. In addition, the low literacy rate among the parents also contributes to the non-schooling of tribal children.

All these factors have cumulatively contributed to the low enrolment, attendance and retention among the tribal population. Even in situations where enrolment and attendance are on the higher side, the achievement levels of children has not improved (as reflected in the various studies on learners’ achievement levels). Paramount to this has been the low impact of various interventions by the education system to improve the quality of classroom transaction.

**Sector Strategy**

Project strategies and interventions have been geared towards increasing accessibility and providing quality education to tribal communities. This is being done through strengthening SECs to increase communities’ stake in accessing education services and ensuring enrolment, retention and mainstreming of tribal children in primary education. Community ownership is built by integrating the education agenda with the community development agenda through the AOL process.

Simultaneously, capacity-building of para-teachers — Vidya Volunteers, GVK teachers and, Alternate Learning School (ALS) volunteers — is taken up to improve the quality of education. It is believed that convergence between community interests and quality of service providers is necessary since awareness to villagers alone will not yield satisfactory results unless the capacity of grass roots education functionaries is enhanced as well. The project sensitizes the system functionaries, especially teachers and resource persons towards the rights of tribal children for child-centred and qualitative education in schools.

**Operational Strategy**

The following are the elements of the operational strategy of the project:

- Strengthening of community processes to increase enrolment and attendance in schools, and accountability of schools to local community groups are the key factors. This includes capacity-building of SECs in self-management of schools, monitoring enrolment, retention and quality of teaching. In addition, Institutionalization of Community Teacher Interface is undertaken to establish effective coordination mechanisms for joint planning,
implementation and monitoring at the habitation level.

- Awareness campaigns on the importance of education and issues of child rights and child labor generate demand for quality education.
- Intensive campaigns in selected mandals on child labor facilitate their enrolment and attendance in schools through community involvement. In addition, Residential Bridge Courses are initiated on pilot basis to mainstream out-of-school and overage children with technical support from MV Foundation.²
- Development and integration of bilingual teaching methodologies (Savara, Gadaba and Jatapu languages) in existing training modules to facilitate teaching in the vernacular of mother tongue in PTG villages.
- Extend support to ITDA for imparting and monitoring trainings to Vidya Volunteers of GVVK Schools, ALS, CBOs as well as the community.
- Literacy programs for SHG members on a pilot basis.

Activities

Training of SEC Members

SECs have been constituted by the State Government through Act No. 13 of 1998. The SEC consists of five members of whom four are parents of the children enrolled in the school and elected by the parents of the children, and the fifth is the head master or the senior teacher. SECs have an important role facilitating Universalization of Elementary Education. The overall objective of the training program is to build capacity of SECs in self-management of schools, monitoring enrolment, retention and quality of teaching through increase in their awareness, knowledge and skills. The training program, in particular, deals with:

- The importance of education in the development of individuals and the community
- The background of and need for SECs
- The rationale and status of SECs
- The roles and responsibilities of the SECs and the Parent-Teacher Associations (PTAs);
- Girl child education and early child education
- Information on various ongoing educational programs
- The role of the SEC in monitoring the distribution of different incentives, i.e., the mid-day meal, textbooks, uniforms, etc.
- The availability and optimum use of resources at the school level, and
- Canvassing at different levels for the sanction of additional resources required for the development of schools.

The major outcomes envisioned are maintenance of accounts books, proceeding

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² The M. Venkatarangayya Foundation is a pioneer in working on issues of child rights and child labor. It has been instrumental in withdrawing 300,000 children from work places and mainstreaming them in formal schools.
registers and minutes books, utilizing resources available at the school level, creating awareness in the village community with regard to compulsory enrolment, holding meetings with parents who fail to send their child to the school, and ensuring regular attendance of the schoolteachers.

**Training Education Frontline Functionaries: Vidya Volunteers, GVVK Teachers**

The strategy to recruit para-teachers in tribal areas was necessitated due to under-recruitment of regular teachers, adverse pupil-teacher ratio and low access levels to schools. In addition, para-teachers were also deployed to fulfil the demand generated because of the state policy to provide access to school on minimum children in a habitation. The capacities of the para-teachers recruited were inadequate along with absence of efforts to build the same. This has resulted in poor teaching-learning process at the school level. The project has initiated specific training programs for para-teachers to improve their teaching-learning skills. The focus of the training program is to enable the para-teachers ensure enrolment and retention of children in the habitation by providing space for active community participation. It also focuses on increased understanding on the role of elementary education in a child’s life and provides an insight into child-centred teaching methodology. The program equips them with basic skills in using teaching and learning materials from available resources and conduct teaching as per lesson plan.

**Residential Bridge Camp**

Age difference and irregular schooling process in the tribal area lead to high dropout of children from elementary schools. Residential Bridge Courses (RBCs) have been introduced on pilot basis to mainstream never-enrolled and drop-out children in the age group of 9–14 years. The RBCs were devised as part of the overall strategies of social mobilization to ensure the participation of all. The RBC serves the purpose of establishing links with the community and helping them understand the possibility of bringing older children back to school. This intervention is a residential program targeted at out-of-school and dropout children to integrate and mainstream the children in formal schools in subsequent phases with active support from the community, PRI members and SEC members. This is implemented with technical support from the MV Foundation, Hyderabad.

The process includes conducting a survey of children in and out of school, which provides an opportunity to contact all the groups in the village and discuss the issue openly with them. This is followed by an intensive campaign comprising rallies, public meeting, door-to-door campaigns, Gram Sabhas, and orientation to parents of identified children. This is aimed at changing the attitude of parents, which prevent children from attending schools, and at sensitizing the system to respond to first-generation learners. The identified children with minimum age gap are streamlined through motivation centers established at the Panchayat level.

The identified children with maximum age gap with their respective classes (age group 9–14 years) are then put into a RBC. This is done by removing the children from their homes and workplaces, and preparing them for enrolment in formal schools. The curriculum in the bridge course equips these children to cope with the formal education system through accelerated content. This intervention is being implemented for demonstrating innovative models that are low-cost and easily replicable even in remote tribal areas.

**Bilingual Teaching Material**

As stated earlier, the common vernacular used as a medium of instruction is a major constraint in tribal areas. To overcome this, the state government has introduced textbooks in seven local tribal dialects, for usage in tribal areas. However, the textbooks were in tribal dialects, only resulting in teachers’ inability to utilize the same for lack of inadequate knowledge of the tribal dialect. The Project has developed
and integrated bilingual teaching methodologies (Savara, Gadaba and Jatapu language teaching) with the textbooks through consultation with linguists, educationists and pioneers in tribal dialects. Along with this, training modules for teachers have also been developed to bridge the language barrier of teachers with respect to teaching in tribal dialects. The teaching methodology has since been adopted in 200 primary schools in PTG communities in the project area.

**Literacy Centers**

Literacy is one of the foremost capacities that enables human beings to access various choices and make informed decisions. It is one of the prerequisites to participate on equal terms in growth and development processes. Literacy levels among tribals are far lower than the national average and the status in the operational area is no different. The Total Literacy Campaign being implemented by the government has also had limited impact in tribal areas. One of the reasons for this has been the lack of ownership by the community. The Project is implementing literacy centers where demand for the same has come from the communities through reflection in the AOL process. The identification of the need is done through the school mapping exercises involving community members, SEC and other CBOs members ensuring participation of SHG members, parents, teachers and students. This would facilitate in improving access and participation of the community, and impart literacy skills.

The initiation of literacy center begins with a process of consultation and consensus, involving all community members, CBOs and teachers. The support of the education department is also enlisted while planning the course of action to facilitate smooth functioning of literacy centers and their regular follow-up. The community and PNGOs facilitate the identification of the Volunteer Instructors who are drawn from among the animators, Vidya Volunteers, book-keepers and regular teachers, etc., who take these responsibilities in addition to their prime role and responsibilities. The instructors are oriented on the pedagogical techniques to impart literacy skills and sustain the interest of the learner by using available resources. They are paid a fixed honorarium that is related to the attainment of literacy levels within the planned period of three months. The entire intervention is implemented in collaboration with the Total Literacy Campaign with the aim to strengthen the existing system and ensure good outcomes.

**Education Empowerment Index**

The education empowerment index (EEI) of the entire project area, comprising four districts, is 0.69. As compared to other components of intervention, such as local organizational

<table>
<thead>
<tr>
<th>Project Outputs</th>
<th>Project Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Trainings imparted to 11,284 SEC members</td>
<td>• Improvement in enrollment: 92.8% (girls: 92.2%, boys: 93.4%) [MIS]</td>
</tr>
<tr>
<td>• Orientation/awareness programs on education conducted in all 6200 habitations</td>
<td>(Overall enrollment is 87.6% (girls: 83.2%, boys: 91.9%) and dropout rate is 74% as per baseline)</td>
</tr>
<tr>
<td>• Training imparted to 3357 education staff (Vidya Volunteer, GVKK teacher, Mandal Resource Persons) on lesson-planning skills, motivation &amp; community interaction</td>
<td>• 9082 children enrolled in schools through Panchayat Motivation Centers</td>
</tr>
<tr>
<td>• 2 bridge courses for 270 out-of-school children</td>
<td>• Attendance has increased to 58%</td>
</tr>
<tr>
<td>• 34 Panchayat Motivation Centers in mandals with low enrollment and high dropout rates</td>
<td>• SEC functioning effectively: 62%</td>
</tr>
<tr>
<td>• Development of bilingual teaching material.</td>
<td>• Improved interface of community/SEC with education department</td>
</tr>
<tr>
<td></td>
<td>• Average attendance of Vidya Volunteers in school has gone up to 22 from 17 schools accessed by communities from mainstream: 293</td>
</tr>
<tr>
<td></td>
<td>• SEC petitions sanctioned by mainstream agencies: 583.</td>
</tr>
</tbody>
</table>
capacity, health and economic attainments, the empowerment index of education is high. When adjusted for gender inequality, and reflected in the gender education empowerment index (GEEI), we find that it is marginally lower, both in the aggregate as well as in each district. (Refer to Figures 17 & 18)

**Summing Up**

Recognizing that the STs constitute the most deprived and marginalized sections of society, a host of welfare and developmental measures have been initiated for their social and economic development. The Government of India through the TSP has proposed a broad policy transforming the structure of primary education with special focus on improving access and quality in tribal areas. However, in spite of relaxation of access norms many tribal habitations are still without school, as they do not even meet the relaxed criteria. A recent review at the national-level by NCERT clearly reveals that despite Constitutional guarantees (Refer to Annexure 9) and persistent efforts, tribal communities continue to lag behind the general population in achieving universal elementary education. The reasons are multiple, at the policy, planning, implementation and administration levels. The socio-economic situation of tribal society and their social practices also have a direct bearing on the effective functioning of schools. Other constraints within the school system relate to content, medium of instruction, teacher capacities and mindsets, academic supervision and monitoring.

The project strategies have been geared towards complementing and supplementing the government’s efforts in UEE. The project aims at addressing the underlying causes responsible for poor education standards in tribal areas. To achieve this aim, the project pay special attention to focusing on social mobilization for facilitating participation and ownership of the community in school management, which has been identified as a critical gap and is
A School Building makes Way for Tribal Education

Case Study

Krishnaveni, an eight year-old-girl says. “I want to be in this school.” Jyothi, her peer adds, “This school has good flooring. It is of cement. In the earlier ‘kutcha’ school we had to sit on sand.” Both are Savara tribal girls living in the hilltop hamlet of Janniguda, in Altti hills, Seethampeta region of Srikakulam district, and are talking about their new ‘pukka’ (permanent) building completed in June 2004, for their primary school, Girijan Vidya Vikas Kendra (GVVK).

Since 2000, an alternate school ‘Ma Badi’ had been surviving in community volunteered ‘spaces’, changing from somebody’s front courtyard to an empty room inside another’s home. The school at best functioned as a ‘makeshift’ premise in the absence of a permanent structure and location. Even when this school was upgraded to a GVVK school, with the posting of a para-teacher or Vidya Volunteer, Dharma Rao in 2001, there was no other proper provision for school.

This has been possible with the grit and determination of Cristayya, the SEC president, supported by other members, Ramanna, Bagaramma and Lakamma and the teacher, Dharma Rao. Kristayya shares on how all this started, “In June 2003, Ramanna and I went for a SEC training organized by STEP. We learnt about the roles and responsibilities of SEC and importance of education for children. We also came to know about the government schemes for educating tribal children and how to increase our participation in school management. After that I got the idea of a well-covered separate school space, and how the learning of the children would be better and more children would be interested in attending school”.

Kristayya single-handedly started building a large thatched hall to accommodate all the children adjacent to his own hut. The earthen cow-dung plastered wall served as the blackboard and a thick thatched roof saved the children from the onslaught of heavy rains and scorching sun. He completed the construction before the monsoons in 2003. In August 2003, Kristayya also learnt that if a GVVK school has a minimum strength of 36 children, then it becomes eligible for the provision of a pukka (permanent) building. “I got excited. We discussed in the SEC meeting and sent an application to the ITDA for a permanent structure for our school. We also made representations to the PO (Project Officer, ITDA,) and many other offices. The inquiry officer from ITDA also came, but he was more interested in the regularity of the teacher and number of children attending the school. Finally, we represented our case in the Mini Jannabhoomi (a government scheme bringing governance to the communities) and finally the approval came in December 2003”, declares Kristayya.

This was the first success for the SEC and established the impact of collective efforts in people’s minds. Kristayya admits, “There was a lot of difficulty in the initial period. The years 2002 to 2003 were difficult years. I used to go all round the village collecting children for the school. The teacher also used to accompany me but still the children were irregular”. But once the community, especially the parents realized that the sanction of a school building structure had been achieved due to their own efforts, there was a distinct change in attitude and a collective interest in education among parents as well as children.

The ripple effect of a single school building on children enrollment, regular attendance and retention is clearly visible. Shamatamma, a parent proudly remarks, “Now all of us send our children to school”. Ruttoni, another parent shares”, “Earlier the main topic of discussion during the SEC meetings with parents used to be the lack of a proper school structure. The parents were concerned about their children’s health but the construction of the school building has given the parents a boost”. And what a welcome boost towards ensuring their childrens’ education!

Both Kristayya and Ruttoni agree that since the construction of the school building, the parents meeting with the SEC has got regularized. Both the parents of the school-going children attend these meetings, scheduled in accordance with the collective decision of the community twice every month. Ruttoni also inspects the school premises every Monday. She says, “I visit the school and check their appearance and dress. Earlier the children were unkempt, now they are dressed smartly”. She even communicates concerns like performance and attendance to the parents. The Janniguda Mandalamma Sangam (a women SHG promoted by STEP) prepares the mid-day school meal for the children and take care of the upkeep of the school.
a prerequisite for improving the education scenario. Secondly, ensuring quality services through enhancing the capacities of the para-teachers and sensitizing key education functionaries is important. In addition, the project also demonstrates innovative models like Residential Bridge Courses (RBC), Adult Literacy Centers and bilingual teaching material for wider replication by the mainstream agencies.

Overall, the project has been successful in demonstrating approaches based on convergent action among various stakeholders at multiple levels to achieve goals of Universalization of Elementary Education and improve the education levels of tribal areas.
Introduction

Health is a prerequisite for human development and is an essential component for human well-being. The health problems of any community are influenced by the interplay of various factors, which apart from biological and epidemiological factors, also include the social, economic and political factors. The common beliefs, customs, and practices related to health and disease in turn influence the health-seeking behavior of the community. There is an agreement that the health status of the tribal population is very poor, and is worst among the primitive tribes, because they have distinct health problems, governed mainly by multidimensional factors such as habitat, difficult terrain, illiteracy, poverty, isolation, superstition and deforestation.

The tribal population in the project areas demonstrate higher morbidity rate, infant mortality rate (IMR) and maternal mortality rate (MMR) along with high levels of malnutrition, especially among children and women. The primary health care services in the area are very poor, particularly with reference to antenatal, intranatal and post-natal care. (Refer to Tables 8 & 9) Further, indications of poor health-seeking behavior and low community awareness on health and nutrition issues compounds the bleak picture of health in tribal areas.

Although the health systems exist physically, the services are not accessible to a majority of the tribal population. Lack of skilled health personnel and unfilled vacancies in the health sector means virtual non-coverage of the tribal population by health care services. The strategy of placing para-health workers to address the access of health services in tribal areas has not yielded the desired results. This has led to the tribal populations’ continuing with the traditional systems of healing (such as faith healing and herbal medicines) with quacks filling up the vacuum.

Context

The National Health Policy – 2002 (Refer to Annexure 10), accords high priority to extending organized services to those residing in tribal areas, including early detection and treatment of epidemics and endemic diseases. Yet the tribals continue to be one of the most

<table>
<thead>
<tr>
<th>Sl.No.</th>
<th>District / Access</th>
<th>Plain accessible</th>
<th>Plain inaccessible</th>
<th>Hilly accessible</th>
<th>Hilly inaccessible</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>SKL</td>
<td>29.55</td>
<td>--</td>
<td>38.46</td>
<td>37.14</td>
<td>34.29</td>
</tr>
<tr>
<td>2.</td>
<td>VZM</td>
<td>50.00</td>
<td>34.69</td>
<td>30.61</td>
<td>19.23</td>
<td>32.81</td>
</tr>
<tr>
<td>3.</td>
<td>VSP</td>
<td>--</td>
<td>--</td>
<td>26.91</td>
<td>20.38</td>
<td>23.55</td>
</tr>
<tr>
<td>4.</td>
<td>EG</td>
<td>23.26</td>
<td>31.03</td>
<td>45.24</td>
<td>32.65</td>
<td>33.13</td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
<td>34.11</td>
<td>33.33</td>
<td>29.90</td>
<td>22.86</td>
<td>27.69</td>
</tr>
</tbody>
</table>

Source: Project Baseline

Table 8
Children (Above 12 Months) who Availed Complete Immunization (in percent)

<table>
<thead>
<tr>
<th>Sl.No</th>
<th>ANC</th>
<th>SKL</th>
<th>VZM</th>
<th>VSP</th>
<th>EG</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Three times</td>
<td>19.05</td>
<td>17.19</td>
<td>20.16</td>
<td>34.97</td>
<td>21.76</td>
</tr>
<tr>
<td>2.</td>
<td>Two times TT injections</td>
<td>79.05</td>
<td>71.35</td>
<td>52.74</td>
<td>78.53</td>
<td>62.50</td>
</tr>
<tr>
<td>3.</td>
<td>IFA consumption (61–90)</td>
<td>22.86</td>
<td>17.71</td>
<td>27.58</td>
<td>28.83</td>
<td>25.56</td>
</tr>
</tbody>
</table>

Source: Project Baseline

Table 9
Distribution of Pregnant Women who Availed ANC by District (in percent)
Social Mobilization, Empowerment and Capabilities: Enhancing Development Outcomes

underprivileged and fragile populations as reflected through poor health indicators. The available evidence suggests that poverty, linked with food insufficiency, is the principal cause for the very high incidence of malnutrition and poor health. Poor sanitation and hygiene practices and superstitions combined with lack of access to basic health services contributes to the exceptionally adverse health scenario in the area. The IMR is 84.2 per 1000 live births compared to 72 per 1000 for the general population, MMR is greater than 8 per 1000 as against 4 per 1000 for the general population, and high crude death rate is 15 per 1000. (Refer to Table 10) There is a high level of (about 75%) stunting/wasting among children. The number of girls marrying below 18 years in many of these tribal districts is as high as 70%. Tribals suffer high incidence of communicable diseases: the rate of incidence of Tuberculosis is double among tribals than among others, malaria case incidence is estimated to be over 18 per 1000, and tribal fatality due to malaria accounts for 75% of the state’s total malarial deaths. Only 30% of tribal households have access to safe drinking water. Liquor consumption among adults and children is high. The situation is much worse in remote and hilltop villages inhabited by PTGs.

### Sector Strategy

A multi-pronged approach is being adopted by STEP to improve the health status of tribals. The primary focus is on raising community health and nutrition awareness and on enabling access of women and children to health care services through anganwadis in villages to alter...
community health-seeking behaviors. There is also a simultaneous focus on training and capacity building of frontline health extension functionaries like Community Health Workers (CHWs), Anganwadi Workers (AWWs), Traditional Birth Attendants (TBAs/Dais), Auxiliary Nurses and Midwives (ANMs) to promote accountability and responsiveness of service providers to the basic health needs of the community.

As malnutrition is a consequence of many factors, it is imperative to intervene in several sectors and adopt multiple strategies to tackle it effectively. The strategies of improving food intake, increased access to quality health services and improved sanitation are adopted to tackle malnutrition. Addressing health issues requires an understanding of social factors, gender differences and other inequalities that lead to ill-health.

The project strategy is two-pronged: promote health-seeking behavior and strengthen health systems. This is facilitated through the process of building capacities of tribal communities to participate in health care utilization and of women and children to access health care services well. The social mobilization strategy aims at empowering the community and increase their demand for the services. This is done through organizing village-level meetings and awareness campaigns using the medium of kalajathas/skits/drama; through demonstrating innovative practices like Nutrition & Health Days (NHDs) where all services of mother and child health are integrated; and through initiating community-based health-monitoring systems to track nutrition and health practices of women and children. Pursuing with the philosophy of working with and strengthening the government systems, the project is organizing capacity building programs for frontline service providers to improve the efficacy of the health functionaries like CHWs, AWWs, and ANMs in providing health care services. Apart from all this, mechanisms for building linkages between frontline functionaries like TBAs, CHWs, and the government health care systems is also taken up to ensure timely access. It is expected that collective action and social mobilization will ensure greater demand for services and that capacity building and convergence with the health care system will ensure better access to quality health services.

**Activities**

**Training of Community Health Workers**

Community Health Workers (CHWs) are employed by the government to improve access to basic health services in the tribal areas. CHWs are para-workers who provide basic health services for minor ailments at the habitation level. Their responsibilities include providing medicines to the community for minor ailments like fever, cold and cough, along with dispensing medicines for malaria prevention and promotion of good health behaviors with respect to sanitation and hygiene. They are selected from the community to act as a link between the community and the ANM and promote utilization of available health services. Their responsibilities include cooperating with any health worker and ensuring that no households are left out from health and nutrition services.

Though the placement of CHWs is an appropriate strategy to overcome the access barrier in remote areas, it has not been effective due to gaps in implementation such as inadequate capacity building of CHWs who are mostly semi-literate, inadequate provision of sufficient medicines and lack of link up with the mainstream health services. This has resulted in lack of accountability either to the community or to the government systems on part of the CHW. In accord with the objective of improving health care services, an intensive skill based and client oriented training program is being conducted for CHWs by STEP. The 20-day training program includes classroom and field-based sessions and is aimed at bridging the knowledge and skill gap and promote convergence with government health care system. It promotes accountability both at the community as well as at the system level. The technical support for this training program is provided by the Academy of Nursing Studies.

**Objectives of the Training Program**

The objectives of the training program for CHWs are to:

- Upgrade the knowledge and skills of the CHWs on the health and nutrition of women and children (based on the life cycle approach), and other health aspects
- Converging the services of CHWs with other service providers such as ANMs and AWWs on the Nutrition and Health Day
- Improving awareness on HIV/AIDS
- Building linkages and accountability at the system level and at the grassroots by engaging the CHW in a community-based monitoring process for increasing their accountability to the community.
Capacity Building of Traditional Birth Attendants

Traditional Birth Attendants (TBAs) or Dais have been involved in providing safe delivery services to pregnant women in rural and tribal areas of the country in the absence of a well-functioning health care service system. They have enjoyed wide acceptance among communities because of their traditional knowledge inherited from elders. The government as well as various agencies working on safe delivery issues have been utilizing TBAs as means for providing access to safe delivery in rural communities.

Although they have been rendering this critical service to communities for ages, there is still a lack of sufficient knowledge and skills to ensure safe delivery by adopting modern practices. The objective of the project is to promote institutional delivery by using the TBAs as referral points and linking them with the formal health care system. With very little progress being made in terms of ensuring institutional delivery, improving the knowledge and skills of TBAs is imperative to ensure safe delivery.

The objective of the training program is to improve the knowledge in maternal and newborn care and provide basic skills in antenatal care. It also includes providing clear understanding on components such as asepsis, risk identification and referral through hands on practice in observing two and assisting one safe delivery.

The training also addresses issues of building linkages with health centers and hospitals that is a critical function of the TBA. The outcomes of this 10-day training program include good understanding on the basic concepts and proficiency in maternal and newborn care skills among the TBAs. This will also provide the TBAs skills in counseling on issues like immunization, family planning and HIV/AIDS. This will contribute to reduce the overall maternal and neonatal mortality.

Training of Anganwadi Workers

Anganwadi Workers (AWWs) are frontline staff deployed to improve the reproductive and child health/hygiene status under the Integrated Child Development (ICDS) Services/Programme. The program adopts a comprehensive approach by provisioning infrastructure, services, capacity building of staff and demand generation at the community-level. However, field observations and training need assessments of AWWs conducted by the project surfaced the need to further improve quality of service delivery, awareness levels of community and establish accountability mechanisms. The training is expected to improve their knowledge and proficiency levels on critical components such as high-risk identification, identifying high risk cases and ensuring prompt referral (how, when, where), immunization, promoting the concept of NHD, teamwork, and enhancing facilitation/communication skills.

The outcome of the training program would be: clear understanding of roles and responsibilities by the AWW, facilitate constitution of Mother Committees (MCs) and their regular intervals; keep records of women in childbearing age, particularly pregnant women, lactating women and children under five years of age in their work areas and empower them to take appropriate health, nutrition and immunization decisions. AWWs will participate in capacity building programs and be in constant touch with the CHWs and ANMs. They will cooperate with any health worker who is visiting the village for identification of health problems. They will also have working knowledge

### Training of Health Service Providers

- Understanding of their roles and responsibilities
- Enhance skills in maternal and child health care (pregnancy care and newborn care), such as in identification, referral, personal hygiene, village sanitation, balanced diet, treatment of communicable diseases like diarrhoea, malaria and TB
- Maintenance of community health records through a community-based monitoring system and ensure that there are no left-outs and dropouts
- Maintain regular contact with the community and counsel them on appropriate nutrition and health issues
- Provide information on complete life cycle approach through NHDs
- Better coordination between ANMs, TBAs, CHWs and AWWs
- Constituting Mother Committees (MCs) and conducting their meetings at regular intervals.
of First Aid Kit and its use, referral services, UIP clinical process and concept, personal hygiene factor, utilization of wastewater, use of tablets in case of malaria and chlorination, and awareness on HIV/AIDS. The AWWs will work towards educating the community regarding health and village sanitation and conduct door-to-door surveys.

**Training of Auxiliary Nurse & Midwife**

Auxiliary Nurse & Midwives (ANMs) are crucial links in providing preventive and curative remedies for a population of around 5000. There exists a wide gap in service delivery as the current deployment norms of ANMs, especially in remote and interior areas where tribal populations live, are not effective. The habitations in tribal areas are sparsely located with difficult geographical terrain along with poor road connectivity, resulting in many villages left out of essential services. This has serious implications on the health status, particularly with reference to ante and post-natal care of pregnant women and newborn. The project has initiated capacity building program to address critical issues such as maternal and child health (MCH) in the life cycle approach, strengthen their communication and behavioral change skills and improve referral linkages. Promoting convergence among various front-line service providers and ensuring their accountability at community-level is one of the major objectives of the training program.

The major outcomes of the training program include:

- Enabling the ANMs to maintain regular information on women in the childbearing age, particularly pregnant women, lactating women, and children under two years of age;
- Provide information to enable appropriate decisions on nutrition, health and fertility;
- Ensure no left-outs and dropouts from health and nutrition services and
- Disseminate information on issues of personal hygiene, utilization of wastewater, and use of tablets in case of malaria and chlorination.

This training would help the ANMs in providing services to communities on the complete life cycle approach and make them well-versed in the basics of obstetric care.

**Awareness Campaigns**

Low awareness levels on critical issues related to their rights and entitlements is a major constraint while working with tribal populations. This is true with respect to health also where the tribal population exhibits poor awareness levels and behaviors. Changing behavior on issues related to pregnancy, delivery and childcare is crucial for the success of all health interventions and behavior change communication (BCC) at various levels (individual, family and community) is given specific focus by the project. The project uses a range of innovations (home visits, group meetings, demonstrations and counseling) for social communication, particularly to target the unreached PTGs. Kalajathas, the traditional tribal folk media, are used to disseminate messages on various thematic areas. Village-level meetings are organized to discuss health issues like immunization, pre and post-natal care — IFA consumption, supplementary diet, birth spacing and planning — communicable diseases and community-based referral system. Community awareness on HIV/AIDS prevention, personal and environmental hygiene and sanitation are also themes on which messages are given through various media. The animator, along with the CHWs, AWWs conducts meeting for the pregnant and lactating mothers, husbands and adolescents to reinforce the messages on various health issues. The project also takes up Family Life Education (FLE) for unmarried adolescent girls on life cycle approach and increasing their knowledge on Reproductive and Child Health (RCH). Gender discrimination, consequences of early marriage and childbirth, HIV/AIDS, etc., are also addressed. This is done on a demonstration basis at school hostels and executed in a camp mode.

**Nutrition Health Day**

Nutrition & Health Day (NHD) is a mechanism to ensure convergent delivery of all health

*Promoting convergence among various front-line service providers and ensuring their accountability at community-level is one of the major objectives of the training program.*
service on a specified day and at a specified place so that the community has access to these critical services. It is an effort to provide health and nutrition services in remote and interior areas. It is usually held at the Anganwadi Center where the AWW coordinates with the CHWs of all nearby communities to ensure participation of all target clientele — pregnant and lactating mothers and children under two years of age.

Along with the provision of all nutrition and health services, the Nutrition & Health Day ensures participation of community and builds ownership and accountability. This is done through joint monitoring and review of access to these critical services and their outcomes through usage of participatory tools. The NHD is also used as a platform for delivery of key messages with respect to nutrition and health. It promotes greater involvement of men in nutrition and health issues, including awareness creation on RTI/STIs and HIV/AIDS in the community.

Health Empowerment Index

The Health Empowerment Index for the Project area is 0.48. East Godavari has achieved a health empowerment index of 0.57, the highest of the four districts, while Visakhapatnam reports the lowest (0.44). In all the four districts, the gender adjusted health empowerment index is lower. Compared with other dimensions of empowerment such as education, economic attainments and local organizational capacity,

<table>
<thead>
<tr>
<th>Project Outputs</th>
<th>Project Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training conducted for 2751 CHWs</td>
<td>Orientation/awareness programs conducted for community on health issues, especially during anthrax and malaria outbreak in Paderu resulted in restricting the epidemic to spread further</td>
</tr>
<tr>
<td>Training conducted for 2346 AWWs</td>
<td>Improvement in the skill and knowledge level of CHWs, AWWs and TBAs</td>
</tr>
<tr>
<td>Training conducted for 357 ANMs</td>
<td>Coordination mechanisms established and strengthened between community and health functionaries</td>
</tr>
<tr>
<td>Training conducted for 1216 TBAs</td>
<td>Improvement in service delivery at community level</td>
</tr>
<tr>
<td>Training conducted for MCs</td>
<td>Improvement in usage of referral mechanism</td>
</tr>
<tr>
<td>Institutionalization of 450 NHDs</td>
<td>Increase in awareness level of community on health and nutrition issues</td>
</tr>
<tr>
<td>Convergence meetings organized regularly at PHCs</td>
<td>CHWs able to clearly state their roles and responsibilities — 3539</td>
</tr>
<tr>
<td>356 PNGO staff trained on health with focus on preventive health practices, demand generation for health services and raising awareness levels</td>
<td>Number of pregnant women referred for early registration at sub-centers — 9070</td>
</tr>
<tr>
<td>Orientation/awareness programs on health conducted in all 6200 habitations.</td>
<td>Number of cases referred by ANM — 6755</td>
</tr>
<tr>
<td></td>
<td>72% pregnant women getting 3 ANC check-ups</td>
</tr>
<tr>
<td></td>
<td>Deliveries attended by skilled personnel — 60%</td>
</tr>
<tr>
<td></td>
<td>Children (12–24 months) immunized — 57%</td>
</tr>
</tbody>
</table>
the health dimension is the only one where the overall index falls below 0.5 with 53% of the villages falling under this category. This reflects a very poor health empowerment status of the districts. (Refer to Figures 19 & 20)

**Summing Up**

Problems of accessibility and poor utilization of health services are predominant in tribal areas because of the difficult terrain and sparse distribution of population, coupled with non-availability of service providers, lack of quick referral of emergency cases, and lack of appropriate incentives to motivate service providers to work in tribal areas. It is expected that the phenomena of collective action and social mobilization would not only ensure demand generation for services but would also inaugurate the supply side to meet the same. Bridging the gap between government service delivery and community accessibility to basic services is a prerequisite for realizing improved

![Figure 20](image)

**Case Study: Dispelling Myth, Making Impact**

Fifty-year-old Bapanamma is the only trained Traditional Birth Attendant (TBA) working in Banda village which has 113 families. She underwent a 10-day TBA training in 2004 conducted by STEP. There are two other TBAs in the village who have not been trained. Previously, Bapanamma had been trained by the Community Health Worker (CHW) and did not follow safe delivery practices like use of gloves or even soap during the delivery. The course has taught her not only the importance of cleanliness and nutrition but also how to identify common health problems such as oedema and anaemia in the mother, and prevention of childhood diseases such as Polio, TB and measles through timely immunization.

She says that since most of the married women in this village are below 18 years, complications during the delivery are common. In fact, she recalls a young mother having contractions for three days before being taken to the nearest hospital, three hours by bus ride to Rajahmundry. The training was therefore extremely helpful in providing prenatal care and also raising awareness on the importance of delivery in hospitals.

In this tribal area, it is a practice not to give eggs to pregnant mothers or young children, as the local people believe that it will result in the infant having no hair! The training course therefore helped to dispel these beliefs and encouraged the TBAs to recommend eating eggs, an extremely rich source of protein and iron, critical to the mother’s nutritional status during pregnancy.

Another result of the training course is also Bapanamma’s increased knowledge about HIV/AIDS. She is now engaged in disseminating this knowledge among female members of the community, stressing the importance of safe sexual practices and use of condoms. This is likely to have a significant long-term impact on the health status of the village and her gained knowledge has proved to be invaluable to the community. She is also keen to attend a refresher-training course and would like to increase her knowledge about allopathic/herbal medicines since the hospital is inaccessible to the community.
health status. Concurrently improving the quality of services by service providers to make them more responsive and suitable to community needs supplements other efforts. To ensure this, STEP has been actively engaged in strengthening the capacities of service providers of ITDA to improve quality of services.

While the project has been making sustained efforts to generate demand for services and build capacities, other structural issues need to be addressed to make a positive impact in the health status of the tribal people in the project area.

The multiplicity of public programs and interventions in the health sector results in a thin spread of available resources, labor and infrastructure. In addition, there are many major ailments in the health care system that add to the dismal health indicators in the tribal areas:

- Persistent gaps in labor and infrastructure, especially at the primary health care level
- Sub-optimal functioning of the existing infrastructure
- Poor referral services
- Increased dependence of people on private health care services, and
- Inadequate integration of public interventions in the area of drinking water and sanitation with public health programs.

Any improvement in the overall health scenario can only be achieved by addressing all the above issues through an approach that harnesses potential synergies for health attainments of people.
**Introduction**

Tribal populations, which are concentrated in forested areas that are inaccessible, have limited political or economic significance. From time immemorial, the economy of tribals has been dependent on subsistence agriculture, hunting and collecting forest produce. However, present times have seen far-reaching changes in the traditional tribal economies. Improved transportation and communications have led to ever-deeper intrusions into the tribal economy. Market economy and government policies have introduced the cash economy in place of the barter economy that had made the tribal people self-sufficient and less dependent on outsiders.

Relationship of tribals with non-tribals has mostly been on unfavorable terms for the former. Over the years much of tribal land fell into the hands of non-tribals. Realizing this, the government felt the necessity of protecting tribals from outsiders and introduced legislations to prohibit the sale of tribal lands to non-tribals, although a significant loophole in the form of land lease remains. The result is that many tribals became landless and regions that a few years ago had been the exclusive domain of tribals now have an increasingly heterogeneous population. This has further been accentuated with non-tribals being classified as STs through political manipulations resulting in the tribals effectively losing their advantage. Their newly acquired tribal status made the non-tribals eligible to acquire tribal land legally and to compete with tribals for benefits reserved for them, like reservation in legislative and governing bodies, educational institutions, and other welfare benefits earmarked for tribals.

Government policies on forests have adversely affected tribal people, seriously undermining the tribal way of life. Intensive exploitation of forests has often meant allowing outsiders to cut large forest tracts and ultimately replacing mixed forests capable of sustaining tribal life with single-product plantations. The introduction of cash crops in the tribal economy further disadvantaged the tribals in that they decreased the supply of available food grains and increased tribal dependence on economic forces beyond their control. This transformation has meant a decline in both the tribes’ security and their standard of living. In the past, tribes made up shortages in food in the lean season by foraging in the forest. Wherever gathering of forest products is still remunerative, merchants exchange their products for tribal labor but in a majority of tribal areas, this no longer remains a viable option. Consequently, tribals have become soft targets for non-tribal moneylenders ready to provide credit with the proviso that loans be repaid in kind with 50–100% interest after harvest. The exorbitant rates of interest sets into motion a cycle of indebtedness from which many have been unable to break loose.

**Context**

The majority of tribal households are living below the poverty line. (Refer to Table 11) Their livelihood is dependent on traditional agriculture along with small off-farm activities like animal rearing, wage labor and other ancillary activities. Irrigation facilities are frequently non-existent, inadequate or poorly managed. Agricultural returns and opportunities for income generation have reduced in recent years, the possible
reasons for which include declining soil fertility, drought, inadequate investment in irrigation, poor market access and unfair market practices. Many tribals see advantages and higher returns from cash crops, but also associate it with higher risks due to dependency on inputs, debt cycle spirals, exploitative trading arrangements and poor market linkages. Another source of livelihood for tribals is shifting cultivation, which has a strong linkage with landlessness and is a risk management strategy for reducing vulnerability. Non-timber Forest Produce (NTFP) based livelihood opportunities have also reduced due to forest depletion and declining prices. Food security is still a major issue with lean periods of 30–90 days (June–September) despite significant levels of investment by the government. Moreover, tribals have limited access to government services including economic activities and to formal credit. Credit is often obtained from informal sources who charge exorbitant interest rates, preventing the poor from earning reasonable returns from most economic investments. Non-farm employment opportunities in tribal areas are very limited, resulting in significant proportion of tribal workforce dependent on unskilled wage labor ranging between Rs. 5 to Rs. 40 per day. (Refer to Table 12)

**Livelihood Strategy**

Livelihoods are directly related with the productive assets an individual has at his disposal and the capacity to utilize the existing opportunities. The tribals are distinctly disadvantaged on these fronts with the depletion of their asset base over the
years and lack of capacities related to literacy and awareness on their basic entitlements in comparison to the general population. As a result, tribal livelihoods have become more and more insecure over the years characterized by economic deprivation and poverty. The project approach to overcome this has been to create awareness on their rights and entitlements and better utilization of opportunities through participation and ownership of the process and taking up interventions and demonstrating models that are successful in the sociocultural and economic settings that the tribal livelihoods are embedded in.

The project aims for tribal livelihoods’ security through a judicious and systematic management of natural resources, which is one of the prerequisites for sustainable livelihoods. In the context of tribal livelihoods, the symbiotic relationship between ecology and economic security cannot be overlooked when it comes to creating sustainable livelihood opportunities. The project focus is on the promotion of sustainable land and water management practices and integrating indigenous knowledge with community-friendly technical expertise. Cumulatively, the interventions in land and water management focus on building the community resource and knowledge base, transfer of technical skills and demonstration of successful models for replication by mainstream agencies. Traditional community Grain Banks have been revived, as seasonal food insecurity remains a matter of concern in tribal areas.

Apart from this, women SHGs have been promoted as a key strategy for enhancing household income and bringing about women’s empowerment through mainstream agencies. The SHGs exhibit varying degrees of efficiency in terms of savings, thrift and business skills. The majority of the groups are not functioning well because of factors such as low literacy levels, lack of entrepreneurial motivation, lack of knowledge on market avenues, non-linkages of products, etc. The project aims to build capacities of SHGs, facilitate credit linkages, and promote micro enterprise, creating platforms for interface with livelihood support agencies. The project endeavors to create a suitable environment through orientation/sensitization of these support agencies, which involves linking them with mainstream agencies and bringing in technical expertise from the private sector for effective market linkages. This is mainly to ensure effective marketing of their produce, buy-back guarantee and remunerative support prices, etc.

Natural Resource Management

Introduction

Natural-resource base forms an integral part of tribal lives and livelihoods, as it is primarily dependent on rain fed agriculture, shifting cultivation and forest-based activities. However, with depletion in natural resources, tribal livelihoods have become very fragile and susceptible. The continuous drought in the region for the past several years has resulted in crop failures, adding to the misery of tribals.

The project has taken cognizance of the fact that judicious and systematic management of natural resources is one of the vital prerequisites of sustainable livelihoods. Promotion of livelihood interventions should involve harnessing the indigenous knowledge base of the tribal communities and strengthen institutions that will facilitate the management of community assets.

Context

Absence of legal entitlement to natural resources in spite of having control over land for several years, is a key problem with
Social Mobilization, Empowerment and Capabilities: Enhancing Development Outcomes

many tribals. Land alienation and resulting conflict is a common occurrence in areas with high inflow of non-tribals, despite protective legislation. Of the total land in Scheduled Areas, non-tribals legally or illegally cultivate more than 48% of it. Tribals have been forced to look for alternative livelihood strategies where they have lost control over their lands due to state procurement, leasing to non-tribals or because of debt. Shifting cultivation is a key livelihood activity and is practiced by about 40% of the population, more so in remote villages. (Refer to Table 13)

Depletion of forest resources and conflict over common property resources has resulted in tribals’ livelihoods becoming vulnerable. Livelihoods are adversely affected by both reduced agricultural output and declining income from NTFP of around Rs. 15 per day per person. Where NTFP is available, procurement points of Girijan Credit Cooperative (GCC) are not located near the village, resulting in tribals indulging in distress selling of their produce. Agricultural returns from farming or labor is increasingly constrained by population pressure on land, lack of irrigation facilities, poor market access and unfair trade practices. Many tribal farmers are shifting to cash crops like cotton, cashew and tobacco, anticipating higher returns, thereby raising the debt level. The high investment required for cash crops has made the tribals dependent on moneylenders and forced them into a debt cycle compelling them to mortgage their crops at distress prices. Tribal farmers have poor access to markets and are prone to exploitative trade practices making commercial farming a risky proposition.

The absence of irrigation facilities in spite of higher rainfall compared to rural areas and lack of initiatives in land and water management has resulted in high soil erosion. Low fertility of land, a result of high soil erosion over the years, has also made agriculture a less economically viable option. Irrigation facilities, wherever available, are poorly managed or defunct which is often a consequence of absence of community involvement in planning and implementation. In spite of having many perennial sources of water, 50% of villages do not have access to potable drinking water. Moreover, most of the existing wells are defunct or not functioning due to faulty design and faculty implementation.

**Sector Strategy**

The Project considers micro-projects as visible outputs of community led initiatives that build strong foundations for social capital formation at the grass roots level, secondary to livelihoods support. Interventions in natural resource management on building the community resource and knowledge base, transfer of

<table>
<thead>
<tr>
<th>Size of land (acres)</th>
<th>SKL</th>
<th>VZM</th>
<th>VSP</th>
<th>EG</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Landless</td>
<td>9.35</td>
<td>15.02</td>
<td>9.90</td>
<td>22.33</td>
<td>13.37</td>
</tr>
<tr>
<td>0.01 to 1.00</td>
<td>23.52</td>
<td>19.14</td>
<td>12.09</td>
<td>15.11</td>
<td>15.24</td>
</tr>
<tr>
<td>1.01 to 2.50</td>
<td>36.31</td>
<td>24.79</td>
<td>23.07</td>
<td>20.98</td>
<td>24.27</td>
</tr>
<tr>
<td>2.51 to 5.00</td>
<td>25.31</td>
<td>32.10</td>
<td>35.19</td>
<td>28.42</td>
<td>32.04</td>
</tr>
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<td>5.01 to 7.50</td>
<td>3.85</td>
<td>5.66</td>
<td>10.09</td>
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<td>7.51 to 10.00</td>
<td>0.83</td>
<td>2.16</td>
<td>5.37</td>
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<td>4.09</td>
</tr>
<tr>
<td>10.01 to 15.00</td>
<td>0.83</td>
<td>0.93</td>
<td>2.95</td>
<td>1.73</td>
<td>2.10</td>
</tr>
<tr>
<td>Above 15.00</td>
<td>0.00</td>
<td>0.20</td>
<td>1.34</td>
<td>0.75</td>
<td>0.87</td>
</tr>
</tbody>
</table>

Source: Project Baseline

The absence of irrigation facilities in spite of higher rainfall compared to rural areas and lack of initiatives in land and water management has resulted in high soil erosion.
indigenous knowledge and technical expertise, and dissemination of successful models for replication are the other elements of sector strategy. The entire strategy is based on the principles of enhancement of capacities and partnerships. Capacity-building of community, CBOs, NGOs and government functionaries are undertaken for implementation, sustainability and replication of micro-project models. This involves elements of design and implementation of participatory rural investments through converged action. Partnerships focus on promoting synergies among organizations to catalyze pro-poor investments and scale-up successful local solutions to widen development impact across the tribal community. This multi-stakeholder convergence also helps the communities to leverage resources from ITDA, Velugu and other government interventions like Comprehensive Land Development Programme (CLDP) and Rural Infrastructure Development Fund (RIDF).

Community initiated micro-projects for drinking water, soil conservation and water harvesting are supported on a pilot basis. Based on project experience, drinking water projects, particularly protection for natural springs, wells, use of gravitational force technology for supply of drinking water at village from nearby water sources and water harvesting structure with the treatment of its catchments, are implemented as models for replications. In addition, non-functional irrigation structures are identified and revived to make them productive in consultation with the community and ITDA. Orientation programs for key community members, NGOs and ITDA staff are also undertaken to strengthen the capacities of local institutions. These programs are on best practices adopted in land and water management for hands-on learning and application; smooth transfer of community-friendly technologies, and effective use and maintenance of water bodies. Besides these, the project extends technical support to the ITDA to implement projects form CLDP, DWMA and RIDF resources through the same process (design, estimate and training) that furthers community participation and ownership.

The identification, prioritization and selection of micro-projects are done based on people’s priorities identified through AOL processes. The community, especially CAG members, lead the process of implementation of micro-projects with active role in planning, implementing and monitoring the projects. Community contribution and participation in all stages of intervention are critical aspects of the program with community contribution in terms of Shram daan (voluntary contribution of labor), a significant cost-sharing exercise. The costs of all micro-projects are considerably lower in comparison to the costs of similar water harvesting structures executed through contractors in the project area.

Gender and social equity are integral components of community empowerment, and thus in the execution of micro-projects equal pay for equal wage is mandatory. In addition, social audit of all construction work is encouraged among communities to facilitate social transparency. In this process, all project related information on costs and expenditure incurred on the micro-project is shared among all community members regularly. STEP’s financial input in micro-projects is a one-time investment for construction support with the community taking over the operation and maintenance of the structure.

**Major Activities**

**Land and Water Management**

Community-initiated micro-projects address critical needs for tribals’ livelihood security. These micro-projects include building water-harvesting structures and renovating old water bodies. Land and water management interventions are implemented by integrating indigenous knowledge with technical expertise. The interventions are made through partnerships with various stakeholders like the government, PNGOs, technical resource agencies, and the community. The successful models are scaled-up for larger impact across the tribal community. The PNGOs facilitate social mobilization and
initiate technical feasibility, estimations and implementation plans with support from the project and the technical resource agency. The entire process is undertaken with the participation and ownership of the community, and social audit is mandatory to promote transparency and accountability. All documents, bills and vouchers pertaining to execution of the project are kept in the village for public scrutiny. Further, display boards with details of expenditure and contributions are put up at each of the project sites. Each project has its operation and maintenance plan with provisioning of resource generation to supplement operation and maintenance activities in future. Equity in benefit sharing is ensured so that the needs of the vulnerable — poor, vulnerable, diseased, widow and physically challenged — are addressed.

**Drinking Water Initiatives**
Access to safe drinking water has a lot of bearing on the health status of the tribals in that they are prone to epidemics like malaria and other water-borne diseases. In addition, women spend a lot of time in fetching water from far-off places limiting their time for income generation activities. The baseline data of the project shows that 50% of communities do not have access to potable drinking water. High rainfall in the tribal areas and availability of natural perennial springs throughout the area has made the Project take up drinking water micro-projects using indigenous knowledge and low-cost technology. Drinking water micro-projects implemented by the Project are varied, like protection of natural springs and wells, use of gravitational force technology for supply of drinking water to communities from nearby water sources, installation of iron-removal plants, spring protection wells, repairing of bore wells, and construction of open wells. The focus is to ensure access to potable drinking water to the communities through community participation and ownership in all phases of project implementation — identification of the need, feasibility, cost estimation, implementation and regular monitoring with technical support from resource agencies. Social audit is undertaken for all projects to ensure accountability and transparency in the implementation with all the documents related to project expenses open for scrutiny. Provisioning of resource generation is ensured to supplement operation and maintenance activities in future through constitution of water-user committees to institutionalize management systems.

**Grain Banks**
Hunger and deprivation are common facets of tribal life, with communities facing extreme food insecurity during lean periods. In order to address the problem of food security, community Grain Banks have been introduced in the villages, creating provisions of food security in lean periods of the year. Further, it inculcates the habit of community participation and self-
help among tribals, especially to combat the situation of continuous debt and bondage through a savings-based approach. A Grain Banks generally covers most of the households of the village and is managed by the CAG, the SHG and the Grain Bank Committee, depending upon the interest and management capability of the particular group in a given village. The process of the Grain Bank implementation starts with the animator explaining the concept of Grain Bank and motivating the group(s) and seeking approval and participation of villagers. Then the community prepares a resolution establishing the Grain Bank. The details of individual contribution, type of grain to be saved, place of storage, type of storage facility, withdrawal limits, and interest rates on loans are finalized. During the lean season, grain is borrowed by members as per their requirement and is repaid with interest after the harvest season. The Project also trains Grain Bank members on various aspects of management of Grain Banks.

Kitchen Gardens
Kitchen gardens or backyard gardens, nurseries have been initiated by the Project to augment resources and improved access to food sources at the community level. It encourages community members to undertake kitchen gardening as a viable income-generation activity. A one-day training program is conducted at the community level on aspects of soil preparation, identifying suitable vegetables to plant, planting techniques and maintenance as it doesn’t involve much skill. Trained NGO staff facilitate the process, motivating the community on the benefits of kitchen gardening and providing information on the availability of seeds and saplings from ITDA and other sources.

Kitchen gardens are taken-up in school campuses as well, with the green leafy vegetables providing nutritional supplement to the children in the mid-day meal scheme. Schools and anganwadis are provided with vegetable seeds during the training and encouraged to use locally available organic manure in enriching the kitchen garden for better yields. At household level, surplus vegetables (post-consumption) from the kitchen garden generate additional income.

Micro Finance

Introduction
An SHG is a small, economically homogeneous, interest group of rural poor, generally not exceeding 20 members. Members agree to save small sums regularly, contribute to a common fund for meeting their emergency needs, decide collectively, resolve their conflicts through collective leadership and mutual discussion, and provide collateral-free loans at a market-driven interest rate decided on by the group.

NABARD defines SHGs as ‘small, economically-homogenous affinity groups of rural poor, voluntarily formed to save and mutually contribute to a common fund to be lent to its members as per the group members’ decision.’ Most SHGs in India have 10–25 members, who can be either only men, or only women, or only youth, or a mix of these. Micro-finance is defined as provision of thrift, credit and other financial services and products, of very small amounts, to the poor to enable them to raise their income and improve their living standards.

SHGs play a major role in poverty alleviation in rural India. A growing number of poor people, mostly women, are members of SHGs and actively engage in savings and credit, as well as in other activities like income generation, natural resources management, literacy, childcare and nutrition, etc. The savings and credit focus in the SHG is the most prominent element and offers a chance to create control over capital, albeit in very small amounts, with the objective of improving their livelihoods through investments in income-generating activities. The rules and regulations of SHGs vary according to the
preferences of the members and those facilitating their formation. A common characteristic of the groups is that they meet regularly, typically once a week or once a fortnight, to collect the savings from members, decide on which member to give a loan, discuss joint activities and mitigate any conflicts that might arise. Most SHGs have an elected leader, a treasurer, and, sometimes, other office-holders.

Majority of SHGs invest the loan amounts in a mix of consumption and productive purposes as credit needs of the poor are determined in a complex socio-economic milieu, where the dividing line between credit for ‘consumption’ and ‘productive’ purposes is rather blurred. SHGs can graduate to a more prominent economic role in the rural economy if they have access to financial capital and markets for their products and services. While the groups initially generate their own savings through thrift, their aim is often to link-up with financial institutions in order to obtain further loans for investments in rural enterprises either as matching loans or as fixed amounts, depending on the group’s record of repayment, recommendations by group facilitators and collaterals offered.

Context

Tribal livelihood strategies are focused mainly on agriculture, NTFP and wage labor, with a significant proportion of tribal workforce dependent on unskilled wage labor. However, with the depletion in natural resources, livelihood opportunities for tribals have further reduced in recent years. Collusion between traders and informal moneylenders who demand repayment in kind against the price agreed put the tribals at a disadvantage and lead them invariably into ‘debt traps’. Quite often, the trader and moneylender is the same person. Wage rates, which vary between Rs. 5 and Rs. 40, depending on the availability of options, the FFW programs of the government and the APCFM programs, are less than the prescribed wages. The collection of NTFP, which was an important livelihood option for tribals in times of distress, has also ceased to exist because of depletion in forest cover and lack of access to GCC NTFP collection centers. (Refer to Table 14)

The extinction of traditional tribal livelihood options has resulted in most tribals being caught in the vicious cycle of debt trap, exploitation and poverty. Most of the credit is taken for meeting consumption needs in the lean period and from informal sources who charge exploitative interest rates of upto 70–100 percent. Many tribals are also not aware of the existing welfare and development opportunities provided by the government, resulting in the programs being ineffective in making a significant impact on tribal livelihoods. There is also a lack of awareness among the tribals on credit availability from the formal banking system with many of them believing that bank support is meant for commercial crop plantations only. This has led to a situation where many of the initiatives in micro finance are seen as savings interventions than as means of attracting credit for achieving economic development.

There are 15,806 women SHGs in the Project Area promoted by varied stakeholders – DRDA, ITDA, banks, Velugu and NGOs. These are mostly a result of the target-driven approach practiced by the mainstream agencies without any investments in building their management capacities in terms of savings, book-keeping and decision-making process. In some villages where loans had been taken from banks, repayments were due for which notices had been received from banks. In some areas, SHGs have been established very recently under Velugu and are in a nascent stage. The low management capacities and remote inaccessible terrain has also made many of the banks inaccessible for credit linkage and taking up of income-generation activities. The social risk management initiatives like insurance have not been taken up at all for the members and groups, resulting in many of the social objectives of SHG promotion still not yielding any benefit to these vulnerable communities. The capacities of SHG federations/VOs also are very low, as they have been recently promoted as part of
the Velugu program. This is more so because the SHG are still in a stage of evolution and it will take considerable efforts and time to make these apex bodies functional and act as financial intermediaries as envisaged.

### Sector Strategy

The Project strategy is aimed at strengthening the large number of primary SHGs through various Capacity-building initiatives and establishing linkages with formal financial institutions. The project also simultaneously builds the capacity of service providers and sensitizes its functionaries to be responsive to the needs and demands of these SHGs. The primary objective of all support to SHGs is to enhance the quality of SHGs in terms of accountability and transparency. The project strengthens SHGs through a three-step process: (1) profiling and assessing SHGs based on the Critical Rating Index; (2) conducting training and exposure programs to build their capacities; and (3) facilitating linkages with formal credit and financial sources. The project deploys revolving fund support to SHGs to demonstrate credit worthiness and entrepreneur skills among tribals to take up livelihood activities. The project also builds capacities of VOs or federation of groups of 10–15 SHGs at Panchayat level and Mandal Mahila Samakhya (MMS or Federation of VOs at mandal level) to support SHG federations.

In pursuance of improving support services, the project also undertakes capacity-building of frontline government functionaries and PNGO. This involves assessment of capacities in areas of livelihoods promotion, sub-sector analysis and micro-enterprise support with emphasis on inclusion of the poorest. Specific training programs for barefoot trainers, such as the VAs and master bookkeepers are also undertaken on the concepts of self-help, bookkeeping, loan management and income-generation activities to support SHG federations.

In pursuance of improving support services, the project also undertakes capacity-building of frontline government functionaries and PNGO.

### Table 14

<table>
<thead>
<tr>
<th>Sl.No</th>
<th>Source of Income</th>
<th>SKL</th>
<th>VZM</th>
<th>VSP</th>
<th>EG</th>
<th>Overall</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Cultivation</td>
<td>15.50</td>
<td>17.92</td>
<td>26.04</td>
<td>15.29</td>
<td>20.42</td>
</tr>
<tr>
<td>2.</td>
<td>Agricultural Labor</td>
<td>36.19</td>
<td>43.20</td>
<td>34.92</td>
<td>37.42</td>
<td>37.10</td>
</tr>
<tr>
<td>3.</td>
<td>Casual labor in non-agri.</td>
<td>9.83</td>
<td>11.15</td>
<td>7.74</td>
<td>10.38</td>
<td>9.28</td>
</tr>
<tr>
<td>4.</td>
<td>Livestock/fishing</td>
<td>0.80</td>
<td>2.42</td>
<td>1.27</td>
<td>0.96</td>
<td>1.31</td>
</tr>
<tr>
<td>5.</td>
<td>Minor forest produce</td>
<td>7.72</td>
<td>5.94</td>
<td>3.08</td>
<td>2.47</td>
<td>4.08</td>
</tr>
<tr>
<td>6.</td>
<td>Employment in public sector</td>
<td>23.57</td>
<td>12.87</td>
<td>17.83</td>
<td>22.07</td>
<td>18.94</td>
</tr>
<tr>
<td>7.</td>
<td>Employment in private sector</td>
<td>2.59</td>
<td>2.14</td>
<td>2.39</td>
<td>4.13</td>
<td>2.82</td>
</tr>
<tr>
<td>8.</td>
<td>Business</td>
<td>0.20</td>
<td>0.58</td>
<td>0.83</td>
<td>1.43</td>
<td>0.85</td>
</tr>
<tr>
<td>9.</td>
<td>Food for work</td>
<td>2.86</td>
<td>3.22</td>
<td>5.38</td>
<td>3.92</td>
<td>4.28</td>
</tr>
<tr>
<td>10.</td>
<td>Rent from leased-out land</td>
<td>0.27</td>
<td>0.29</td>
<td>0.12</td>
<td>0.46</td>
<td>0.25</td>
</tr>
<tr>
<td>11.</td>
<td>Others</td>
<td>0.47</td>
<td>0.28</td>
<td>0.41</td>
<td>1.47</td>
<td>0.67</td>
</tr>
</tbody>
</table>

Source: Project Baseline

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3 CRI is a rating tool for SHGs developed by NABARD and is used to evaluate the credit worthiness of the group.
their consumption needs are likely to be met by their own savings. The support services are to ensure groups’ capacities to manage larger volumes of institutional credit and invest them in suitable micro-enterprises. The Project will undertake sub-sectoral analysis for value addition to products, better prices, and effective marketing strategies and establish linkages with different players engaged in livelihood promotion including the private sector.

**Major Activities**

**Training to SHG Members**

The project strategy is to strengthen SHGs by enhancing their capacities and enabling them access credit from formal financial institutions to take up livelihood opportunities. There are 15,806 SHGs in the project area with varied capacities in terms of savings, credit and ability to take up income-generation activities. These SHGs, promoted by various agencies, have multiple practices of book-keeping with majority of them in a nascent stage and yet to establish themselves firmly. Though there have been a good amount of SHG–bank credit linkages, huge potential exists for banks and other financial institutions for providing credit to SHGs and utilizing the same for economic development. The Project focuses on imparting skills in conducting regular group meetings, adoption of standard book-keeping practices, availability and method of accessing bank and government resources and takes up social responsibilities, especially on issues like child labor and girl child endowment, etc.

The SHG strengthening process starts with the development of a training module contextual to the tribal area through consultation among various stakeholders. This is followed by building the capacities of the PNGOs using the same module through ToT programs. This program covers almost 400 NGO middle-level staff and 4,000 VAs and enables them to have a common understanding on the concept of SHG and the best practices to be promoted. In addition, these staff are regularly engaged in monitoring and providing handholding support to the SHGs at the community level so that these standard norms are put into practice and yield the desired results. This include the usage of CRI for assessing the SHGs, the book-keeping as per the norms prescribed and also integrating SHGs in the community activities so that these groups benefit and contribute in the community development processes.

The SHGs are federated into VOs at a higher level, usually a cluster of villages or a Panchayat level. The project objective is aimed at enabling the VOs to become self-reliant by improving the functioning of SHGs, which in turn contributes to strengthening of the VOs. Secondly, the project conducts capacity-building programs for VOs on various management aspects of SHG federations.

**Revolving Funds**

The SHG Revolving Fund (RF) is conceptualized as an innovative micro-delivery aimed at blending the micro-credit with innovative ways of leveraging mainstream resources in credit plus mode. It demonstrates the entrepreneurial skills of the tribals as well as the possibility of promoting micro-enterprises in tribal areas by negating the perception that SHGs in tribal areas are unprofitable. The RF acts as a catalytic force providing opportunities for the tribal families to leverage more economic resources from mainstream agencies and financial institutions. The centrality is the ‘priming the pump’ kind of seed money in a micro venture capital mode. It has the twin engagement of providing risk cushion for the upcoming groups and provide credit base to make them more and more credible and creditable in the market.

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4 Refer to Training Quality Parameters for CBOs as it applies to all CBOs such as SEC, VSS, CAG and SHG members

5 VO refers to Village Organization, which is a federation of 10–15 SHGs promoted under World Bank IKP Program implemented by the Government of Andhra Pradesh.
The specific objectives of RF are to initiate economic activity in the most susceptible tribal poor families, unlocking the livelihood opportunities hither to unavailable to them, and connecting the economically and geographically isolated tribal poor to the mainstream markets. The RF is a non-repayable grant to the SHG and operates as loan fund further down from the group. The project extends the RF to groups that graduate to Grade B on the CRI and implements it through non-financial intermediation by PNGOs. It is fungible with the group corpus along with other financial resources like savings and interest earned, loans from banks and other financial agencies.

The RF is utilized only for productive purposes with the premise that individual consumptive needs are met by the group’s corpus built out of its savings. Groups are free to prioritize borrowers, loan quantum, loan purpose and the repayment terms. The RF cannot be equally distributed amongst all the members, and in the first cycle, 3–5 members avail the loan based on the requirement of each individual. Apart from supplementing the credit needs of the community, the focus is also on demonstrating successful micro-enterprise models that could be replicated by the mainstream agencies.

**Exposure Visits of SHG Members**

Apart from various training programs for SHGs, exposure visits are also organized to model tribal and non-tribal groups to expose them to best practices. Exposure supplements the training programs in that they see all that was taught in the training in practice and also have the chance to see the outcomes and impact of the best practices. Exposure visits involve correlation of the observed practices to their own practices, shortlisting the replicable activities and strategizing for adaptation in their own groups. The project chooses one or two women from SHGs in a village and takes them on exposure visits to groups in areas which have similar sociocultural and linguistic similarities so that they can better identify and relate with them. This makes them realize the practicality of all that is passed on in the training programs. The project has so far focused on exposing the SHG members to groups where good income-generating activities have been taken up and also where women have come together to address social issues. At the end of the visit, the group along with the facilitator shortlists best practices that would be replicated in their own groups back home.

**SHG Convention**

SHG convention is a gathering of SHG members with the purpose of sharing experiences and encouraging cross-pollination of ideas. It is a joyful learning method, informal and different from an indoor capacity-building activity. Here the SHG members congregate, away from their daily chores for a while and involve themselves in sharing and learning from experiences in a friendly atmosphere. These conventions are held at mandal level as it is the unit of administration coterminous with all the events above village level and the unit for federation of VOs is called Mandal Mahila Samakhya (MMS). Along with the SHG members, bankers, government officials and NGO functionaries participate in the conventions to learn about the constraints at each level and bring synergy in implementation of micro-finance activities. The objective of the convention are: SHGs develop rapport with the service providers and government line functionaries; groups mutually learn about one another and their good practices and gain self-confidence by witnessing similar efforts of other tribal villagers holding similar socio-economic status; service providers and government line functionaries reach out to optimal number of SHGs and share their program perspectives in a cost-effective manner; service providers and line functionaries also share their experiences and requirements for effective group-level interventions.
Livelihood: Outputs, Outcomes, Impact and Sustainability

### Project Outputs
- 134 water harvesting structures implemented as low-cost models with community contribution
- 265 drinking water projects implemented, demonstrating innovative models like gravitational systems and water purification system
- Orientation of community on simple technology related to land and water management
- Grain Banks promoted in 2,485 habitations
- Trainings imparted to 51,346 SHG members, 4,310 bookkeepers
- RF support extended to 3,614 members for taking up IGAs
- 356 PNGO staff on land and water management practices; SHG best practices
- SHG convention conducted and 1546 SHG members taken for exposure visits
- Model micro enterprise promotion involving 1000 households

### Project Outcomes
- Drinking water project implemented enabling access to potable water to 11,130 families and WHS benefiting 3,752 households
- Micro-projects demonstrated as low-cost models, highlighting community participation and ownership
- Grain Banks covering 77,183 households ensuring food security of approx. 20–22 days
- 49% of SHGs in A & B Grade as per CRI rating of NABARD, an increase of 22% from baseline
- 46,338 members linked to various financial sources
- Improved interface of SHGs with economic support agencies
- Platforms created for interface of SHG members with livelihood support agencies.

### Table 15
**Demand Generated in the Community**

<table>
<thead>
<tr>
<th>District</th>
<th>Number of applications (demands) by community / households</th>
<th>Number of applications sanctioned</th>
<th>% sanctioned</th>
</tr>
</thead>
<tbody>
<tr>
<td>EG</td>
<td>7281</td>
<td>2198</td>
<td>30</td>
</tr>
<tr>
<td>SKL</td>
<td>8047</td>
<td>2330</td>
<td>29</td>
</tr>
<tr>
<td>VSP</td>
<td>25585</td>
<td>6349</td>
<td>25</td>
</tr>
<tr>
<td>VZM</td>
<td>6210</td>
<td>1205</td>
<td>19</td>
</tr>
<tr>
<td>Overall</td>
<td>47123</td>
<td>12082</td>
<td>26</td>
</tr>
</tbody>
</table>

### Figure 21
**Self-help Groups (SHGs)**

### Figure 22
**Grain Bank and Food Security**

- Total Habitations: 6200
- Total Habitations with Grain Bank: 1932 (31%)
- Total Households: 235,000
- Total Households linked with Grain Bank: 61,545 (26%)
- Average food insecurity per Households 60 Days
- Grain Availability per Household from Grain Bank 22 Days
Economic Empowerment Index

The aggregate Economic Empowerment Index (EEI) for the four districts is 0.55. District Srikakulam has a higher economic empowerment index (0.62) than the rest of the districts but the gender-adjusted economic empowerment index drops drastically to 0.52. (Refer to Figure 23)

Around half of the villages in the four districts have a low economic empowerment index, with Visakhapatnam district presenting a figure of 56%. Srikakulam has the highest proportion of villages (39%) with high economic empowerment index. (Refer to Figure 24)

Summing Up

Enhancing livelihoods and improving the well-being of tribals is a major challenge when they are faced with a decline in their resource base and the onslaught of the market, particularly when they are not equipped to deal with it. The empowerment approach adopted by the Project made a significant contribution to the economic well-being of the tribals, which in turn improved their quality of life. The AOL process, the cornerstone of the Project, has enabled communities to become aware of their entitlements as well as rights, generating demand for basic services and infrastructure. Convergence with ITDA, wherein the PNGOs and district teams coordinate with mandal and ITDA functionaries, has also resulted in better service delivery and realization of entitlements. The AOL approach has also facilitated in enabling communities to better access all the welfare programs meant for them. The project livelihood approach is two-pronged, on the one hand demonstrating models in land and water management for replication by mainstream agencies through the micro-projects component and, on the other, strengthening the SHGs, enabling them graduate to micro enterprise for income enhancement through the micro-finance component.

The micro-projects component was able to demonstrate successful models that ensure livelihood opportunities for tribals and
advocate for its replication with mainstream agencies. The experience of the Project shows that the community’s ability to better negotiate and leverage with the government on livelihood opportunities has been very successful. However, presently the Project is focusing on demonstrating and replicating project strategies and processes being adopted by mainstream agencies on a larger scale to ensure better quality and wider impact of these investments. This will be possible with a stronger collaboration with agencies like GCC (in areas of value addition to NTFP), Velugu (for developing and scaling-up of IGA models), ITDA (for land and water management activities) and the private sector (for ensuring market linkage to products).

Land and water initiatives implemented by the project through harnessing indigenous knowledge and technical know-how have been very successful in terms of community participation and ownership. These initiatives are envisaged to be innovative models for wider replication by other development agencies and stakeholders, and are viewed as foundations for social capital formation. Community contribution and their participation at all stages in facilitating the ownership of the initiatives is a unique feature to ensure sustainability of the process. This has also resulted in ensuring additional income from agriculture and allied activities, which needs to be upscaled. This has already been initiated with the government providing the resources to

Case Study  Grain Bank – Community’s Initiative Towards Food Security

Even while the warehouses of the Food Corporation of India are overstocked with food grains, there are several regions in the countryside which are suffering from drought, hunger and malnourishment. The tribal communities of Damsarai — Konda Doras, Samanthas and Kodulus were resorting to migration, borrowing from moneylenders and mortgaging of assets and crops to overcome food scarcity.

A paradoxical situation that still remains unsolved at the government level has been overcome by community initiative and resolve. It is a very simple and innovative way to ensure food security by the people, of the people and for the people at the village level.

But how does it work? Saara Chinniah, the president of the Grain Bank Committee explains, “Earlier, we had to seek replenishment from the nearest town when our yearly amount of grain got exhausted before the next harvest. After the Grain Bank was instituted in the village, we are able to provide grain at any time of the day or late night. And the interest rates are also very less, when compared with the exorbitant interest for the money one borrowed to buy grain. If one repays the borrowed grain from the next harvest, then we are supposed to give 5 kilos as interest for every 10 kilos loaned and if we have to buy the grain from outside, we have to repay with 6 kilos as interest for every 10 kilos. Moreover, the grain remains in the village for our future use. Now we have the confidence that no matter what, we shall never go hungry.”

“There is another advantage also. This summer we had no water at all for irrigation. Due to this, some of the poorer families were not able to find work, even outside the village. Thanks to the Grain Bank in the village, they were able to borrow some grain, even though they had no income at all. They were saved from falling into the clutches of moneylenders, as was the case in earlier times. Once they find some work, as in harvest time, they would be able to repay the grain that they had taken as loans.”

The initiative was facilitated by the social mobilization efforts of the Project and a small grant of only Rs.60,000. The community started their Grain Bank through their internal savings and the grant was used to buy reserves. The community also contributed for construction of a shelter for the Grain Bank which today stores paddy and millet reserves for any household to tide over a food crisis.
Pangi Lalitha is a member of the ‘Peda Demudu’ SHG in Champaguda village in Visakhapatnam district of Andhra Pradesh. Despite being a landless Duliya tribal woman, she has taken a loan of Rs. 4500 from the Revolving Loan Fund facility for SHG members under the STEP project, for income-generating activities. She says, “I have used the money for vegetable cultivation on a landowner’s extra land.” She sells ginger, cabbage, chillies, tomatoes, seasonal vegetables at the shandy (weekly local market).

In Champaguda, the demand for loans by SHG members for investing in income-generating activities has increased in the last year. The women have taken loans for expanding vegetable cultivation. Some landless tribal women have even formed groups with landowners to cultivate collectively, or alternately like Pangi Lalitha, have leased surplus or vacant lands of landowners in their village.

Interestingly, no monetary transaction or rent is payable to the landowner for such land leases. It is a common practice among tribal communities that as a token of appreciation, the leasetaker may share some food or drinks during festivals with the landowner. Killo Jamuna adds, “Now we have more ‘dabbo’ (money) in our hands. We are cultivating so many types of vegetables — cabbage, tomato, radish, cauliflower, carrots, beans, brinjal, coriander, potatoes, ginger, beetroot. We cannot even carry so many vegetables to the shandy. We need help with transportation.” The women inform that with the increased vegetable cultivation, they have been able to augment their annual income by about Rs.10,000 last year.

In January 2004, the Champaguda community completed construction of the drinking water micro-project. But soon the community became involved in the regulated use of available surplus water. Killo Mukta informs, “We use the surplus water available after our daily domestic and drinking water needs for watering our farmlands, close to our homes.” This idea developed in Champaguda, after the people saw the excess flow of precious water and waterlogging around the taps during water filling. Thinking on how to best use this water and curb the unwanted wastage started at the CAG meetings. And a surface drainage network within the village was collectively agreed as the solution, to recycle the excess water, from the tap sites to the farmlands.

Additionally, the tribal villagers also manage a self-regulated water sharing system. Community members pay Rs. 5 per month to the CAG for connecting tap water directly to their fields through pipes. This facility has profited cultivation of seasonal vegetables by women. This community-led initiative has particularly benefited the women of the 11 landless families in Champaguda. Killo Somari clarifies, “The time spent in fetching water has definitely reduced. Now we have more time to work on our lands and go to the forest to collect forest.”

Such contexts of community self-reliance and efficacy reflect the inherent resilience and potential among even the oft considered most vulnerable and poor communities. Killo Mukta claims, “Earlier we used to have no vegetables in the summer. But now we have vegetables throughout the year. Before we never used tomatoes and coriander, now the situation has changed.”

CAGs for implementation of projects under the Rural Infrastructure Development Fund (RIDF) program. This needs to be institutionalized to include investments from the Comprehensive Land Development Program (CLDP), Remote and Interior Area Development (RIAD) program and other poverty alleviation initiatives of mainstream agencies.

The yardstick for measuring the overall performance of micro-finance interventions should not be based on economic variables alone. While financial viability is important for sustainability, indicators like contribution to meeting basic needs for household subsistence, reducing vulnerability to risks, enhancing social capital and empowering women, capture the essence of the SHG movement. Two key dimensions, that of improving access, ownership and control of productive resources, and of inclusion in the decision-making process, need to be addressed to positively influence these indicators.
SHGs in the project area have been instrumental in empowerment by enabling women to work together collectively. SHGs, by encouraging and promoting savings and credit, have enabled women to benefit economically. In the process, it has improved their access and control over productive resources. However, there is continued persistence of discrimination against women and gender inequality in tribal societies, which is the result of structural factors, often reinforced by culture and tradition. Men tend to dominate political, community and household decisions, whether communities are matrilineal or patrilineal. In addition, women are not well represented at various forums because village heads select participants based on ascribed leadership positions, such as household head, and perceived leadership capacity. Hence, women’s ability to make key decisions at the household level and participate in the community decision making process is a primary indicator to evaluate the impact of SHGs. Field studies conducted by the project indicates positive results by way of women demonstrating improved ability in decision making not only at the household level but also at the community level. In addition, with women from SHGs being elected to public office, their participation in such groups is serving as an incubator for community leadership.

There have been positive achievements in both the micro-projects and micro finance interventions of the project in terms of not only enhancing livelihood security but also building social capital and its multiplier effects. These interventions were very successful in ensuring inclusion of vulnerable households and providing benefits to them on an equitable basis. However, the project recognizes that any significant improvement in the livelihoods of the majority of tribal households can only be brought about through utilizing the social mobilization outcomes in tandem with scaling-up of models by all mainstream agencies like ITDA, GCC, and programs like STEP and Velugu in collaboration with each other.
Introduction

One of the most critical functions of the state is creating an enabling environment for participation of all sections of society in the development process. An enabling environment is a prerequisite for improving participation, which in turn is a foundational requirement for reducing poverty. Creating conditions for effective participation of the poor needs active state involvement, as it is at this level that some of the most important conditions of development are determined. To be sustainable, participation has to be embedded in and supported by formal structures at the national and sub-national-levels. Participation in formal political and administrative processes enables the poor to influence policies, priorities, and resource allocation.

Participation of the poor, which is often found to be nominal, is determined by their proximity to decentralized political institutions working on the principles of democracy. Participation means involvement in both decision making and action. While participation alone does not guarantee all results, it gives the poor a chance to articulate and mobilize institutions around their genuine needs and realization of their rights and entitlements. Creating an enabling environment and providing opportunities for citizens’ participation is the primary responsibility of the state, with civil society playing a facilitating role in their meaningful engagement.

Community participation and collective decision-making systems for management of local affairs have existed for ages in India. One of the best examples of this is the traditional Panchayat. With the onset of Independence, these Panchayats have been converted into democratically-elected institutions that are mandated to represent all sections of society. However, the major breakthrough in local self-governance came with the Constitutional Amendments that ushered in a new generation of Panchayats, opening tremendous possibilities in the areas of decentralization, development, social justice, people’s participation and grassroots democracy.

The 73rd Constitutional Amendment for rural local bodies, promulgated in December 1992, established three-tier bodies at the sub-district-level as ‘institutions of self-governance’ (Refer to Annexure 11 and 13). The 73rd Amendment’s importance was that it aimed at achieving grassroots democracy by guaranteeing adequate representation to the marginalized groups like the SCs, the STs and women in the PRIs. However, the Panchayati Raj Act is not automatically applicable to the Scheduled Areas, because of the latter’s unique characteristics and special needs. The PESA Act, 1996, was subsequently enacted in December 1996, recognizing the tribal people’s mode of living, aspirations, their culture and traditions (Refer to Annexure 12).

Governance at the lowest level is very critical and instrumental in making the development processes inclusive and broad-based. The right of the people to participate in the decision-making processes is legally-mandated through the Gram Sabha. The Gram Sabha is a forum for people to discuss their development needs and problems and for participating in the planning process. Local governments are responsible for mobilizing community resources and providing public services while adapting national
development policies to local conditions. They can also be a crucial source of empowerment, by offering opportunities for long-neglected citizens to participate in the local decision-making process, acting as a voice for local needs at higher levels, and providing support for local people’s initiatives. It also is a forum for people to monitor the functioning of their representatives and government frontline functionaries, to ensure accountability and transparency.

**Context**

The Ninth Five-year Plan (1997–2002) of the GoI aimed to empower the STs by creating an environment that enabled them to exercise their rights freely, enjoy their privileges, and lead a life of self-confidence and dignity, on par with the rest of society. The Tenth Five-year Plan (2002–2007) approach to tribal development focuses on providing adequate space and opportunity to the tribals to empower themselves with the strength of their own potentials. In addition, the Central government has introduced legislation to ameliorate the conditions of weaker sections, especially the tribals. The government also came out with a draft, ‘National Policy on the Voluntary Sector’ during 2003. The draft policy emphasizes coordinating the actions of the public, private, and voluntary sectors so that their synergy optimizes the economic and social development of all sections of people. The objectives of this policy are to enhance the role of the voluntary sector in the design and delivery of economic and social services to the people, especially the poor, the excluded and the disadvantaged, and to improve the capacity of the voluntary sector to act as a medium for the transfer of entrepreneurship, technologies, and skills.

The state of Andhra Pradesh has been very progressive in bringing suitable legislations on tribal development, as they constitute nearly 7% of the state’s population. The ITDA, which acts as a nodal body for tribal development, implements the plans for the development of the tribal community. Along with the TSP, other projects like IKP (Indira Kranthi Patham) are also being implemented in the tribal areas, aiming at tribal empowerment and poverty reduction through a livelihoods approach. As the socio-economic conditions of tribals are very different from the rural population, the PESA Act 1996 was enacted in 1996. The Act empowers the tribal villages to protect community property resources, control social sector functionaries and NTFP, manage water bodies, give recommendations for mining leases, be consulted for land acquisition, enforce prohibition, and identify beneficiaries for poverty alleviation and other governmental programs.

However, the benefits and results of these measures are unclear. Lack of community awareness with regard to policies and programs remains a key constraint. Errors of inclusion and exclusion in the targeting of the most vulnerable are common, especially in selection of beneficiaries; very often the Gram Sabha is not consulted. Apathy prevails among government officials, who are commonly perceived by the community as corrupt and untrustworthy. The inclusion of the least-developed tribal communities, precisely those whom the schemes are designed to support the most, is hampered by the remote location of villages and the large distances between habitations and administrative centers. There is laxity in implementation of development programs, with frequent unexplained delays. There is a strongly felt need that the government needs to be more active in sharing information about schemes and access to entitlements.

As regards the extension of the Panchayati Raj System in tribal areas, the problem of distance between habitations and Gram Panchayats have constrained participation of communities in less developed interior areas. These communities are not involved in meetings and are unaware of the government’s programs and activities. The functions of the Panchayats are undermined by the reluctance on the part of the government to devolve powers, as envisaged in the PESA Act, 1996. Communities feel that the Panchayats

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6 World Bank funded program operational in all districts of Andhra Pradesh, similar to DPIP program.
exist to serve the existing power structure; they are not aware of the role and responsibilities of the Panchayats. The PESA Act could not be properly implemented as the guidelines for its implementation were not framed and the institutions were at a nascent stage. The inadequate efforts to build capacities of tribal communities to effectively manage and utilize the new platforms of governance along with lack of enabling policy framework have failed to result in their planned growth and development.

**Sector Strategy**

A comprehensive mobilization and transformation effort requires convergence and synergy among all stakeholders, as no single entity can accomplish this stupendous task alone. Mobilization is more likely to be successful when all stakeholders bring their experience, expertise, wisdom and resources together to bring out sustainable change. STEP facilitates linkages between PRIs, NGOs, ITDA and other key players for sustained, coordinated, and effective implementation of developmental activities and advocacy of tribal livelihoods and rights.

Strengthening PRIs has been one of the key strategies of the project right from its inception. Capacity enhancement of PRI members and Village Secretaries are interventions for improving the institutional efficacy of PRIs, with special emphasis on women members. The specific objectives are to educate members on their roles and responsibilities, equip members with relevant management skills to facilitate the change processes, understand critical functions such as facilitation of Gram Sabha and effective implementation of government schemes.

Forums like the State-level Advisory Committee (SLAC), the Project Steering Committee (PSC) and District-level Steering Committee (DLSC) have been institutionalized to ensure coordination with mainstream agencies, especially the ITDA. These serve as mechanisms for mutual collaboration and coordination between stakeholders at the community, mandal, district and state-levels.

Apart from these forums, there is a series of consultation/coordination meetings at mandal and PNGO level, involving frontline functionaries and representatives of PNGOs.

The role of NGOs is very crucial in initiating and carrying forward the mobilization processes in communities. Program management systems at PNGO level are strengthened by providing technical expertise and institutionalization of systems that would ensure desired outcomes and impact. The project extends support to PNGOs in strengthening their monitoring systems, decentralized program management and putting in place transparent and accountable practices that would help them in quality implementation. All this collectively would help them evolve into mature institutions.

The project also engages in advocacy for policy and institutional changes through the network of civil society organizations. These networks address issues related to tribal livelihoods such as rights related to forests and land and PESA Act. The project has formed an alliance with Centre for World Solidarity (CWS) and ActionAid for advocacy on framing rules for implementing the PESA Act. Apart from this, the project also facilitates land redressal issues in coordination with the government departments. The advocacy efforts are supported by studies and learning which is disseminated through workshops and seminars.

**Activities**

**Strengthening Panchayati Raj Institutions**

The implementation of the PESA Act, so far, has not been satisfactory, owing to a variety of reasons. Representation of women in the PRI bodies is symbolic and nominal. Lack of capacities of PRIs and the unwillingness of the state to devolve powers has resulted in the PRIs not achieving their potential in terms of local self-governance. The success of the PRI lies in the effective functioning of the Gram Sabha. The AOL process contributes towards improved participation of community in Gram Sabha and feeds into the Panchayat planning and monitoring.
process. STEP engages in capacity-building of PRI members for improving their institutional efficacy with special emphasis on women members. The overall purpose is to increase awareness on the roles and responsibilities of the members and equip them with skills to facilitate the Gram Sabha, generation of revenue and effective implementation of government schemes. This initiative also strengthens the local self-governance system at the grassroots and advocates for devolving of all the powers envisaged under the PESA Act to Panchayats.

**Training to Panchayat Secretaries**
The Panchayat secretaries are responsible for assisting the sarpanch in discharging his/her administrative functions at the Panchayat level and play a critical role in the effective functioning of the Panchayat. They also work as the link between the Panchayat and the second-tier of PRI system at the mandal level. However, low capacities, apathy and collusion with vested interest groups has resulted in their emerging as power centers. The Panchayat secretaries have gained the mistrust of the community and have contributed to the ineffective functioning of Panchayats in implementation of social security schemes. The project adopts a two-pronged approach to tackle the above issues, firstly building capacities of village secretaries and simultaneously empowering communities to demand and monitor the services provided by them. The training will also ensure that the prioritized needs of all the habitations under the Panchayat are duly integrated in the Panchayat level plans. The training program focuses on equipping the Panchayat secretaries with skills to maintain records and conduct the Gram Sabha meetings, guiding the sarpanch in discharging his/her responsibilities effectively, and on assisting the PRI members in selection of appropriate beneficiaries for all the welfare schemes.

**Institutional Coordination Mechanisms**
The multi-stakeholder interface and strategic alliances among various stakeholders (CBOs, government and PNGOs) is pivotal in STEP for program sustainability, and is abundantly

### Coordination Forums: Mandates and Functions

| **State-level Advisory Committee (SLAC)** | To perform an overall advisory role with respect to policy matters and development and implementation of the project in support of relevant state strategies and programs. To serve as a networking forum. Particular focus on the following areas: 1. Strategies for the sustainability of the project 2. Convergence with other programs 3. Advice and support to mid-term and final evaluation exercises |
| **Project Steering Committee (PSC)** | To provide advice on policy matters, review and decision making related to DLSC 1. Project-level management issues and decision making 2. Review and direction for convergence strategy and institutional coordination 3. Review and approval of AWPs progress on AWPs 4. Review of DLSC meeting minutes and reports 5. Problem solving related to project management issues |
| **District-level Steering Committees (DLSC)** | Ensure district-level convergence between ITDA, Velugu and STEP. (Govt. order No. 130 issued by Dept. of Tribal Welfare) 1. Concurrence of overall work plan at the district-level, taking into account activities of ITDA, STEP and Velugu 2. Establishment of process and progress monitoring 3. Facilitation of sectoral linkages and convergence at district-level 4. Issues concerning performance review of NGOs involved in implementation, expanding and phasing out of NGOs 5. Approval of micro-projects 6. Establishing and communicating priorities and focus areas for deployment of resources |
evident in all sectoral activities of the project. Each stakeholder has a clearly identified role and brings their experience, expertise, wisdom and resources to the project to help develop plans for sustainable change. The collaboration and coordination mechanisms institutionalized by the project SLAC, the PSC at the project level and DLSC at the ITDA level.

The coordination process of the project begins at the mandal level through discussion/interface with concerned departmental officials. Critical issues are normally raised and resolved, and areas of support are identified and shared for action. In DLSC, the ongoing programs are reviewed, unresolved issues raised at mandal levels are taken up for discussion and plans are formulated. The DLSC comprises PO-ITDA, APD-IKP, and STEP representatives. The PO, ITDA is the chairperson and the Area Development Manager (ADM), STEP, is the convener of the DLSC, which meets quarterly.

The PSC functions at the project level with the Director/Commissioner, Tribal Welfare as chair person, and the Program Director (PD) STEP as convener. The POs of all ITDAs (Rampachodavaram, Paderu, Parvathipuram and Seethampeta), the PD, STEP, and the ADMs of STEP are members of the PSC. Five representatives of STEP’s PNGOs and tribal community also participate in PSC on a rotation basis. The PSC meets twice a year and facilitates decision-making on project level management issues, review progress against Annual Work Plans (AWPs) and provides direction for institutional coordination among all stakeholders.

The SLAC provides expert advice and policy guidance to ensure coordination among various government departments for achieving the project objectives. The committee meets once a year with a representative from European Union participating as an observer.

Advocacy
Advocacy is integral to the AOL approach adopted by the project. The MLPs/CAPs have an in-built element of self-advocacy wherein the rights/needs of the communities are clearly enunciated, and for the government to act upon. This is done mainly through representations made to the ITDA and other government agencies. To strengthen this process of self-advocacy, several trainings and awareness campaigns on governance, tribal rights and entitlements, and PESA Act are taken up. Forums for facilitating interface between tribal communities and government functionaries are established simultaneously.

The project also advocates policy changes on critical tribal issues like framing of implementation guidelines for the PESA Act, exclusion of tribal habitations from the Scheduled Areas, child rights, fair price for NTFP, and promoting bilingual schooling in Savara-dominated villages. Apart from the above, feedback on the Draft National Policy on Tribals has been provided to the National Advisory Council which is finalizing recommendations to the GoI.

Monitoring and Evaluation
The project has placed on board the Community Based Monitoring System (CBMS) that complements the AOL process at the community-level. The monitoring system involves the community members and CBOs as active participants in collection of information on key indicators on the process of CBO strengthening and access to basic services in areas of health, education and food security to the tribal people. The participatory data collection process encourages reflection at the community-level on the progress made on these critical variables, apart from providing the project stakeholders information on a regular basis on the outcomes of the processes initiated.

The monitoring system is designed in a way that all information about the 6200 villages covering 235,000 households is captured including availability, accessibility and use of multiple services at all levels.

The monitoring system is designed in a way that all information about the 6200 villages covering 235,000 households is captured including availability, accessibility and use of multiple services at all levels. The data analysis is supported by customized software that enables the data to be analyzed at community, Panchayat, mandal, NGO, district and project levels so that all stakeholders can utilize the data for better management of project activities. Apart from this, the rephrase it facilitates enables
## Stakeholder Coordination & Participatory Project Management

### State-level
SLAC meetings provide expert advice & policy guidance and helps in coordination of Government departments for achieving project objectives.

- **SLAC (Annual meeting)**
  - Principal Secretary, DWCW (Chairman)
  - Secretary, Tribal Welfare Dept., Education, Health Commissioner/Director, DWCW, Tribal Welfare Dept., Education, Health
  - Prog. Dir. & Proj. Dir., STEP
  - EU as observer

### Project-level
PSC meetings facilitate decision making on project level management issues; provide direction for institutional coordination among all stakeholders; Review project progress & AWPs and inform DLSC of all decisions & initiatives on program convergence.

- **PSC (Biannual meeting)**
  - Comm. Tribal Welfare (Chairman)
  - Prog. Dir., STEP (Convenor)
  - Proj. Dir., TPMU (Velugu) & 4 POs, ITDA
  - Proj. Dir., STEP & 4 ADMs
  - 5 rep. each from PNGOs & community (on rotation basis)
  - EU as observer

### District-level
DLSC meetings help in periodic joint review of all ongoing projects & formulation of plans and strategies.

- **DLSC (Quarterly meeting)**
  - PO, ITDA (Chairman), APD, Velugu
  - Proj. Dir. & ADM (Convenor), STEP

### Mandal-level
STEP district teams, PNGOs & ITDA line departments

- **Review & Finalization of CAPs & regular interface with Mandal Officials**

### Panchayat-level
PNGOs (CCs) & STEP (FOs) & ITDA frontline functionaries

### Habitation/village-level
Community & village animator & CBOs (CAG, SHG, SEC, VSS) & PRIs

- **Village Micro-Plans CAPs**

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**Reference key:** APD = Additional Project Director; ADM = Area Development Manager; AWPs = Annual Work Plans; CAG = Community Action Group; CAPs = Community Action Plans; CCs = Cluster Coordinators; CBOs = Community Based Organizations; DLSC = District-level Steering Committee; EU = European Union; FOs = Field Officers; GoAP = Government of Andhra Pradesh; ITDA = Integrated Tribal Development Agency; PNGOs = Partner NGOs; PO = Project Officer; PRI = Panchayati Raj Institution (Local Self-Governance Bodies); PSC = Project Steering Committee; SEC = School Education Committee; SHG = Self-help Group; SLAC = State-level Advisory Committee; TPMU = Tribal Project Management Unit; VSS = Vana sanrakshana Samithi
the communities to establish accountability among various frontline functionaries of the government in areas of health, education and livelihoods. The continuous sharing and reflection exercises at different levels helps in effective decision making.

In order to capture the consequences/effects of different interventions/actions, information is also collected on some progressive/supplementary indicators. The project has meticulously developed and institutionalized checks and balance mechanisms at each level for accuracy of data and quality data collection. Accountability points have been fixed amongst different people for quality data collection. Documentation, record keeping, need assessment and situational analysis have been accorded high priority by the project. Documentation of best practices and appropriate record keeping at both NGO and CBO levels has been the integral part of NGO reporting.

**Project Outcomes**

Since its inception, STEP has been successfully undertaking DLSCs once in each quarter (in each district), four PSCs and three SLAC. All project AWPs have been formulated and finalized, based on consultative meetings at ITDA level. Each single activity in the AWPs evolves from prioritized needs of the community to address critical gaps and have been endorsed by various forums starting from the mandal to the state-level, before implementation.

Recommendations have been provided to the government on the Draft National Policy on Tribals and the state policy for tribal youths.

**Political Empowerment Index**

The political empowerment index (PEI) in the four districts of the project is 0.51. When it is adjusted to take into account gender inequality, the aggregate PEI is reduced to 0.43. East Godavari district has the highest PEI (0.58) but each district’s PEI declines significantly when adjusted for gender inequality. (Refer to Figure 25)

**Outputs and Outcomes**

- Land Redressal Workshop conducted in districts in collaboration with ITDA to resolve land issues.
- Campaign for speedy enactment of PESA rules in collaboration with DHIMS network and Action Aid.
- Training imparted to 8257 PRI members covering all the 723 Panchayats in the operational area with special focus on women PRI members
- Training imparted to all 723 Village secretaries
- Increased community participation in Gram Sabha, improved interface of CBOs with PRI and joint planning process initiated involving CBOs and PRIs.
Social Mobilization, Empowerment and Capabilities: Enhancing Development Outcomes

It is important to note here that the difference of 0.08 between the aggregate PEI and its gender adjusted level is the highest as compared to the gender variation in other dimensions of empowerment, both social and economic. It clearly reveals the lack of women’s participation in political processes.

Only around one-third of the villages have achieved a high level of political empowerment and around 16% of villages fall in the medium range. About 45–55% of villages still fall in the bracket of low political empowerment, thereby signifying that a lot more needs to be done to raise the political empowerment level of the community. (Refer to Figure 26)

Case Study  Planning for the Village, Planning for the Region

The village of Degalapalem has, like any other village, has its own unique set of problems. However, it is a village that can be a role model, because of the way the villagers have ensured participation of the entire village in the development process, facilitated by the CAG and STEP PNGO, VJNNS.

Though the population is more than 400, at present there are only 30 acres of land under cultivation. One of the reasons for low cultivation was the lack of water sources. In the community planning process, this issue was discussed and plans were made to build a check dam. For this, a survey was conducted on the amount of land that would be covered under cultivation if a check dam was constructed. It was found that more than 50 acres could be brought under irrigation and the construction would ensure wages to the community for the next few months. Kakuru Nookaraju says, “The water for irrigation at present is not going to last for more than a few days. There is water for us to drink but none for our cattle, even now.” The CAG members have approached other CAGs in the Gram Panchayat and mandal levels to discuss the plans and how they can federate to work on them. They plan to explore all the avenues of financial support that they require for taking up this activity.

Speaking about the CAG and its processes, Darsi Papa Rao, the Raithumitra president says, “Each committee and group, if it starts thinking only about itself, will never be able to find solutions for their problems. We realize that we have to discuss the problems not just within the group but also with the other groups as solutions may be possible by working at the village level. Whenever an issue has to be discussed, meetings are held at the local group level and a petition is forwarded to the CAG, where more discussions ensue, with members from other groups also participating in the process. After this, the petition is put before the Gram Sabha for passing a resolution. It is then submitted to the government by the Sarpanch and village secretary. Today, the CAG in the village has become empowered enough to directly interact with officials about our problems, give applications and also file complaints in cases of non-compliance. Thanks to the inputs and information provided by staff from VJNNS, we are able to access the government facilities.”

“We have today realized that if our village and the villagers have to develop, then we have to take decision making into our hands. Earlier, we might not have had the idea to participate in development activities, but today no one can deny us the right to prior information regarding the development of our village. We have ensured that much. Our aim is to bring back all our children who have left the village because of lack opportunities.”

Summing Up

Given the nature and scope of the development challenges being faced, it is essential to have partnerships between civil society, public sector and private enterprise. Worldwide, successful partnerships between governments and civil society organizations have shown their potential to tackle complex, large-scale problems in new ways, marshaling substantial resources, community support, and a multiplicity of approaches. Successful partnerships strengthen governments’ willingness and capacity to foster enabling environments. The combination of private, community, and public institutions is
more likely to lead to development that serves the needs of the rural poor than a single, exclusive focus on one institution type.

It is essential that Central governments fulfill their irreplaceable role in the provision of basic social services and, especially, the creation of an enabling environment. Civil society’s role in empowering communities cannot be realized in the absence of enabling state policies, as better public policies are needed to foster local initiatives with community participation. The poor flow of funds to tribal development, especially for health and education, indicate the lack of political will to allocate adequate funds to tribal areas. Financial allocation to tribal welfare need to be substantially increased to achieve the desired impact.

As much as access to productive resources is required, the poor need increased access to decision making. Empowerment implies the ability of the community, in particular the least privileged segment of society, to participate in the decisions that affect its livelihood. Empowerment requires structures that provide for participation by the poor in decision making and resource allocation, especially at the local level. In addition, organizations representing the poor should have the capacity and opportunity to influence the public policies that affect them. This can be done through formal mechanisms of consultation and participation; informal approaches, such as lobbying, advocacy, and networking, can also contribute to this process.

The role of the government is very important in empowering the tribal community to participate in the development process. The various legislative and policy instruments which both the Central and Andhra Pradesh governments have introduced are mentioned in the beginning and elsewhere in this report. What is essentially required is the administrative and political will at the sub-district-level to streamline procedures so that participation in decision making by tribal communities is encouraged or even made a precondition, and service delivery systems become more responsive to the community. At the same time, tribal communities have to build their capacities and skills to effectively place their demands through PRIs forums. The activities of the three-tier coordination committees have to be institutionalized and integrated with the Panchayati Raj structures up to the district and state-levels. Obviously, this requires the convergence of all stakeholders to arrive at a synergy which will decisively impact all development programs for marginalized and poor communities.
Section C

Conclusion

This section presents a comparative understanding on the progress made by the Project, in each of the intervention sectors, compared to the control area. It also discusses the projects learnings in terms of bridging the gap between sectoral outlays and outcomes through building the community’s capacities.

◆ Comparative Analysis 89
◆ The National Development Scenario: Opportunities and Challenges 95
The key focus of STEP in the four tribal districts of Andhra Pradesh has been to improve the capacities of the communities to enable them to actively participate in the development process contributing towards capability building. There has been increased generation of demand for entitlements, rights and services among the community addressed by the Project, which has worked in tandem with government programs and their functionaries, training and upgrading their skills, developing linkages for coordination and monitoring, all with the objective of creating a more responsive system. This also included the Project’s role in advocacy for policy reforms and institutional changes to improve service delivery.

Interventions were carried out in the broad areas of: social mobilization, education, health, economic attainment and in enabling environment and local self-governance, with emphasis on empowering the community to be actively involved in each component. Various activities were undertaken, and indicators developed and monitored to map the community’s development on a composite index of empowerment, the Human Empowerment Index. A group of indicators for each component, for example health, together constitute the specific component empowerment index. The development of the four districts was monitored on all these indices. Since the status of women in the country, particularly for the tribal community, is very low, it was important to draw up the Gender-based Empowerment Index, which is basically the human empowerment index adjusted to reflect the gender inequality prevalent in the community. These have been discussed in the earlier sections.

An important concern of the Project’s intervention is to determine whether the level of empowerment achieved in each dimension can be attributed to the Project or whether the change was actually the result of some other factors unrelated to the Project. How valid then are the levels of empowerment achieved during the Project period? What would the situation be if the intervention had not taken place?

Although one cannot answer these questions precisely, it is possible to approximate it by constructing an appropriate counterfactual. A counterfactual is a hypothetical situation that tries to depict the welfare levels of individuals in the absence of a policy or program. However, in partial-coverage programs like STEP, counterfactuals are simulated by comparing program groups (the treatment group) with a control or comparison group. The control or comparison area is made up of communities who have nearly the same characteristics as program beneficiaries (especially with respect to those characteristics that are relevant to program participation and program outcomes) but do not participate in the program being evaluated.

**Control Group Study**

STEP identified the neighbouring district, Khammam, as a control district. The district is not only contiguous to East Godavari, it lies on the Eastern Ghats belt inhabited by tribals and carries the distinction of having the largest population of tribals in Andhra Pradesh. 196 villages covering eight mandals were selected...
The population of tribals in Khammam district is 5,58,958 according to the 2001 census, which is about 13.29% of the total tribal population of Andhra Pradesh. Eighty percent of the district population lives in villages. The district literacy rate is 57.72% with the female literacy rate at 48.16%. In comparison, literacy among tribal communities is very low at 29.80%, with the literacy rate among tribal females even lower at 13.23%.

Integrated Tribal Development Agency, Bhadrachalam was first established in Khammam District with Khammam as Headquarters in the year 1975. Later on the Headquarters was shifted to Palwancha and then to Bhadrachalam. This ITDA caters to about 6.5 lakhs of STs spread over 16,000 sq. kms. in the district.

Out of the total 46 mandals, 29 mandals with an area of 12,175 sq.km. are under the Tribal Sub-Plan Area and is populated by tribals groups such as Koyas, Lambadas, Kondareddis and Nayakapodus.

The Human Empowerment Index and the Gender Empowerment Index, as well as the empowerment levels in each dimension for district Khammam are presented in the following figures.

![Density of Tribal Population in Khammam District (Control)](image)

- Above 70%: Gundala, Tekulapalle, Chintur
- Between 61 - 70%: Dummuugudem, VR Puram, Velairpad
- Between 51 - 60%: Mulakalapalle, Singareni, Kunavaram
- Between 45 - 50%: Wazeed, Julurpad, Bayyaram, Cherla, Garla

on a random stratified sampling basis, covering approximately one third of the villages under the ITDA area. Information was collected on all the parameters that constitute the empowerment index and compared with the results achieved in the four Project districts.
The empowerment indices obtained for district Khammam were compared with the total overall Project attainments. They were also compared with the empowerment indices of East Godavari since both districts were not only contiguous but also had a higher population density in most of the habitations.

**Empowerment Status of Khammam District and Project Districts**

The Human Empowerment Index in Khammam is 0.46 whereas the figure for Project districts combined is 0.54. The gender adjusted empowerment index for Khammam is 0.41 while it is 0.50 for the Project districts combined. The Development Radar comparing the Project Area with the control areas illustrates this point (Refer to Figures 4 and 30). East Godavari district, which is adjacent to Khammam, and hence comparable, has achieved a higher HEI and GEI of 0.57 and 0.54, respectively. (Refer to Figures 4 and 28)

The higher empowerment index achieved in the Project Area, as compared to the Control Area, indicates the extent of impact of project interventions. The HEI for the Project Area is 0.08 higher than that of the Control Area. The GEI for the Project Area is 0.09 higher than that of the Control Area. Considering that the HEI and GEI are composite indexes, capturing progress on several indicators, even a differential of 0.1 in the indexes, translates into substantial disparity in actual terms.

In the health and education segments, Khammam district has comparable levels of empowerment to East Godavari district. This is also evident in more villages achieving a high level of empowerment in these two sub-dimensions of social empowerment. Khammam is characterized by high population density reflected by a greater number of households per habitation. This has contributed to the presence of health and education facilities in most of the villages, resulting in better access.

In Khammam, 29% villages have the empowerment index above 0.8, whereas in the Project area it is 38% villages. Villages below 0.5 on the empowerment index constitute 59%
in Khammam while the same in the Project area is 45%. Apart from health, education and social empowerment, the indices in Khammam fall much below on all other dimensions when compared with the four Project districts, which is also reflected in the distribution of villages across each level of empowerment. In Khammam, only 20 to 25% villages have the empowerment index for each dimension measuring above 0.8 (in Project area, it is 38% villages) while 62 to 71% of villages lie below 0.5 on the empowerment scale (in the Project area it is only 45%). (Refer to Figure 29)

This indicates that the Project has brought about significant changes, in both, the process indicators related to empowerment as well in general outcome indicators. Concurrent measurement of levels of empowerment in district Khammam and the Project area shows that the districts in the Project area have made considerable progress. The control group data validates the empowerment indices of the Project. (Refer to Figures 31-37)

It is important to note that the empowerment index for local organizational capacity (social mobilization) in the overall Project area is 0.51 and the gender adjusted index for this dimension is slightly lower at 0.50. However, in Khammam the local organizational capacity index is 0.37 while the gender adjusted index is way below at 0.22, considerably lower than the Project levels. (Refer to Figure 35)

This clearly reflects the high degree of social mobilization achieved by the Project, particularly with tribal women, suggesting that they have actively participated in the development activities. It is heartening
and encouraging to observe that in East Godavari district the local organizational capacity empowerment index is as high as 0.57 with negligible variation when adjusted for gender. High levels of empowerment in local organizational capacity get reflected in political and economic empowerment, which is much higher than the figures in Khammam.

In the previous sections, empowerment has been defined as an approach that creates an environment which enables the community to have influence and control over resources, equally important being their ability to negotiate with and hold accountable institutions that impinge on their lives, so that they are able to build assets and capabilities which expands their choices, both individually and collectively. The Project has aimed to develop the capacities of the community, which has enabled them to take advantage of poverty-reducing opportunities, assets and resources, politically (including legal), economically, socially and psychologically.

The Project has been able to successfully focus on the question of how the building of capacities helps in the expansion of assets and capabilities that enables people to take part in growth processes that shape their lives.
The human development goals of any country need to be backed by government allocation of sufficient resources to achieve the same. The Indian Government has been spending an average of one-fifth of its total expenditure towards social sector programs in the last two decades. The expenditure of the State and Central Governments combined has witnessed a nine-fold increase in absolute terms from INR189,670 million in 1986-87 to INR1750,790 million in 2004-05.

At first glance it appears that India’s expenditure on education is higher when compared to other developing countries while on the health front it is on the lower side. If we go a step further and try to analyze these figures against world standards, the existing health and education situations and also the poverty levels, the status of India becomes distinct (Refer to Table 16). However, a comparative analysis of India’s education or literacy rates with other developing countries clearly establishes that India’s allocation for education needs to go up further, primarily due its low attainment in the education sector. Similarly, the health allocation of India is dismal on all counts: current world standards, health status and in particular the huge proportion of poor people who have limited disposable income to meet their health needs. Further, India’s health and education attainment levels and resource allocation continues to lag behind even much poorer countries such as Kenya, Rwanda and Malawi.

If we take the per capita expenditure on health and education of approximately one third of the citizens of the country – who earn less than one dollar a day and are the primary users of the public health and education services –, it is one-fourth of what China expends and less than one-fiftieth of what Mexico spends. With such low levels of human development indicators in health and education, and with 26 percent of the population living below the poverty line, the plea for increasing allocation for the social sector is the need of the hour and more so, if we are sincere about achieving the human development goals we have set for ourselves. In addition, we also need to ascertain how efficiently the resources are being utilized. Do the delivery mechanisms provide needs based

<table>
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<tr>
<th>Indicator</th>
<th>India</th>
<th>China</th>
<th>Mexico</th>
<th>Standard</th>
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<tr>
<td>HDI Rank</td>
<td>127</td>
<td>85</td>
<td>53</td>
<td></td>
</tr>
<tr>
<td>Education (% of GDP Spent)</td>
<td>4.1</td>
<td>2.8</td>
<td>2.7</td>
<td>6</td>
</tr>
<tr>
<td>Health (% of GDP Spent)</td>
<td>1.3</td>
<td>2.3</td>
<td>5.3</td>
<td>3</td>
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<tr>
<td>Per Capita Expenditure on Health and Education</td>
<td>86</td>
<td>335</td>
<td>4853</td>
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<tr>
<td>(taking only People living on less than $1 a day)</td>
<td></td>
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<td>in US $</td>
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quality services? Do the poor and marginalized have access to basic services and entitlements? Do the special poverty reduction programs and schemes meant for the most marginalized and deprived sections of the society reach them, and that too without significant pilferage? However, this line of questioning is not to suggest that efforts for greater efficiency and effectiveness in terms of spending current outlays and realizing desired outcomes do not require mobilization of additional resources.

An assessment of the overall social sector outcomes, till date, in areas of health, education and poverty reduction, establish that the resources being spent each year on social services are not getting translated into desired outcomes.

The continuing stark poverty levels, accompanied by dismal health and education figures for a considerable proportion of Indians reveal the poor quality of life led by millions in the country. These get covered up to a great extent when we only view the overall progress the country has made in the last half century. But also raise a big question on why the allocated amount for social sector investment has had low returns, in both intrinsic and instrumental terms. To extend this premise further, the health and education scenario continues to lag behind even other poorer countries and further there has been a limited impact in translating whatever progress has been made into improved income levels.

The mid-term Appraisal of the Ninth Plan, for instance, points out that an amount of at least INR 400 billion per annum flows for rural development by way of Central and State schemes in sectors such as health and family welfare; social justice and empowerment; watershed development through agriculture; tribal development; subsidies on food and kerosene; and through schemes of rural development. This is in addition to public investment in infrastructure such as roads and power which directly benefits the rural poor. This is directed at about 50 million poor families who, on an average, are thus being allocated roughly INR 8,000 per annum. This amount is sufficient to buy nearly 3 kgs. of foodgrain per day at the average rate of INR .7.50 per kg., potentially permitting them to overcome their state of deprivation significantly.

A similar kind of analysis on total expenditure for the entire social sector in 2004-05, which is to the tune of INR 1750.79 billion, also brings out the huge mismatch between outlays and outcomes. About 370 million people or about 70 million families in the country live on less than one dollar a day. The public services provided in the areas of health and education are mostly availed by these families and also they are the target group of various poverty alleviation programs and other entitlements. The average allocation per family, if we even take 50 percent expenditure on social sector, is more than INR 12,000 per family per annum. This sum is not only sufficient to meet the health and education needs of the average household but is also substantial to contribute towards improving upon their present living conditions.

However, despite considerable government expenditure on state-run development schemes, these allocations have not translated into desired benefits for the targeted poor, in terms of building capabilities or significant rise in income levels and neither have they been able to create the envisaged multiple spin-off effects.

Here, one needs to separate two issues: the importance of earmarking enough resources for human development from one of ensuring effective utilization of resources to achieve desired outcomes. As already mentioned earlier, not only should India increase its allocation for the social sector further, but also focus on ensuring that allocated resources are expended efficiently. More so, the best argument for mobilizing more resources is ensuring that the present outlays translate into desired outcomes. The glaring mismatch in social sector outlays and outcomes is perhaps the biggest challenge in our commitment to achieve human development.

In order to arrive at the possible reasons that have continuously caused gaps in total outlays vis-à-vis achieved outcomes, we have
to understand that the processes and their management, in any society, also define the environment which permits and enables individuals to raise their capability levels, on the one hand, and provide opportunities to realize their potential and enlarge the set of available choices, on the other. These processes, covering the political, social and economic aspects of life impact every level of human enterprise, be it at the individual, the household, the village, the regional or even the national levels.

**The Three Elements: Institutions, Delivery Mechanisms and Enabling Policy Framework**

The translation of social sector outlays into desired outcomes requires efficient and effective institutions, which in turn depends on the delivery mechanism adopted, and a supportive framework of legislations and policies. Each of these elements has to work in synergy with the others to ensure desired outcomes. Weaknesses in the three elements, viz., institutions, delivery mechanisms and enabling policy framework have been cited as major reasons for gaps in development goals and outcomes.

Various commissions and studies have pointed to these inconsistencies.

### Weak Enabling Environment

- low institutional capacities to evolve with dynamic context
- institutional and programmatic inability to respond to actual local needs
- exclusionary structures and functions
- non favorable terms of participation
- inadequate outreach of delivery mechanism
- poor quality of services
- duplication in delivery structures
- top down approach in delivery systems
- high leakages and pilferage in delivery systems
- inability to enforce framework of supportive rules, regulations

These not only contribute to the gaps in outlays and outcomes but are further manifested in: poor management of economies; persisting fiscal imbalances; disparities in the pace and level of development across regions and districts; denial of basic needs of food, water and shelter to substantial proportion of the population; marginalization, exclusion or even persecution of people on the basis of social, religious, caste or even gender affiliations; non-compliance of rules, procedures and guidelines, and high levels of corruption; lack of sensitivity, transparency and accountability in many facets of the working of State machinery, particularly those that have an interface with the public; and the lack of credibility – the gap between intent and actions – of some institutions in society.

Reasons primarily responsible for the gaps in outlays and outcomes in the country have been long recognized. The approaches and measures adopted have been continuously changing over the last half-century, mainly due to the inability to make any significant dent in increasing outcomes. However, the overarching shift in the development approach in the country, of involving citizens as active participants instead of beneficiaries in the entire development process to achieve sustainable human development has also greatly influenced the three elements: institutions, delivery mechanisms and policy framework.

But the ground covered, so far, has produced limited results. The critical question is whether we are overlooking or undermining a crucial element in the entire scheme of ensuring that outlays should lead to desired outcomes. The human development paradigm, involves promoting an enabling environment, which permits and enables individuals to raise their capability levels, on the one hand, and provide opportunities to realize their potential and enlarge the set of available choices, on the other. The fundamental premise here is the issue of raising capability levels, which enable one to access various opportunities and participate in the overall process of development. This also means that there is a minimum level of capabilities that is required...
to access opportunities and that the major role of any country towards its citizens is to ensure building such basic capabilities. It has been well established that health and education are two primary capabilities that help individuals to improve personal endowments, build capability levels, overcome constraints and, in the process, enlarge their available set of opportunities and choices for a sustained improvement in well-being. The building of these capabilities should also be seen as a summation effect that takes place over a period of time. One of the best examples of this effect has been China, wherein the government had for at least three decades from the fifties till the seventies invested maximum resources in health and education sectors. The result is that today China is not only the fastest growing economy in the world but also majority of her citizens have acquired basic capabilities to participate in the overall growth. One can counter this argument by asserting that India too is the second fastest growing economy in the world but no one can challenge the fact that this growth process has been meaningless to 260 million Indians, who struggle hard to even secure two meals a day. India has also accorded high priority to health and education since Independence but the commitment to achieve basic levels through concrete actions has been wanting. The result has been varied levels of capabilities across location, class and gender. The varied capabilities have both deepened and prompted inequalities in income, health and education attainments. The fact that existing inequalities is the biggest detriment in achieving overall human development is well recognized. That the inequality also is equally damaging for achieving the summation effect, that is, improved capabilities over a period of time also needs to be accepted sooner than later.

The Fourth Element: Community Capacities

STEP’s experience in empowering the community in the four tribal districts of Andhra Pradesh prompts us to explore the possibility of a fourth element – besides the other three elements of institutions, delivery mechanisms and enabling policy framework – which perhaps holds the key to bridging the huge gap between outlays and outcomes. For millions of marginalized people in the country, the possibilities of being able to participate on favorable terms and conditions in the overall development process, to build their capabilities and access opportunities, is itself dependent on a basic set of capacities. This is true especially in the context where there are high inequalities, vested power structures and institutionalized processes of discrimination and exclusion. Hence, the entire capability building efforts need to be underpinned by a set of capacities that enable individuals and groups to overcome barriers to participation, and also lead to enhanced capabilities in the long run.

In order to appreciate this crucial learning from past development strategies, that a basic set of capacities are required for the community to access opportunities, let us consider a hypothetical but typical story of a tribal woman.

Satni, 29 years, a Gond tribal, lives in Ranthba village (Pathapatnam mandal in Seethampeta district), 125 kms from district headquarters. She has four children, three girls and one boy. The eldest is a boy who is 11 years old while the youngest is three and a half years old. The main source of income for the household of six members, including her husband, is wage labor, collection of forest minor produce and cultivation of minor millets on a small patch of non-irrigated land. Both Satni and her husband are illiterate. The eldest son no longer goes to the school, the two young girls, aged seven and nine respectively, attend school only when the teacher visits the school and the youngest child is enrolled in the Anganwadi Center.

Satni and her family have always consulted the local witch doctor for their health problems. Though the ANM has also been providing child and maternal services to the villagers.

There is acute food insecurity during periods when no wage labor is available. Satni’s family changes its consumption pattern to tide over
such times and sometimes seeks the help of their neighbors.

The government’s Food for Work program had identified the district for implementation of the scheme. In addition, the panchayat has received funds through SGRY. The National Literacy Mission has also initiated a literacy drive in the district.

The Education Department has constituted a School Education Committee (SEC) in each school in the district to improve community participation in management of schools such as monitoring attendance of teachers.

Satni was enrolled in the Food for Work program but does not know the wage rate she is entitled to. She is happy to receive her weekly quota of grain and applies her thumb impression on the muster rolls.

In Ranthba, the village secretary and panchayat members announced their decision on selection of community members for entitlements in a Gram Sabha meeting. There was no participation of the community in the decision-making process.

Information about the literacy drive also never reached the village. The SEC members of Ranthba village do not have any clue as to their role and authority in the management of the village school.

The above situation not only exemplifies the situation of most of the poor families, but also provides enough insights into the reasons for under performance of most of the poverty reduction programs. We can conclude that Satni’s family requires some basic capacities to demand minimum wages, actively participate in the Gram Sabha and take collective actions against erring service providers. So is the case with millions of marginalized families in the country. Their ability to participate in the overall development process, to build their capabilities and access opportunities, is itself dependent on a basic set of capacities.

Consequently, the question of trying to find out reasons for the huge discrepancies between outlays and outcomes.

This is evident in the following case study of a tribal village in Bangarampeta, one of the STEP operational villages in Srikakulam district, where the tribal women narrate a different tale. Here, the women have realized the value of organization and collective initiative. The women have immensely benefited from the information sharing and reflection process of the Project. They use various CBOs to discuss their problems and jointly initiate action to voice their concerns and demands with the administration.

It is late evening. Under the light of the kerosene lamps, women are de-seeding boiled gooseberries for selling in the local market the following day. As you approach them, you can hear their animated conversation. What are they talking about?

As you come nearer, you find that they are agitated about the silt deposit in the open well, which has made the water muddy and unfit for consumption. One of them says, “The panchayat has not responded to our repeated plea for cleaning the well.”

Finally three women decided to donate money from their savings and rent a machine to de-silt the well. Fortunately, the men folk volunteered their labor to clean the well just before the machine was to be rented. This is not the only instance that the women of the village have got together to solve their problems. The open well was constructed in the village just three years back when the women put their demand to the Project Officer of ITDA. Whether it is ration cards, land certificates, Grain Bank, construction of roads and drains, or toilets for the school, the women feel confident of taking the initiative themselves. Says Tamala Nageshwarli, “When the social and resource maps were drawn in the community planning process two years ago, we were able to identify what were the real problems in our village. We realized that to solve these problems no one will come from outside to offer solutions. We have to mobilize ourselves and put forward our demands. This is where STEP has been of invaluable help. They have helped us in asserting our rights.”
Women in Bangarampeta now have a voice of their own. They are proud of their autonomy and strength. But what will happen if support of STEP and Nature (the partner NGO) is withdrawn? “It does not matter if the organization has to withdraw their support to our village. We have become strong and empowered enough, to speak without fear with the world outside”, is the response of the women.

The Road Ahead

It is evident that apart from various corrective measures that are being taken in the domain of the three elements – institutions, delivery mechanisms and enabling policy framework –, the fourth element of “Community Capacities” is an anchor for the overall development scheme. The development strategy of the country to build capabilities over a period of time has failed to recognize the immediate needs of certain basic capacities, which are context-specific, but are required to enable participation of the community in the entire process of capability building. It is now clear that only when the community has certain basic capacities that it is possible for them to participate in the development process, as a subject rather than as an object. The inadequacy of the present efforts to build these specific individual as well as collective capacities has led to exclusion or non-participation (or non-favorable inclusion) of the community from various opportunities, institutions, delivery mechanisms and inability to take advantage of the enabling policy framework.

There is thus a genuine need to supplement and complement our current investments in development programs with processes that aim to build capacities and provide opportunities to the community to realize their potential, and enlarge the set of available choices. STEP has demonstrated this conclusively by adopting a context-specific capacity building approach of empowerment. Empowerment operates at both the individual and the community levels. At the individual level, it generates self-respect, esteem and confidence in the individual. At the community level, empowerment enables individuals to organize themselves into groups and collectives, and mobilize themselves to achieve commonly defined goals.

Such efforts of the Project have strengthened the community-based institutions, as evident in the high local organizational capacity index in the Project areas when compared to the control area. This strengthening is expected to contribute to the successful access of specific development entitlements initiatives in the Project area. STEP’s achievements in building local capacities and creating community capabilities have the potential to inform future development initiatives in the country. They also have the potential to ensure the success of recent major national-level entitlement initiatives such as the National Rural Employment Guarantee Scheme and the National Rural Health Mission.

STEP has been successful in demonstrating both – the individual as well as the community – dimensions of empowerment. STEP’s learning and experiences not only have the potential to contribute towards bridging gaps in social sector outcomes, but more importantly, to renew one’s faith in the achievement of human development goals.

STEP has now reached the crucial stage where the processes of building basic set of capacities and processes contributing to the empowerment of the community need to be institutionalized to demonstrate its potential for unfolding at a larger scale. The road ahead is full of challenges and promises!
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<thead>
<tr>
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<td>73.</td>
<td>Watersheds and Rural Livelihoods in India</td>
<td>Cathryn Turton</td>
<td>2000</td>
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<td>75.</td>
<td>PROJECT IMPLEMENTATION PLAN FOR VULNERABLE GROUPS UNDER RCH II: December 2004 Government of India Department of Family Welfare Ministry of Health &amp; Family Welfare</td>
<td>Government of India</td>
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Apart from the above web pages of various departments and ministries of GOI and GoAP have been referred. Exg.:

- Planning Commission
- Health Ministry
- HRD
- Tribal Affairs
- Rural Development
- Panchayati Raj

Also web pages of bilateral organizations, INGOs and national NGOs have been referred.
Annexures
Technical note on measurement of Human Empowerment Index

Concepts and Measurement

Rationale for the human empowerment index: After several decades of development progress and development thinking, empowering people and creating a good investment climate have now emerged as the two basic and mutually reinforcing pillars of any strategy for pro-poor growth and sustainable poverty reduction (Stern 2002). This is consistent with the human development paradigm, which envisages the full empowerment of the people as one of its four pillars, the others being equity, sustainability and productivity (Haq 1995). As a comprehensive concept, empowerment is both an intrinsic element of poverty reduction and a means to reduce poverty. It is a sure way to establish link between growth and human development.

Human development indices: Philosophy and Limitations: According to Amartya Sen, the HDI should be seen, “as a deliberately constructed crude measure, offered as a rival to the GNP.” It does not reflect other human choices. The restriction of HDI to these three indicators is justified on the ground that if these basic requirements of life are not met, many equally important dimensions of human life become impossible to achieve and many opportunities remain inaccessible (Raworth, 1998). This assumption, however, provides no basis for monitoring progress towards other elements basic to critical human choices that the index does not reflect. Although income enters into the HDI as a surrogate for all the dimensions of human development that are not reflected in a long and healthy life and in knowledge, it cannot serve as the surrogate for non-purchasable goods or other human choices. This limitation gives rise to imperfections that stem primarily from two sources. First, the HDI is rooted in a philosophy of simplicity; it set out to exclude other major aspects of human life – even those that are quantifiable – in a global calculation. Second, because of the issue of universality, the HDI necessitated selecting only those indicators that are relevant and available for all countries.

For this reason, the existing HDI indices and indicators continue to evolve; the basic components of HDI are being supplemented, even replaced, by other more relevant indicators to reflect country specific priorities and problems. As long as the data are reliable, a greater number of key indicators that are not reflected in HDI certainly permit a clearer picture of human development. They also make the index less vulnerable because the impact of a biased indicator on the overall score diminishes when more indicators are used.

The human empowerment index: The human development paradigm envisages full empowerment of all people, to enable them to exercise their choices voluntarily. As a critical pillar of human development, the concept of empowerment is closely linked to the notion of the human development paradigm, which embraces all choices – socio-cultural, economic

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and political. While human development concerns the expansion of social, economic and political capabilities that widen people’s choices for leading the kinds of lives they value, empowerment focuses on the question of how the expansion of assets and capabilities, as well as social inclusion, can enable people to take part in growth processes that also shape their lives. (Haq 1995). It implies a democratic polity in which people can influence decisions on a scale well beyond their own persons and households. Empowerment is now recognized as an approach that creates the environment for enabling citizens to take advantage of poverty-reducing opportunities and assets politically, economically, socially and psychologically.

While the existing HDI and other composite indices like GDI, GEM and HPI shed light on different aspects of human development, no single composite index captures all these crucial dimensions of human empowerment. This rationale underlies the effort to develop an empowerment index. The Human Empowerment Index (HEI) has therefore been constructed by bringing together the available social, economic and political indicators into a composite index of empowerment. This holistic perspective permits one to measure the empowerment level of all human beings at the habitation level in the spirit of the HDI; the disaggregation of the HEI provides the basis for measuring disparities in terms of caste, ethnicity and gender, subject to the availability of sufficiently desegregated database.

**Dimensions of empowerment**

The existing literature shows varied dimensions of empowerment. Allowing for some overlap, empowerment can occur in economic, socio-cultural, political, legal, interpersonal and psychological dimensions. For operational purposes, it becomes possible to group them further into three broad dimensions namely socio-cultural, economic and political (including legal). Clearly, each of these dimensions is very broad, containing a range of sub-domains within which people may be empowered. Refer to chapter 3 of this report for the definition of these social, economic and political dimensions of empowerment. Social empowerment encompasses both human and social capabilities. Human capabilities include such basic elements of the quality of life as education, skills, health, access to safe water and sanitation, information and communication. Social capabilities, on the other hand, refer in particular to social status, dignity, cultural expression, and a sense of belonging and solidarity in society and participation in social organizations. Individual human capabilities, when combined with social capabilities through the network, enables collective action to enhance or expand both individual and collective assets and capabilities (social capital), thereby enhancing social empowerment. Economic empowerment concerns expanding economic capabilities to improve their access to productive assets (both physical and financial), as well as access to economic opportunities (employment, market and production technology). Experience reveals that poor people are often excluded from equal access to economic opportunities because of market regulations, because they lack information, connections for credit and because of discrimination (World Bank 2002a). Empowerment strategies that are supportive in overcoming many of these barriers can help enhance the assets and economic capabilities critical for economic empowerment. Political empowerment cannot be seen as the power to vote alone, but also the power of voice and of collective action (Friedmann 1992). It is about the expansion of political capabilities/entitlement associated with democratic governance – encompassing opportunities for political dialogue, dissent and critique as well as voting rights and participatory selection of legislators and executives. Political empowerment also encompasses legal empowerment, which is defined as the process of acquiring critical awareness about rights and the law, the ability to assert rights, and the capacity to mobilize for change (Schuler and Kadirgamar- Rajasingham 1992).

Empowerment in one dimension can play a catalytic role in bringing about change in other dimensions depending on the context and stage of development. The expansion of human knowledge
and capabilities, for instance, has an indirect influence on economic and political empowerment. However, evidence shows that empowerment promoting development interventions within a particular dimension does not necessarily lead to empowerment in other dimensions (Malhotra and Mather 1997; Kishor 1995 and 2000; Hashemi et al 1996; Beegle et al 1998). This means that an integrated approach is required to address sustainable empowerment, a situation where people are empowered socially, economically and politically. A very low level of empowerment on all these three fronts (multiple disempowerment) and a level of significant mismatch between these, are a two extreme cases requiring intervention. For instance, a high level of social and political empowerment amidst the very low economic empowerment makes empowerment unsustainable, leading to disenchantment and hence conflict in various forms. Hence promoting sustainable empowerment (see area A in Venn diagram shown in chapter 3) requires an integrated empowerment-led strategy for poverty reduction and human development.

**Indicators of empowerment**

The human empowerment index has been constructed for the first time by framing indicators that capture empowerment habitation level. As most subjective/qualitative variables crucial for measuring empowerment are not available at the habitation level, data collection has been undertaken at the habitation level. As such, the indicators selected for use are neither exhaustive nor comprehensive enough to measure all the crucial attributes of varied dimensions of empowerment.

Altogether, 20 objective indicators have been selected for capturing the three dimensions of empowerment and bringing them together into a composite Index. There are 13 indicators used to measure social empowerment, 4 indicators to measure economic empowerment and 3 indicators to measure political empowerment. The details on the measurement of these indicators, their data sources and the computation procedures for empowerment indices are elaborated at length in the technical note below. A brief highlighting of the definition and relevance of these indicators underlying social, economic and political empowerment are as follows.

**Social empowerment indicators**

Social empowerment is measured by a set of 13 indicators reflecting education, health, information and participation in social organizations.

**Educational attainment:** Knowledge is a critical human choice in its own right. It is also valued as a constituent of the human capabilities to do other things (contribute to productivity, self-respect and relative power or empowerment) and is encapsulated as instrumental empowerment (Rich et al 1995). The indicators in this domain are as follows

- % of Children in the age group 5-14 enrolled in school
- % of Children in the age group 5-14 attending school
- Average monthly attendance of Vidya Volunteer/teacher
- % of SEC functioning effectively

**Health status:** As with knowledge, the health of a country’s citizens is another critical human choice in its own right and is also valued as a constituent of human capabilities to do other things. The indicators in this domain are as follows

- % of births attended by a skilled attendant or institutional delivery
- % of pregnant women getting at least 3 checkups
- % of children fully immunized in the age group (12-23 months)
- % of health service providers providing quality services
Access to Information and Local Organization Capacity: The right to and relevant and timely access to a variety of information and communication constitute a critical element of empowerment, as it enhances knowledge and power and hence creates enabling condition for good governance – transparency, accountability and legitimacy. An informed citizen would be in a better position to understand that he/she has to take advantage of opportunities, have access to services provided by the state and, as stakeholders in the development process, make development actors accountable to them. The participation of people in social organizations is considered one of the critical elements of social empowerment. Organized communities are more likely to have their voices heard and their demands met than unorganized communities. It is only when groups connect with each other across communities and form networks or associations (federations) that they begin to influence government decision making and gain collective bargaining power. Social capital formation describes the improvement of the ability of a community to make decisions and enlarge their choices and capabilities. The indicators in this domain are as follows

- % of CBOs (VSS and CAG) functioning effectively
- % of community members participating in MLP preparation/revisit
- % of community members aware of the development programs/schemes and other initiatives
- % of Social security schemes accessed by the community from mainstream agencies using AOL and are listed in MLP/CAP since STEP intervened in the village
- % of Social assets accessed by the community from mainstream agencies using AOL and are listed in MLP/CAP since STEP intervened in the village

Economic empowerment indicators

Economic empowerment is measured by four sets of indicators reflecting access to land and its distribution, access to credit and income-generation opportunities and food security. The indicators in this domain are as follows

- % of Economic resources/assets accessed by the community from mainstream agencies using AOL and are listed in MLP/CAP since STEP intervened in the village
- % of HHs linked to grain bank
- % of SHG functioning effectively
- % of SHG members involved in Income-Generating Activities

Political empowerment indicators

Conceptually, both negative (freedom from arbitrary arrest, exclusion) as well as positive (freedom to vote, participate in political and social life) aspects of political freedom should be captured by focusing on both the formal availability and actual exercise of political freedom by the people. Objective indicators often fail to capture all aspects of democratic governance. Subjective indicators cannot be conceptually linked to objective indicators in the formulation of the composite index. Most of the indicators reflecting the attributes of political empowerment are subjective in nature and are therefore open to dispute and biases of perception. The indicators in this domain are as follows

- % of eligible members participated in last GS
- % of PRI members functioning effectively
- % of issues identified through MLP taken up by PRI
Computing the human empowerment index

This section addresses the measurement issue with regard to the method of normalizing variables, weighting and the aggregation in the construction of composite of human empowerment.

Normalization and scaling: Each variable selected for measuring different dimensions of empowerment is normalized through a process of scaling. The zero to one, scoring transformation method used by UNDP to compute HDI has been used to normalize each indicator and then to compute the composite empowerment index. This method has a number of advantages. First, it transforms the values of all indicators from 0 (worst condition) to 1 (best condition) of spatial unit (habitation in this case) and the value can be computed with respect to desired or observed maximum and minimum values of spatial unit. Second, the normalized values are unitless; the method is therefore quite useful for dealing with different units of indicators. Third, as this technique is unweighted, it is best for the research in which giving weight to the individual indicator for the computation of composite index is difficult. The method involves selecting a maximum and a minimum value for each variable and the difference between the maximum and the minimum value defines the scale. The normalized variable is constructed by the ratio of difference between the observed value and the minimum value (the path covered by the society in the selected variable) to the difference of the maximum value and the minimum value (the total path to be covered by every society in the variable in question).

As the indicator is directly proportional to empowerment or well being, the normalized value is the difference between the observed or chosen value of one indicator and minimum value of the same indicator as a proportion of the difference of the maximum value and the minimum value. Algebraically, it can be expressed as follows:

\[
I_{ij} = \frac{X_{ij} - X_{ij} \text{ (min)}}{X_{i \text{ (max)}} - X_{i \text{ (min)}}} \quad (1)
\]

Where \(I_{ij}\) is the normalized value of ith indicator for jth region (habitation) in the district, \(X_{ij}\) is the observed value of ith indicators for jth habitation. Whereas \(X_{i \text{ (max)}}\) and \(X_{i \text{ (min)}}\) are maximum and minimum values of the same indicators respectively. When \(X_{ij}\) takes the maximum value of the indicators, numerators will be the same as the denominators and hence the normalized value of indicators \((I_{ij})\) becomes 1. Alternatively when \(X_{ij}\) becomes minimum, the normalized value becomes zero. In this way, the highest value will be transformed to 1 and the lowest value to zero. Similarly, other values are transformed to the range 0 to 1 without changing the order of the value.

Maxima and minima: The observed maxima and minima of the spatial unit have been used in normalizing the variables. This was also the standard practice followed by UNDP until 1994 in normalizing variables for constructing the HDI. However, fixed maxima and minima were introduced in 1994 based on the trends of the variables, and their probable values over the next 25 years to carry out meaningful inter-temporal comparison and trend analysis of the HDI. While such a fixed method is preferable to the observed method of fixing minima and maxima, especially for intertemporal compassion, these is no basis for fixing such a value for these newly introduced empowerment indicators of the spatial unit in the absence of spatially disaggregated time series data on most variables to project their probable values in the next few years together with the need for consensus among policy-makers to ascertain the maximum path desirable for attainment (goal post). The normalized variable, which is a pure number, shows, for a particular variable, the path covered by a society as a proportion of the path to be covered. Thus, if a society for a particular variable remains
BOX I. Illustration of social empowerment index calculation

Social empowerment is measured by four key domains, such as participation, information, health and education, with each domain consisting of a set of indicators. Therefore, four sub-indices have been computed separately for education, health, information and participation, using a simple average of their respective indicators as illustrated below.

Calculating the education index
The education index measures the relative achievement of different habitations in terms of four education-related variables.

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>XE1 % of Children in the age group 5-14 enrolled in school</td>
<td>82</td>
</tr>
<tr>
<td>XE2 % of Children in the age group 5-14 attending school</td>
<td>61</td>
</tr>
<tr>
<td>XE3 Average monthly attendance of Vidya Volunteer/teacher</td>
<td>20</td>
</tr>
<tr>
<td>XE4 % of SEC functioning effectively</td>
<td>75</td>
</tr>
</tbody>
</table>

Calculating the enrolment index
\[
XE1^* = \frac{(82 - 64)}{(98 - 64)} = 0.53
\]

Calculating the student attendance index
\[
XE2^* = \frac{(61 - 35)}{(91 - 35)} = 0.46
\]

Calculating the teacher attendance index
\[
XE3^* = \frac{(20 - 12)}{(24 - 12)} = 0.75
\]

Calculating the SEC functioning index
\[
XE4 = \frac{(90 - 5)}{(100 - 5)} = 0.95
\]

Calculating the education index
\[
XEI = \frac{(XE1^* + XE2^* + XE3^* + XE4^*)}{4} = \frac{(0.53 + 0.46 + 0.75 + 0.95)}{4} = 0.672
\]

Calculating the health index
The health index measures the relative achievement of different habitations in terms of four health-related variables.

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>XH1 % of births attended by a skilled attendant or institutional delivery</td>
<td>68.51</td>
</tr>
<tr>
<td>XH2 % of pregnant women getting at least 3 checkups</td>
<td>50.51</td>
</tr>
<tr>
<td>XH3 % of children fully immunized in the age group (12-23 months)</td>
<td>39.22</td>
</tr>
<tr>
<td>XH4 % of health service providers delivering quality services</td>
<td>=</td>
</tr>
</tbody>
</table>

Calculating the institutional delivery index
\[
XH1^* = \frac{(72 - 22)}{(95 - 22)} = 0.68
\]

Calculating the services to pregnant mothers index
\[
XH2^* = \frac{(55 - 15)}{(81 - 15)} = 0.60
\]

Calculating the immunization index
\[
XH3^* = \frac{(43 - 26)}{(82 - 26)} = 0.30
\]

Calculating the quality service index
\[
XH4^* = \frac{(45 - 15)}{(82 - 15)} = 0.48
\]

Calculating the health index
\[
XHI = \frac{(XH1^* + XH2^* + XH3^* + XH4^*)}{4} = \frac{(0.68 + 0.60 + 0.30 + 0.48)}{4} = 0.516
\]

Calculating the local organizational index
The local organizational index measures achievements in terms of information and participation and functioning of in social networks in terms of 5 variables.

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>XLO1 % of CBO functioning effectively</td>
<td>55</td>
</tr>
<tr>
<td>XLO2 % of community members aware</td>
<td>70</td>
</tr>
<tr>
<td>XLO3 % of community members participating in MLP preparation/revisit</td>
<td>76</td>
</tr>
<tr>
<td>XLO4 % of Social security schemes accessed by the community</td>
<td>58</td>
</tr>
<tr>
<td>XLO5 % of Social assets accessed by the community</td>
<td>52</td>
</tr>
</tbody>
</table>

Calculating the CBO functioning index
\[
XLO1^* = \frac{(55 - 30)}{(85 - 30)} = 0.45
\]

Calculating the community awareness index
\[
XLO2^* = \frac{(70 - 20)}{(95 - 20)} = 0.66
\]

Calculating the community participation index
\[
XLO3^* = \frac{(76 - 22)}{(85 - 22)} = 0.85
\]

Calculating the social schemes access index
\[
XLO4^* = \frac{(58 - 32)}{(83 - 32)} = 0.51
\]

Calculating the social assets access index
\[
XLO5^* = \frac{(52 - 28)}{(75 - 28)} = 0.51
\]

Calculating the local organizational index
\[
XICI = \frac{(XLO1^* + XLO2^* + XLO3^* + XLO4^* + XLO5^*)}{5} = \frac{(0.45 + 0.66 + 0.85 + 0.51 + 0.51)}{5} = 0.59
\]
Calculating social empowerment index
The social empowerment index is the simple arithmetic mean of the above three sub-indices: education, health and Local organization. With the above estimated values of these indices, the composite index of social empowerment works out at 0.594, as illustrated below.

\[
\text{SEI} = \frac{\text{SEI} + \text{XHI} + \text{XLO1}}{3} = 0.594 \\
\frac{(0.594 + 0.698)}{2} = 0.646
\]

Calculating overall human empowerment index
The overall composite index of empowerment is computed using simple arithmetic mean of social empowerment index (SEM= 0.59), economic empowerment index (EEM= 0.58) and political empowerment Index (PEM= 0.48) as illustrated below. The EEM and PEM is also calculated in similar manner to the way the Health, education and local organization indices have been illustrated above. We have taken hypothetical figures for EEM and PEM to calculate HEI.

\[
\text{HEI} = \frac{(\text{SEI} + \text{EEM} + \text{PEM})}{3} = \frac{(0.59 + 0.58 + 0.48)}{3} = 0.55
\]

Weighting: As with the HDI, all variables considered for measuring empowerment at the habitation level are given equal weights considering that all the dimensions included in the HEI are equally important and desirable in their own right for building human capabilities. While the absence of any substitution makes the assumption of equal weights defensible, more research is needed to explore substitution possibilities among indicators through modelling, although the treatment of weight is not always free of controversy.

Aggregation and composite index: Once all the variables are normalized with all the necessary adjustments, a simple mean of various domains is taken to first arrive at social, economic and political empowerment indices. A composite index of empowerment is the simple arithmetic mean of these three dimensions of empowerment. The maximum value of the empowerment index is 1 and the minimum value is 0.

\[
EI_j = \frac{1}{N} \sum_{i=1}^{N} I_{ij} \quad (3)
\]

Where \(E_{ij}\) is the overall empowerment index for jth spatial unit (habitations) and \(I_{ij}\) denotes the normalized value of ith sub indices comprising social, economic and political empowerment for jth spatial unit. N is the number of three sub-indices – those for social, economic and political empowerment. Within social empowerment component, three sub-indices have been computed separately for education, health and Local Organizational Capacity using a simple average of their respective indicators. Likewise, the four sub-indices –have been computed first in order to arrive at the economic empowerment index.

Calculating human empowerment index: illustration
The human empowerment index measures the average achievement in the project by firstly calculating averages of all the habitations to arrive at the district index and then calculating the average of district indices to arrive at the project level index in three dimensions of empowerment:
social, economic and political. Before the HEI itself is calculated, an index needs to be created for each indicator underlying these dimensions. Box 1 illustrates the calculation of empowerment index.

**Gender Empowerment Index**

While the HEI measures average achievement, the GEI adjusts the average achievement to reflect the inequalities between men and women in the same dimensions of empowerment:

- Social: which includes education, health and local organizational capacity
- Economic
- Political

The calculation of the GEI involves three steps.

First, female and male indices in each dimension are calculated according to this general formula:

\[
\text{Dimension index} = \frac{(\text{actual value} - \text{minimum value})}{(\text{maximum value} - \text{minimum value})}
\]

Second, the female and male indices in each dimension are combined in a way that penalizes differences in achievement between men and women. The resulting index, referred to as the equally distributed index, is calculated according to this general formula:

\[
\text{Equally distributed index} = \left\{ \left[ \text{female population share} \times (\text{female index} - S) \right] + \left[ \text{male population share} \times (\text{male index} - 1) \right] \right\}^{1/1-S}
\]

Thus the general equation becomes:

\[
\text{Equally distributed index} = \left\{ \left[ \text{female population share} \times (\text{female index} - 1) \right] + \left[ \text{male population share} \times (\text{male index} - 1) \right] \right\}^{-1}
\]

Which gives the harmonic mean of the female and male indices.

Third, the GDI is calculated by combining the three equally distributed indices in an unweighted average.

In summary, as a much broader concept, human empowerment includes many aspects – both subjective perceptions and objective realities of life – that have not been possible to capture fully – or that are not being measured. Political freedom, participation in decision-making, personal security, and threats to sustainability (environment) are some critical aspects of human empowerment that are difficult to measure. Subjective ratings are always open to obvious contestation about the knowledge and bias of the raters. Nor can such a rating be combined with a real number, as they do not meet the criteria of reliability and validity. While these problems deterred our current efforts to include other pertinent governance-related subjective indicators of political empowerment, constant research in this area will certainly provide scope for capturing additional aspects of empowerment in future.
The world is increasingly a ‘global village’, presenting common threats and opportunities. World leaders such as the EU (the world’s biggest economy) and India (the second most populous nation and fourth largest economy in purchasing power parity terms) must cooperate as global players and partners to reduce the threats and optimize the opportunities. EU–India global cooperation, based on shared values and philosophies, works well and is helping to counter terrorism, transnational crime and drugs, protect the environment, democracy and fundamental rights and ensure that globalisation’s benefits are evenly distributed.

In the rapidly evolving international order of new groupings and challenges, India and the EU are both called upon to play a major role, each within their respective regions and beyond. Cooperation between two global partners is therefore vital.

In a communication entitled ‘A secure Europe in a better world’ presented to the European Council at Thessaloniki on 20 June 2003, Council Secretary-General Javier Solana observed that: ‘The European Union has relationships throughout the world, but in the next years we should focus particularly on developing strategic partnerships with Russia, Japan, China, Canada and India. These partners play an increasingly important role in their respective regions and beyond’.

The terrorist attacks of 11 September 2001 — which killed many Indian and European citizens — and the events that followed demonstrate clearly that in today’s ‘global village’ political, social and economic developments in one part of the world can send shock waves around the globe.

Regionally, the European Union is working to ensure a stable and peaceful Europe with a voice that is heard in the world. Globally, the EU is an important cooperation partner for all regions in the world — it is the world’s biggest trading partner and is particularly active in promoting the human aspects of international relations, such as social solidarity, human rights and democracy. India, the dominant power in South Asia, fulfils a similar role regionally and is increasingly a global leader in world trade and international cooperation.

India and the European Union are committed to an equal and dynamic dialogue on all subjects of interest and concern to them as major entities in their own regions, and as global actors on the world stage. The European Union is already India’s first partner in terms of trade and actual investment inflows and is in the front rank of its partners in the fields of economic and development cooperation.

The most important current issue on the international agenda is the suppression of terrorism—wherever it arises. The EU and India cooperate closely and effectively in this area at a number of levels. There is a joint working group (COTER Troika) on counter terrorism and the issue is top of the agenda at ministerial meetings and at the EU–India summits. The EU has imposed a ban on terrorist organisations on its territory — including Lashkary Tayyaba. The EU strongly supports India’s draft comprehensive convention on terrorism at the UN.

Underlying the shared need to counter the threat of terrorism is the central importance to both partners of protecting and promoting democracy and fundamental rights and freedom. The EU is built on solidly democratic foundations, as is India — famously the world’s biggest democracy. Sustaining democracy and spreading the principles of fundamental rights throughout the world are therefore priority objectives for both India and the EU.
Natural disasters, like man-made threats, now increasingly have global impact as well. The task of preserving our planet from global environmental threats confronts the EU and India equally. Widespread, destructive flooding across Europe in 2002 coincided with even more disastrous drought in India, providing a real case for united effort in the fight against global warming. India and the EU also share concerns on other environmental questions, such as the potential risks presented by genetically modified crops (GMOs). Given the nature of this issue, a lasting resolution must be global rather than local.

Both partners are also determined to ensure that the benefits of globalization are available to all. This means reducing the gap between the world’s richest and poorest and improving their access to the benefits of modern technology. So the EU is working with India and others in the World Trade Organisation (1) to ensure that developing countries have access to medicines that they need to combat serious health problems — and at a price that they can afford. The EU is also active in combating a new threat to the world’s poorest — the so-called ‘digital divide’, the potential widening of the gap between rich and poor, educated and illiterate that could follow as a result of the ICT revolution. World-leader India has a particularly important role to play in this field, as development of the innovative Simputer illustrates.

Chronology of EU-India relations

Relations between India and the individual Member States of the European Union stretch back through the ages. The relationship between the EU as a bloc and the Republic of India really took root in their present form in 1963, when India was amongst the first developing countries to establish diplomatic relations with the then six-nation European Economic Community (subsequently the European Community and, since 1992, the European Union). Since then, India and the EU have developed a close relationship that covers key areas such as political relations, trade and investment, economic and development cooperation and cultural exchanges.

Milestones
1963 India establishes diplomatic relations with the European Economic Community
1971 EEC introduces general tariff preferences for 91 developing countries, including India, under the generalised system of preferences (GSP)
1973 India and the EEC sign commercial cooperation agreement
1976 EEC contributes EUR 6 million (approximately INR 30 crore) (1) for drought-prone areas in UP and Gujarat, beginning a programme of regular development cooperation with India
1981 India and the EEC sign a five-year commercial and economic cooperation agreement (16 November)
1983 European Commission sets up a delegation in India at New Delhi
1985 EEC and India sign a commercial and economic cooperation agreement
1988 EC and India hold first joint commission meeting
1989 EC–India cooperation and exchange programme (EICEP) for exchange of faculty from management schools is launched
1991 European Community investment partners (ECIP) scheme is launched in India to provide financing facility to promote EU–India joint ventures among small and medium-sized enterprises (SMEs) (November)
1992 Indian and European businessmen launch a joint initiative, the joint business forum
1993 EU supports a major sectoral programme in education (district primary education programme DPEP) with a funding of EUR 150 million (over INR 747 crore)
1993 EC and India sign joint political statement and the cooperation agreement on partnership and development, on 20 December
1994 EC-India cooperation agreement on partnership and development comes into force (1 August)
1996 European Commission adopts communication on EU–India enhanced partnership on 26 June and Council approves it on 6 December
1996 EC supports another major sectoral programme, in health and family welfare sector with a funding of EUR 200 million (over INR 996 crore)
1998 Asia-Invest is launched to promote business networking and mutual understanding between Asia and the European Union Asia-Urbs is launched to promote cooperation between the municipal authorities in Asia and European Union
1999 Proposal to launch an EU–India round table is formally adopted at EU–India ministerial meeting held in Helsinki
2000 First-ever EU–India summit held in Lisbon, 28 June 2000. The summit issues a joint declaration undertaking to cooperate, along with an agenda for action. The EU–India civil aviation cooperation agreement is signed 2001 Second EU–India summit held in New Delhi on 23 November. The summit agrees:
• a joint communiqué
• an agenda for action
• a declaration against terrorism
• the EU–India vision statement on information technology, and
• the EU–India agreement on science and technology
2002 Third EU–India summit held in Copenhagen, Denmark on 10 October. Summit endorses a new five-year cooperation strategy and agrees an agenda for action
European Commission presents country strategy paper 2002–06 for India, charting out the course for development and economic cooperation between India and the European Commission for the period 2002–06. A budget of EUR 225 million (INR 1 121 crore) is foreseen for the forthcoming five-year period
2003 Fifth EU–India round table held in Bangalore, India, 8–10 March Fourth EU–India summit takes place in New Delhi, 29 November.

Building bridges between different communities: cooperation with civil society

Civil society is at the very heart of the democratic process and therefore central to the EU–India partnership. Non-governmental players, of one sort or another, are essential partners in the cooperation process and crucial to achieving the shared aim of greater awareness and mutual understanding about EU–India relations. India and the EU therefore have launched, or are launching, a series of innovative and exciting initiatives to promote these important objectives. These include:
• a programme for funding media, entrepreneurial and academic projects;
• a round table of leading personalities to discuss concerns and priorities;
• a European studies programme at Jawaharlal Nehru University;
• a liaison network for EU and Indian think tanks;
• a programme for encouraging and funding small-scale cooperation projects.

The European Commission works closely with Indian civil society both on a consultation basis and for the operational implementation of its projects. Civil society is also a major contributor to raising awareness about the EU–India relationship. All three EU–India summits have underlined the importance of enhancing contact between civil societies as a means of fostering greater mutual understanding.
Increasing awareness of EU–India links and mutual understanding

India and the EU are committed to raising public awareness about the bonds between them and to increasing greater mutual understanding. Mobilising civil society channels is crucial to achieving this aim. The economic cross-cultural programme (ECCP), under which projects are co-financed following calls for proposals, is an important tool in this process.

First launched in 1997, the key objective of the ECCP is to promote and support links and joint ventures between EU and Indian civil society organisations, with the aim of strengthening and enhancing civil society links and cross-cultural cooperation through increased dialogue, information exchange and networking. This will help raise awareness of India in the EU and of the EU in India. In the 2003 exercise (which was launched on 25 May and closed on 12 September) EUR 12 million (approximately INR 60 crore) was made available for projects in the three areas, as follows:

<table>
<thead>
<tr>
<th>Category</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Media, communication and culture</td>
<td>EUR 4 000 000 (approximately INR 20 crore)</td>
</tr>
<tr>
<td>Entrepreneurial networking</td>
<td>EUR 4 000 000 (approximately INR 20 crore)</td>
</tr>
<tr>
<td>University and studies</td>
<td>EUR 4 000 000 (approximately INR 20 crore)</td>
</tr>
</tbody>
</table>

The minimum amount that ECCP will invest in individual projects is EUR 250 000 (approximately INR 1.25 crore) and the maximum EUR 500 000 (INR 2.5 crore). Grants may not exceed 80 % of the total eligible project costs.

The EU–India round table, the initiative of the EU Commissioner for External Relations, Mr Chris Patten, and former Indian Foreign Minister, Mr Jaswant Singh, is one of the most significant achievements to emerge from the ‘Agenda for action’ on EU–Indian relations adopted at the first EU–India summit in Lisbon, in June 2000.

The round table enables leading representatives of European Union and Indian civil societies to ‘meet regularly and share perceptions on global issues of mutual interest as well as discuss ways and means for increasing and diversifying mutually beneficial exchanges.’

Since the first meeting of the round table in New Delhi (29 and 30 January 2001), inaugurated by Commissioner Patten and Mr Jaswant Singh, the former Indian Minister for Foreign Affairs, the round table has met a total of five times, most recently in Bangalore (8 to 10 March 2003). At the first meeting, there was a broad discussion on social and economic aspects of globalization, foreign direct investment (FDI), science and research, development models and the Indian IT sector. Topics discussed at subsequent round table meetings include:

- trade, investment and intellectual property;
- the role of the media in promoting and strengthening civil society;
- human capital and the migration of skilled workers;
- EU–India cooperation in the field of food and agribusiness;
- investment promotion in the context of the WTO trade negotiations;
- sustainable development;
- human rights in the workplace.

At the forthcoming meeting of the round table, scheduled to take place in late 2003 (Rome) or early 2004 (Dublin), the Cancún WTO meeting and the topic of ‘Barriers to trade and investment flows between India and the EU’ will be discussed, followed by a hearing on ‘cultural dialogue and public perceptions about India and EU’. As on previous occasions, the recommendations of the round table will be forwarded to the EU–India summit.

The Jawaharlal Nehru University — European studies programme (JNU-EUSP), which was launched in March 2002 with EU support of EUR 590 000 (approximately INR 3 crore), demonstrates
the commitment of the European Commission to promoting European studies in India. The programme is run by the West European Studies Division of the School of International Studies at Jawaharlal Nehru University, in cooperation with a consortium of European universities and research institutes specializing in European Union studies. The JNUEUSP programme:

- helps to strengthen the mutual economic and cultural presence of India in the EU and of the EU in India;
- promotes in India a better understanding of the EU, its institutions, objectives, policies and achievements, and its external economic and political relations.

The EU–India think tank network programme is an important response to the need for an enhanced civil society dimension to the EU–India partnership. The 2001 New Delhi summit reinforced the commitment to create an additional instrument to complement the successful round table of eminent personalities. Later that year, 40 Indian and EU think tanks met in Brussels to establish contacts as a first but independent step towards a future network programme.

The programme will help participating think tanks to conceptualise, elaborate and organise joint projects, meetings, seminars and exchanges between network partners. It will elaborate on and increase the understanding of strategic issues in fields such as

- international relations, and matters of strategic and political relevance;
- topics of economics, trade and development;
- social, cultural and environmental matters.

The programme is still under preparation.

The EU–India small projects facility programme (SPF) has its cornerstone in the first EU–India summit in June 2000 in Lisbon. The SPF fosters links, promotes dialogue, facilitates interaction and encourages networking between EU and Indian civil society organisations, including think tanks. It reinforces and complements the effects of other cooperation activities between the EU and India, such as the think tank network and the ECCP. The SPF aims to improve mutual understanding and to boost interaction in areas that are critical to building professional and political partnerships between India and the EU. It provides a flexible and responsive tool to link these policy objectives with EU cooperation activities in India and answers the demand for small, innovative and high visibility projects. In the first call for proposals, in July 2003, 237 projects were submitted. A second call for proposals is scheduled for the fourth quarter of 2003.

A strong partnership: EU–India and civil society

In addition to cooperating with India in these projects to improve dialogue and understanding between partners, the EU also depends heavily on Indian civil society for implementation of development projects. India is the largest recipient of the Commission’s NGO funds in Asia, with more than 1 000 NGO projects in several fields. The current portfolio of EU–India cooperation projects involving NGOs consists of more than 130 projects worth more than EUR 125 million (INR 622 crore).

EU–India development cooperation: working together to improve life for the poorest and most disadvantaged

The EU and its Member States collectively make the biggest bilateral contribution to India’s development programmes. The core of the EU’s cooperation strategy has been support for the Indian authorities’ own work in identified priority sectors such as primary education and primary healthcare, with strong emphasis on helping the poorest and most disadvantaged in society. Now EU–India cooperation will focus increasingly on comprehensive anti-poverty partnership with
reform-minded states. The whole is supplemented by humanitarian assistance, in the event of disasters such as floods and drought, from the EU’s Humanitarian Aid Office (ECHO).

For over 30 years, European Union support for India’s development programmes has been a central pillar of the EU–India relationship. A fine example of this cooperation is Operation Flood, which helped India to become the world’s leading milk producer. An early flagship cooperation project running from 1970–96 and involving the Indian government, the European Commission and the World Bank, Operation Flood was the world’s largest food and development programme — and hugely successful.

Turning to the wider picture, since 1976, the European Commission has committed EUR 2 billion (INR 9 964 crore) to India in development assistance. Nearly EUR 600 million (INR 2 989 crore) of this is channelled to large bilateral programmes in health and education, but the EU also supports many projects undertaken by NGOs: India is the leading recipient of EU support for projects implemented by NGOs in Asia.

Cooperation in the 1990s: key sectors and focused projects

Traditionally the EU has supported India’s own efforts to improve the quality of life of the poorest and most disadvantaged members of society. Since the mid-1990s, EU–India cooperation has been based on identified priority sectors for action: primary education and primary healthcare. This sectoral approach has been complemented by support for focused projects in fields such as rural development, irrigation, forestry, environmental rehabilitation and integrated watershed management.

EU–India cooperation also supports new initiatives concerned with HIV/AIDS awareness and prevention, drug abuse, strengthening human rights and democracy. Experience from these programmes and projects feeds back into policy decision-making, so providing models for large scale interventions by the government of India.

Education: the foundation of the future

India’s greatest assets are her human resources, so helping to develop them is a top priority of EU–India cooperation. The main thrust of this cooperation is to support the government’s own programmes, in particular those that reduce disparities between genders, groups and regions and favour the poorest and most disadvantaged. The EU also supports education projects implemented by NGOs.

In 1994, the European Commission supported the Indian government’s district primary education programme (DPEP) with a grant of EUR 150 million (INR 747 crore) for the period up to
the end of 2002. The DPEP focused on the poorest and most deprived children and put emphasis on education for girls. Under DPEP:

- new primary schools, alternative schools and classrooms were constructed;
- new teachers (including para-teachers) were appointed and others retrained;
- enrolments increased by two million during 1995–2000 in eight states;
- the percentage of children attending primary schools — in particular girls — rose significantly.

Building on the success of the DPEP, EU–India collaboration on education has continued with EU support for the Indian government’s Sarva Shiksha Abhiyan (SSA) programme, which is the new national initiative for universalisation of elementary education. In an agreement with the government, signed in November 2001, the European Commission made EUR 200 million (INR 996 crore) available to the SSA over seven years. Key SSA objectives are to ensure that:

- by 2003, all children enrol in a school of one kind or another;
- by 2007, all children complete five years of primary schooling;
- by 2010, all children complete eight years of elementary schooling;
- the gaps between schooling for girls and boys and between all social groups are bridged by 2007 at the primary level and by 2010 at the elementary level;
- education is of a satisfactory standard, with emphasis on education for life.

The education guarantee scheme (EGS), a flexible alternative to formal schooling that particularly benefits disadvantaged groups, enabled Madhya Pradesh state to make access to primary schooling universal in less than two years. This meant providing schooling facilities for more than 30 000 homes in a state where 30 % of children aged 6–11 were out of school. Through cooperation between government authorities and local communities and village panchayat, over 26 000 schools, involving 1.2 million children and 28 000 trained teachers, have been established across the state. Almost 50 % of the EGS schools are in tribal areas.

Health and family welfare

The EU has injected EUR 240 million (approximately INR 1 196 crore) into India’s health and family welfare sector investment programme (SIP) over the period 1998–2004. An integral part of the government’s national family welfare programme, the SIP aims to reform the Indian healthcare system by focusing on primary healthcare services and, in particular, to enhance the quality of healthcare services for disadvantaged groups, including tribals. The programme was initially established in 24 states and several urban centres; this was subsequently reduced to 13 states in order to prioritize support and maximise results. Important features of SIP include:

- a decentralised management structure that involves local communities;
- large-scale training for health workers and rural people;
- refurbishment of over 30 first referral hospitals to provide regular services;
- support at national and state levels for government policies and procedures to improve delivery of quality healthcare in the rural and semi-urban areas;
- cooperation with over 40 NGOs and institutions and Panchayati Raj institutions;
- EUR 40 million for post-earthquake redevelopment of healthcare facilities in Gujarat;
- nationally important interventions such as: improving logistics and distribution of drugs; family planning; and strengthening of financial and accounting services.

For more information on EU support to the health and family welfare sector, please visit: http://www.echfwp.com

The EU supports the fight against the spread of HIV/AIDS in developing countries through a programme started in 1987. In India, the EU funds projects on prevention, care and support, research
on cost-effective prevention strategies, training programmes for medical professionals, and advocacy and legal support to people living with HIV/AIDS in their defence against discrimination.

The EU also supports work on the prevention and reduction of drug abuse and initiatives to evaluate the drug problem, prevent and combat drug abuse, provide training and help rehabilitation of addicted people. The strategy focuses both on awareness-raising to prevent drug abuse and on detoxification, rehabilitation and social reintegration of former drug addicts.

**Rural and natural resources and the environment**

EU–India cooperation on rural development and natural resources management projects has made visible impact over the past 10 years. During that period the EU has funded 12 projects, with a global value of EUR 240 million (approximately INR 1 196 crore), including land reclamation, community forestry actions, irrigation and integrated watershed projects, agricultural production and marketing, and horticulture development. Poverty alleviation has been the central objective of all the projects.

Besides the direct impact on livelihoods and food security and the marked improvement of environmental conditions — an important contributory factor to people’s welfare, particularly in rural areas — the 12 EU projects have helped develop infrastructure and create vital extension and marketing linkages. This has allowed communities as a whole to play a greater role in shaping their own development.

One dramatic illustration of the success of EU–India cooperation projects is the restoration of the green cover of India’s oldest mountain range, the Aravalli Hills, which act as a natural barrier between the Thar desert and the fertile plains of eastern Rajasthan. In the space of nine years — winning two environmental reforestation awards en route — 38 050 hectares of common land were re-planted with trees, grass and vegetables, primarily by local women. The project has prevented further desertification of the Aravalli Hills, improved the living conditions of 825 000 people and, in the process, improved the social status of local women by empowering them.

Cooperation in the years ahead: partnerships with go-ahead states Looking to the future, the EU intends to devote some EUR 225 million (approximately INR 1 121 crore) to development and economic cooperation with India over the five years ahead. This will include continuing support for the huge raft of projects by non-governmental players and the private sector (the current portfolio consists of some 170 projects in all).

However, the main emphasis of the EU’s development cooperation with India will move increasingly from support for centrally sponsored schemes towards strategic anti-poverty partnerships with reform-minded states, on the basis of good governance. This new development strategy was outlined in the European Commission’s country strategy paper for India, which covers the period 2002–06 and was agreed by the Indian government on 1 May 2002. In the first instance, the EU and the government of India have selected two particularly go-ahead states, Chattisgarh and Rajasthan, and is preparing a special partnership programme to help them to improve elementary education and basic healthcare, with actions on the environment too. The EU has made a total of EUR 158 million available for the partnerships.

**Humanitarian assistance in times of need**

EU humanitarian assistance is channelled through the European Commission’s Humanitarian Aid Office (ECHO). A leading donor worldwide, ECHO delivers in excess of EUR 500 million (INR 2 491 crore) a year in the wake of natural disasters and man-made crises.

Where India is concerned, the main need is assistance following drought and floods. In
December 2000, ECHO made an emergency intervention, worth EUR 6 million (approximately INR 30 crore) in total, for relief to the victims of the floods in the eastern states of India (Assam, Bihar, West Bengal, Andhra Pradesh) as well as victims of the drought that hit Gujarat, Rajasthan and Orissa. In 2001 alone, ECHO contributed over EUR 15 million (approximately INR 75 crore) to disaster relief in India, the majority following the Gujarat earthquake. In 2002, ECHO channelled a further EUR 3 million (approximately INR 15 crore) to supply drinking water, food and animal fodder to drought-affected Rajasthan. Some 500 000 people benefited directly from this assistance and more than seven million indirectly.

For information about ECHO, please see:
http://europa.eu.int/comm/echo/index_en.htm
Care International

CARE is one of the world’s leading humanitarian organizations fighting global poverty. CARE is independent, non-sectarian and non-governmental. For more than half a century, CARE and our partners have helped create meaningful change for millions of people around the world.

CARE has projects in 72 countries around the world, with a CARE International Secretariat in Brussels, Belgium, which is the central hub of the CARE family.

CARE’s International Secretariat coordinates the efforts of 12 autonomous member organizations in North America, Europe, Asia and Australia. Member countries are:
1. Australia
2. Austria
3. Canada
4. Denmark
5. France
6. Germany
7. Japan
8. Netherlands
9. Norway
10. Thailand
11. United Kingdom
12. United States

CARE seeks a world of hope, tolerance and social justice, where poverty has been overcome and people live in dignity and security.

CARE International’s mission is to serve individuals and families in the poorest communities of the world. Drawing strength from our global diversity, resources and experience, we promote innovative solutions and are advocates for global responsibility. We facilitate lasting change by strengthening capacity for self-help; providing economic opportunity; delivering aid in emergencies; influencing policy decisions; and addressing discrimination. Guided by the aspirations of local communities, we pursue our mission with both excellence and compassion because the people whom we serve deserve nothing less.

Care India

CARE has worked in India for 54 years. We focus our poverty-fighting efforts on the most vulnerable populations: those who are in danger of malnutrition, who are in distress after natural disasters, who are not in formal schools and who are excluded from mainstream society. Within these groups, CARE works primarily with poor women and girls.

CARE’s programs are in the areas of nutrition, health and HIV/AIDS, social and economic development and emergency response.
Mission

CARE’s mission in India is to facilitate lasting change in the well-being and social position of vulnerable groups, especially women and girls.

We are guided by our core values - respect, integrity, commitment, excellence and diversity - to ensure that our internal behaviors and relationships fully support our external programming and promote organizational learning.

Programming Principles

We hold ourselves accountable for enacting behaviors consistent with these principles and ask others to help us do so, not only in our programming but also in all that we do:

Promote empowerment: we stand in solidarity with poor and marginalized people, and support their efforts to take control of their own lives and fulfill their rights, responsibilities and aspirations. We ensure that key participants and organizations representing affected people are partners in the design, implementation, monitoring and evaluation of our programs.

Work with partners: we work with others to maximize the impact of our programs, building alliances and partnerships with those who offer complementary approaches, are able to adopt effective programming approaches on a large scale, and/or who have responsibility to fulfill rights and reduce poverty through policy change and enforcement.

Ensure accountability and promote responsibility: we seek ways to be held accountable to poor and marginalized people whose rights are denied. We identify individuals and institutions with an obligation toward poor and marginalized people, and support and encourage their efforts to fulfill their responsibilities.

Address Discrimination: In our programs and offices we address discrimination and the denial of rights based on sex, race nationality, ethnicity, class, religion, age, physical ability, caste, opinion or sexual orientation.

Promote the non violent resolution of conflicts: we promote just and non-violent means for preventing and resolving conflicts at all levels, noting that such conflicts contribute to poverty and the denial of rights.

Seek sustainable results: we address underlying causes of poverty and rights denial. We also develop and use approaches that ensure our programs result in lasting and fundamental improvements in the lives of the poor. We hold ourselves accountable for enacting behaviors consistent with these principles, and ask others to help us do so, not only in our programming, but in all that we do.

Program Focus

We draw on our experience and collaborative relationships to address the underlying causes of poverty and social injustice through:

1. Confronting unequal power relations and discrimination
2. Increasing representation and participation in local governance
3. Influencing critical policies, programs and services

Using rights-based approaches, CARE supports efforts that address gender discrimination and local governance in India.
Technical Focus

CARE fosters community empowerment: awareness of rights; strategic alliances with the government and non-governmental organizations; behavior change communication; appropriate health and nutrition technologies; replication of best practices; knowledge sharing and advocacy.

CARE emphasis gender equity in access to micro-enterprise interventions and addresses issue such as property rights, which are key to improving status of the poor. Interventions include working with strategic alliances to improve community incomes.

CARE strives to eliminate the discrimination uniquely faced by girls in relation to the basic education system. Access to basic education will increase their social status and enable women to participate in decisions that affect their lives.

CARE builds the capacity of communities to cope with local natural and man made disasters by working with local partners (both government and non-governmental organizations) in disaster planning and preparedness.

Our Donors

CARE’s work in India is supported by multilateral, bilateral, private and individual donors, foundations, associations and corporations.

The bulk of CARE’s funds come from bilateral donors. Our major bilateral donors include:

The Canadian International Development Agency
The Department for International Development
The European Union
The United States Agency for International Development
The United States Department of Agriculture
Other donors include the World Food Program, the United Nations Population Fund and the Bill & Melinda Gates Foundation.
## About Local NGOs

### District East Godavari

<table>
<thead>
<tr>
<th>Name</th>
<th>Address</th>
<th>Phone No.</th>
<th>Contact Person</th>
</tr>
</thead>
<tbody>
<tr>
<td>CREATORS Charitable Organization</td>
<td>78-8-4, Gandhipuram-3, Rajahmundry 533 103 East Godavari Dist.</td>
<td>0883 2469870</td>
<td>N.N.S. Chandra Sekhar Secretary</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Cell: 9440177277</td>
<td></td>
</tr>
<tr>
<td>PRAGATI Protection of Remote Agency and Guaranteed Action for Tribal Improvement</td>
<td>Somavaram Village Kiralampudi Mandal East Godavari Dist.</td>
<td>08868 229669</td>
<td>N. John Victor Director</td>
</tr>
<tr>
<td>SAKTI</td>
<td>Ram Pachodavaram 533 288 East Godavari Dist.</td>
<td>08864 243517</td>
<td>P. Siva Rama Krishna Director</td>
</tr>
<tr>
<td>SUJANA Social Upliftment Jana Action and Nature Awareness</td>
<td>Sai Nagar Rampachodavaram</td>
<td>08864 243737</td>
<td>K. Rajendra Kumar Secretary</td>
</tr>
<tr>
<td>SWEEP Society for Welfare Education and Ecology Protection</td>
<td>Addateegala East Godavari Dist. 533 428</td>
<td>08865 272344</td>
<td>K. Ramana Murthy Secretary</td>
</tr>
</tbody>
</table>
**District Visakhapatnam**

<table>
<thead>
<tr>
<th>Name</th>
<th>Address</th>
<th>Phone No.</th>
<th>Contact Person</th>
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<tbody>
<tr>
<td>AASAV Adivasi Abhivrudi Samskruthika sangam Aruku Valley</td>
<td>Hattaguda Chinalabudu Araku Valley Mandal Visakhapatnam Dist</td>
<td>0836 249463 249464 249262 Cell: 9440132884</td>
<td>P. Raghunath President</td>
</tr>
<tr>
<td>ADIVASI MITRA</td>
<td>Near PMRC Building Paderu Visakhapatnam Dist.</td>
<td>08935 251275</td>
<td>K. Manmadha Rao President</td>
</tr>
<tr>
<td>CCN Sahayog Community Development Network</td>
<td>HIG – 1/17, Sagar Nagar, Visakhapatnam 530 043</td>
<td>0891 2799215 2796206 Cell: 9848049528</td>
<td>Lakhi Deuri Executive Director</td>
</tr>
<tr>
<td>GYSS Girijana Yuva Seva Sangham</td>
<td>Opp: Teachers Quarters Talarsingi Village Paderu – 531 024 Visakhapatnam Dist.</td>
<td>08935 250989(pp)</td>
<td>G. Simhachalam Secretary</td>
</tr>
<tr>
<td>Kovel Foundation</td>
<td>HIG –1-9, Sagar Nagar Visakhapatnam 43</td>
<td>2799026 Cell: 9440976848</td>
<td>Krishna Rao Chief Executive officer</td>
</tr>
<tr>
<td>NATURE</td>
<td>Punyagiri Road Near Railway Gate S.Kota Vizianagaram Dist. 535 145</td>
<td>08936 249408 08966 257129 Cell: 9440332070 9440131561</td>
<td>S. Balaraju Director</td>
</tr>
<tr>
<td>ORRC Organization for Rural Reconstruction</td>
<td>Sundruputtu Colony Opp: Sai Baba Temple Paderu – 531 024</td>
<td>08935 250674 Cell: 94406 22895</td>
<td>D.S. Prasada Rao Executive Secretary</td>
</tr>
<tr>
<td>SNEHAM Society for National Environment &amp; Health Awareness</td>
<td>Punyagiri Road Near Railway Gate S.Kota Vizianagaram Dist. 535 145</td>
<td>08966 257633 Cell: 9440398681</td>
<td>G. Viswanatham President</td>
</tr>
<tr>
<td>TCDS Tribal Community Development Society</td>
<td>D.No. 8-83 C/o. M. Govind Nr. Police Station Chintapalli 531 111</td>
<td>08937 238078 9848620041</td>
<td>Eswaramma Secretary</td>
</tr>
<tr>
<td>TERDS Tribal Educational Rural Development Society</td>
<td>Dumbriguda Village &amp; Post Dumbriguda Mandal Visakhapatnam Dist.</td>
<td>08936 239135</td>
<td>K. Venkata Rao Secretary</td>
</tr>
<tr>
<td>VJNNS Visakha Jilla Nava Nirmama Samithi</td>
<td>Sarada Nagar Narsipatnam- 531 116 Visakhapatnam Dist.</td>
<td>08932 225285</td>
<td>A.V. Raghuram Secreatry</td>
</tr>
</tbody>
</table>
### District Vizianagaram

<table>
<thead>
<tr>
<th>Name</th>
<th>Address</th>
<th>Phone No.</th>
<th>Contact Person</th>
</tr>
</thead>
<tbody>
<tr>
<td>CDC Community Development Centre</td>
<td>Ramabhadrapuram – 535 579 Vizianagaram Dist.</td>
<td>08964 250036</td>
<td>S. Venkateswara Rao Project Director</td>
</tr>
<tr>
<td>GPK Grameena Punarnirmana Kendra</td>
<td>Palace Road, Kurupam Vizianagaram Dist. –535 524</td>
<td>08963 225749</td>
<td>K. Sanyasi Raju Secretary</td>
</tr>
<tr>
<td>JATTU Jattu Samajika Sangham</td>
<td>Raygada road Vikramapuram (PO) 535501 Vizianagaram Dist.</td>
<td>08963 222602</td>
<td>D. Pari Naidu Executive Trustee</td>
</tr>
<tr>
<td>JANS Jana Kalyana Samakhy</td>
<td>By – Pass Road Belagam Parvathipuram 535 501 Vizianagaram Dist.</td>
<td>08963 220541</td>
<td>M. Verghese Secretary</td>
</tr>
<tr>
<td>NEED National Environment And Education Development</td>
<td>Jeypore Road Near RTC, Saluru- 535 591, Vizianagaram Dist.</td>
<td>08964 255336</td>
<td>P. Venu Gopala Rao Executive Director</td>
</tr>
</tbody>
</table>

### District Srikakulam

<table>
<thead>
<tr>
<th>Name</th>
<th>Address</th>
<th>Phone No.</th>
<th>Contact Person</th>
</tr>
</thead>
<tbody>
<tr>
<td>BREDS Bapuji Rural Enlightment Development and Society</td>
<td>Praharajapalem Pathapatnam 532 213 Srikakulam Dist Email: <a href="mailto:breds.org@yahoo.co.in">breds.org@yahoo.co.in</a></td>
<td>08946 256166 256133/ 255966 9346333715(m) 9440387563(m)</td>
<td>A. Rama Krishna Raju Secretary</td>
</tr>
<tr>
<td>CSSS Comprehensive Social Service Society</td>
<td>Virikshamitra Bhavan Pathapatnam 533 103 Srikakulam Dist</td>
<td>08946 255175, 256251 9440836287 (m)</td>
<td>P. Balaram Naidu President</td>
</tr>
<tr>
<td>JANA CHETANA</td>
<td>Rajam Road Palakonda Srikakulam Dist.</td>
<td>08941 220470 / 220436</td>
<td>M. Sankara Reddy Chief Functionary</td>
</tr>
<tr>
<td>PPSS Poor People Service Society</td>
<td>Katragada Village Bhamini Mandal, Srikakulam Dist. Or Official Colony Kotturu</td>
<td>08946 258879</td>
<td>P. Phalguna Rao Chief Functionary</td>
</tr>
<tr>
<td>REALS Rural Entitlement And Legal Support Centre</td>
<td>Bhavani Nagar Tekkali- 532 201, Srikakulam Dist.</td>
<td>08945 244270/ 248662 / 245979 9440252893 (m)</td>
<td>T.B. Benerjee Das Director</td>
</tr>
<tr>
<td>SAMAIKYA</td>
<td>Main Road Meliaputti – 532 215 Meliaputti mandal Srikakulam Dist.</td>
<td>08946 254562 255257 9440889049</td>
<td>A. Suryanarayanan Raju Secretary</td>
</tr>
<tr>
<td>Velugu Association</td>
<td>Kotturu Srikakulam Dist.</td>
<td>08946 258270 08946 258841</td>
<td>B. Sanjeeva Rao Secretary</td>
</tr>
</tbody>
</table>
Constitutional Provisions for Scheduled Tribes

The term ‘Scheduled Tribes’ first appeared in the Constitution of India. Article 366 (25) defined Scheduled Tribes as “such tribes or tribal communities or parts of or groups within such tribes or tribal communities as are deemed under Article 342 to be Scheduled Tribes for the purposes of this Constitution”. Article 342, which is reproduced below, prescribes procedure to be followed in the matter of specification of Scheduled Tribes.

Article 342 Scheduled Tribes
The President may, with respect to any State or Union territory, and where it is a state, after consultation with the Governor thereof by public notification, specify the tribes or tribal communities or parts of or groups within tribes or tribal communities which shall, for the purposes of this Constitution, be deemed to be Scheduled Tribes in relation to that State or Union Territory, as the case may be.

Parliament may by law include in or exclude from the list of Scheduled Tribes specified in a notification issued under clause(1), any tribe or tribal community or part of or group within any tribe or tribal community, but save as aforesaid, a notification issued under the said clause shall not be varied by any subsequent notification.

Thus, the first specification of Scheduled Tribes in relation to a particular State/Union Territory is by a notified order of the President, after consultation with the State governments concerned. These orders can be modified subsequently only through an Act of Parliament. The above Article also provides for listing of Scheduled Tribes State/Union Territory wise and not on an all-India basis.

The criterion followed for specification of a community, as Scheduled Tribes are indications of primitive traits, distinctive culture, geographical isolation, shyness of contact with the community at large, and backwardness. This criterion is not spelt out in the Constitution but has become well established. It subsumes the definitions contained in 1931 Census, the reports of first Backward Classes Commission 1955, the Advisory Committee (Kalelkar), on Revision of SC/ST lists (Lokur Committee), 1965 and the Joint Committee of Parliament on the Scheduled Castes and Scheduled Tribes orders (Amendment) Bill 1967 (Chanda Committee), 1969.

In exercise of the powers conferred by Clause (1) of Article 342 of the Constitution of India, the President, after consultation with the State Governments concerned, has promulgated so far nine orders specifying the Scheduled Tribes in relation to the State and Union Territories. Out of these, eight are in operation at present in their original or amended form. One order namely the Constitution (Goa, Daman & Diu) Scheduled Tribes Order 1968 has become defunct on account of reorganization of Goa, Daman & Diu in 1987. Under the Goa, Daman & Diu Reorganization Act 1987 (18 of 1987) the list of Scheduled Tribes of Goa has been transferred to part XIX of the Schedule to the Constitution (Scheduled Tribes) Order, 1950 and that of Daman & Diu II of the Schedule to the Constitution (Scheduled Tribes) (Union Territories) Order, 1951.
**Definition of Tribal Areas**

The term ‘Scheduled Areas’ has been defined in the Indian Constitution as “such areas as the President may by order declare to be Scheduled Areas”. Paragraph 6 of the Fifth Schedule of the Constitution prescribes the following procedure for scheduling, rescheduling and alteration of Scheduled Areas.

1. The expression ‘Scheduled Areas’ means such areas as the 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.
   c. Alter, but only by way of rectification of boundaries, any Scheduled Area.
   d. On any alteration of the boundaries of a State on the admission into the Union or the establishment of a new State, declare any territory not previously included in any State to be, or to form part of, a Scheduled Area.
   e. Rescind, in relation to any State or States, any order or orders made under this paragraph, and in consultation with the Governor of the State concerned, make fresh orders redefining the areas which are to be Scheduled Areas. Any such order may contain such incidental and consequential provisions as appear to the President to be necessary and proper, but save as aforesaid, the order made under sub-paragraph (1) of this paragraph shall not be varied by any subsequent order”.

Thus the specification of Scheduled Areas in relation to a particular State/Union Territory is by a notified Order of the President, after consultation with the State Governments concerned. The same procedure will apply while altering, increasing or rescinding any order(s) relating to Scheduled Areas.

2. The criteria followed for declaring an area as Scheduled Area are: or, preponderance of tribal population; compactness and reasonable size of the area; under-developed nature of the area; and marked disparity in economic standard of the people. These criteria are not spelt out in the Constitution of India but have become well-established. They embody principles followed in declaring "Excluded" and 'Partially-Excluded Areas’ under the Government of India Act 1935, Schedule 'B' of recommendations of the Excluded and Partially Excluded Areas Sub Committee of Constituent Assembly and the Scheduled Areas and Scheduled Tribes Commission 1961.

3. In exercise of the powers conferred by paragraph 6 of the Fifth Schedule to the Constitution, the President, after consultation with the State Governments concerned had by Orders called ‘the Scheduled Areas (Part A States) Order, 1950’ and the Scheduled Areas (Part B States) Order 1950’ set out the Scheduled Areas in the States. Further by Orders namely the Madras Scheduled Areas (Cesser) Order, 1951’ and ‘the Andhra Scheduled Areas (Cesser) Order, 1955’ certain areas of the then east Godavari and Visakhapatnam districts were rescheduled. At the time of devising and adopting the strategy of Tribal Sub Plan (TSP) for socioeconomic development of Scheduled Tribes during Fifth Five Year Plan (1974-79), certain areas besides Scheduled Areas, were also found having preponderance of tribal population. A review of protective measures available to the tribals of these newly identified areas vis-à-vis Scheduled Areas was made and it was observed that a systematic use of protective measures and other powers available to the executive under Fifth Schedule will help in effective implementation of the development programs in Sub-Plan Areas. Therefore, in August 1976 it was decided to make the boundaries of the Scheduled Areas co-terminus with the Tribal Sub-Plan areas. Accordingly, Clause (2) of the paragraph 6 of the Fifth Schedule was amended vide the Constitution (Amendment) Act, 1976 to empower the President to increase the area of any Scheduled Areas in...
any State. Pursuant to the above, the President has issued from time to time Orders specifying Scheduled Areas afresh in relation to the States of Bihar, Gujarat, Madhya Pradesh, Maharashtra, Orissa and Rajasthan. The tribal areas in Himachal Pradesh were scheduled on November 27, 1975. While scheduling the areas in Himachal Pradesh the principle of making the sub plan and the Fifth Schedule areas coterminous was kept in view. Thus, presently the Tribal Sub-Plan areas (Integrated Tribal Development Projects/Integrated Tribal Development Agency areas only) are coterminous with Scheduled Areas in the States of Bihar, Gujarat, Himachal Pradesh, Madhya Pradesh, Maharashtra, Orissa and Rajasthan. The State of Andhra Pradesh, where the Tribal Sub-Plan areas are not coterminous with Scheduled Areas, has also furnished a proposal to this effect which is under examination.

The Constitution of India incorporates several special provisions for the promotion of educational and economic interests of Scheduled Tribes and their protection from social injustice and all forms of exploitation. These objectives are sought to be achieved through a strategy known as the Tribal Sub-Plan strategy, which was adopted at the beginning of the Fifth Five Year Plan. The strategy seeks to ensure adequate flow of funds for tribal development from the State Plan allocations, schemes/programs of Central Ministries/Departments, financial and Developmental Institutions. The cornerstone of this strategy has been to ensure earmarking of funds for TSP by States/UTs in proportion to the ST population in those States/UTs. Besides this, the Ministry of Tribal Affairs is implementing several schemes and programs for the benefits of STs.

There are now 194 Integrated Tribal Development Projects (ITDPs) in the country, where the ST population is more than 50% of the total population of the blocks or groups of blocks. During the Sixth Plan, pockets outside ITDP areas, having a total population of 10,000 with at least 5,000 Scheduled Tribes were covered under the Tribal Sub-Plan under Modified Area Development Approach (MADA). So far 252 MADA pockets have been identified in the country. In addition, 79 clusters with a total population of 5,000 of which 50% are Scheduled Tribes have been identified.

In order to give more focused attention to the development of Scheduled Tribes, a separate Ministry, known as the Ministry of Tribal Affairs was constituted in October 1999. The new Ministry carved out of the Ministry of Social Justice and Empowerment, is the nodal Ministry for overall policy, planning and coordination of programs and schemes for the development of Scheduled Tribes.
Fifth Schedule
[Article 244(1)]

Provisions as to the Administration and Control of Scheduled Areas and Scheduled Tribes

Part A - General

1. Interpretation.-In this Schedule, unless the context otherwise requires, the expression “State” does not include the States of Assam, Meghalaya, Tripura and Mizoram.

2. Executive power of a State in Scheduled Areas.-Subject to the provisions of this Schedule, the executive power of a State extends to the Scheduled Areas therein.

3. Report by the Governor to the President regarding the administration of Scheduled Areas.-The Governor of each State having Scheduled Areas therein shall annually, or whenever so required by the President, make a report to the President regarding the administration of the Scheduled Areas in that State and the executive power of the Union shall extend to the giving of directions to the State as to the administration of the said areas.

PART B - Administration and Control of Scheduled Areas and Scheduled Tribes

4. Tribes Advisory Council
   1. There shall be established in 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: Provided that if the number of representatives of the Scheduled Tribes in the Legislative Assembly of the State is less than the number of seats in the Tribes Advisory Council to be filled by such representatives, the remaining seats shall be filled by other members of those tribes.
   2. It shall be the duty of the Tribes Advisory Council to advise on such matters pertaining to the welfare and advancement of the Scheduled Tribes in the State as may be referred to them by the Governor.
   3. The Governor may make rules prescribing or regulating, as the case may be,--
      (a) the number of members of the Council, the mode of their appointment and the appointment of the Chairman of the Council and of the officers and servants thereof,
      (b) the conduct of its meetings and its procedure in general; and
      (c) all other incidental matters.

5. Law applicable to Scheduled Areas.-
   1. Notwithstanding anything in this Constitution the Governor may by public notification...
direct that any particular Act of Parliament or of the Legislature of the State shall not apply
to a Scheduled Area or any part thereof in the State or shall apply to a Scheduled Area or
any part thereof in the State subject to such exceptions and modifications as he may specify
in the notification and any direction given under this sub-paragraph may be given so as to
have retrospective effect.

2. The Governor may make regulations for the peace and good government of any area in a
State which is for the time being a Scheduled Area. In particular and without prejudice
to the generality of the foregoing power, such regulations may- (a) prohibit or restrict the
transfer of land by or among members of the Scheduled Tribes in such area; (b) regulate the
allotment of land to members of the Scheduled Tribes in such area; (c) regulate the carrying
on of business as money-lender by persons who lend money to members of the Scheduled
Tribes in such area.

3. In making any such regulation as is referred to in subparagraph (2) of this paragraph, the
Governor ***.3 may repeal or amend any Act of Parliament or of the Legislature of the
State or any existing law which is for the time being applicable to the area in question.

4. All regulations made under this paragraph shall be submitted forthwith to the President
and, until assented to by him, shall have no effect.

5. No regulation shall be made under this paragraph unless the Governor ***.4 making
the regulation has, in the case where there is a Tribes Advisory Council for the State,
consulted such Council.

PART C - Scheduled Areas


1. In this Constitution, the expression “Scheduled Areas” means such areas as the President
may by order .1 declare to be Scheduled Areas.

2. The President may at any time by order. 2 -
   (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; [(aa). 3 increase the area of any Scheduled
       Area in a State after consultation with the Governor of that State;]
   (b) alter, but only by way of rectification of boundaries, any Scheduled Area;
   (c) on any alteration of the boundaries of a State or on the admission into the Union or
       the establishment of a new State, declare any territory not previously included in any
       State to be, or to form part of, a Scheduled Area;
   [(d) rescind, in relation to any State or States, any order or orders made under this
       paragraph, and in consultation with the Governor of the State concerned, make fresh
       orders redefining the areas which are to be Scheduled Areas;] and any such order may
       contain such incidental and consequential provisions as appear to the President to be
       necessary and proper, but save as aforesaid, the order made under sub-paragraph (1)
       of this paragraph shall not be varied by any subsequent order.

PART D-Amendment of the Schedule

7. Amendment of the Schedule.

1. Parliament may from time to time by law amend by way of addition, variation or repeal any of the
   provisions of this Schedule and, when the Schedule is so amended, any reference to this Schedule
   in this Constitution shall be construed as a reference to such Schedule as so amended.

2. No such law as is mentioned in sub-paragraph (1) of this paragraph shall be deemed to be
   an amendment of this Constitution for the purposes of article 368.
4.2.49 Tribal communities continue to be vulnerable even today, not because they are poor, asset-less and illiterate compared to the general population; but often their distinct vulnerability arises from their inability to negotiate and cope with the consequences of their integration with the mainstream economy, society, cultural and political systems, from all of which they were historically protected by their relative isolation. The requirements of planned development brought with them the dams, mines, industries and roads, all located on tribal lands. With these came the concomitant processes of displacement followed by a conflict between development and protection of tribal rights and interests. Tribal institutions and practices were forced into uneasy co-existence, which paved the way to market or formal State institutions. Also, the tribals found themselves at a great disadvantage in the face of an influx of better equipped outsiders into tribal areas. The repercussions for the already fragile socio-economic sustenance base of the tribals were devastating - ranging from the loss of livelihoods and land alienation on a vast scale to hereditary bondage.

4.2.50 As the tribals grapple with these tragic consequences, a small clutch of bureaucratic programs could do little to resist the precipitous pauperization, exploitation and disintegration of tribal communities. As a result of this, the tribals continue to suffer and bear with a number of ‘Unresolved Issues’ and ‘Persisting Problems’, which require immediate attention of the Government. The following paragraphs explain the seriousness of some of the Unresolved Issues and Persisting Problems:

**Unresolved Issues**

**Displacement of Tribals**

4.2.51 Displacement or forced/voluntary eviction of tribals from their land and their natural habitats and subsequent rehabilitation has been a serious problem that remains to be addressed by the Government. As per the information readily available, a population of 21.3 million have been displaced between 1951 and 1990 in the states of Andhra Pradesh, Bihar, Gujarat, Maharashtra, Madhya Pradesh, Rajasthan and Orissa of whom, 8.54 million (40%) are tribals. Of those only 2.12 million (24.8%) tribals could be resettled, so far. Displacement took place mainly on account of development projects, which include large irrigation dams, hydro-electric projects, opencast and underground coal mines, super-thermal power plants and mineral-based industrial units. In large mining projects, tribals lose their land not only to the project authorities, but even to non-tribal outsiders who converge into these areas and corner both land and the new economic opportunities in commerce and petty industry. The incomplete rehabilitation of the displaced tribals has further compounded their woes as they are pushed into a vortex of increasing assetlessness, unemployment, debt bondage and destitution. Women and children as ever are the worst affected.

**Tribal Land Alienation**

4.2.52 Land is not only the most important productive resource base for the tribals, but also occupies
an important place in their psyche as the mainstay of their social and religious practices. Over a period of time, this resource base of the tribal communities has tended to get eroded not only through acquisition for public purposes but also through fraudulent transfers, forcible eviction, mortgages, leases and encroachments. As per the information available with the Ministry of Rural Development, as many as 4.65 lakh cases of alienation of tribal land covering an area of 9.17 lakh acres were registered in the states of Andhra Pradesh, Assam, Bihar, Gujarat, Himachal Pradesh, Karnataka, Madhya Pradesh, Maharashtra, Orissa, Rajasthan and Tripura in January 1999. Against this, only 2 lakh cases were disposed of in favour of 1.56 lakh tribal families covering an area of 5.31 lakh acres. Of these, the states affected by large scale tribal land alienation include Andhra Pradesh (2.79 lakh acres), Madhya Pradesh (1.58 lakh acres), Karnataka (1.30 lakh acres), and Gujarat (1.16 lakh acres). Various studies have pointed out that the lack of political and administrative will continues to be the cause for perpetuation of the problem of land alienation amongst the tribals as reflected in the reluctance to amend legal provisions and plug the existing loopholes and swift administrative action to identify alienated land, and restoring it to the tribals with delivery of possession.

**Indebtedness**

4.2.53 The problem of indebtedness amongst tribals is not only an indication of their poverty but also reflects the wider economic malaise, i.e., lack of education, low purchasing/bargaining power and lack of resources for engaging in gainful activity and meeting emergent expenditure. Therefore, the problem continues to persist with increasing menace as the indebtedness pushes the tribals further into extreme conditions of poverty and forces them to dispense with their meagre resources, including the small bits and pieces of land to pay off the loans at exorbitant rates of interest. The initiation of commercial vending of liquor in tribal areas has started impoverishing the tribal population, making them victims of indebtedness and exploitation. Although the States and UTs have broadly accepted the Guidelines (relating to the Excise Policy in Tribal Areas, 1975, issued by the Ministry of Social Welfare), effective follow-up action is not taken for their implementation. Under the Fifth Schedule to the Constitution, the Governors of States with Scheduled Areas were given powers for making regulations and for placing restrictions on moneylending activities in the Scheduled Areas. Relevant Laws/Regulations exist in 16 TSP States/UTs to regulate the business of money-lending and to give debt-relief. However, the legal measures to curb the activities of money-lenders and traders have failed to have much impact on the severity of the problem due to the ineffective enforcement machinery and lack of alternative sources of credit for meeting the tribals’ consumption and productive needs. Lack of a sound policy to support consumption credit to tribals has tended to make them dependent on usurious money-lenders, resulting in debt-bondage. The problem of tribal indebtedness often gets aggravated and compounded with the government subsidy-cum-loan schemes which further lead the tribals into deep indebtedness.

**Shifting Cultivation**

4.2.54 Shifting cultivation, which is not ecologically sound, is still being practised by the tribals living on the higher slopes of hilly areas of the country. As estimated, more than six lakh tribal families in the North-Eastern States, Orissa, Andhra Pradesh and Himachal Pradesh practise shifting cultivation on a continuous basis. This shifting cultivation is integrally linked to the tribal economy in the areas where it is practised and their social and economic activities and rituals are also centred around this practice. The problem of shifting cultivation is a very complex one, involving economic, social and psychological aspects of the tribal communities. Although shifting cultivation is one of the prime sources of living for the tribals, yet the same has been severely restricted. The Ministry of Agriculture has been implementing a scheme for control and transformation of shifting cultivation in the North-Eastern States, but the pace of its implementation has been very slow.
Deprivation of Forest Rights

4.2.55 Forests and tribals share a symbiotic relationship. Tribals continue to live in forest areas, though in isolation, yet in harmony with environment. Recognising this dependency, the National Forest Policy, 1988, stipulated that all agencies responsible for forest management should ensure that the tribal people are closely associated with the regeneration, plantation, development and harvesting of forests so as to provide them gainful employment. Despite these special safeguards, tribals continue to struggle for mere survival as they face formidable problems and displacement due to development of national parks and wild-life sanctuaries and other environmental restoration projects, lack of development in forest villages etc. The protection of rights of tribals in forests is key to the amelioration of their conditions.

4.2.56 While the ‘Unresolved Issues’ need to be attended to on a priority basis, the on-going efforts along with new initiatives for empowering the tribals will continue simultaneously with added thrust so as to mitigate the ‘Persisting Problems’ in the critical areas of education, health, livelihood, poverty, vulnerability, violence, unrest etc. so as to accelerate the process of empowering STs towards accomplishing the task of raising their status on par with the rest of society. Prominent amongst such Persisting Problems requiring the most concerted and time-bound efforts, are discussed below:

Persisting Problems

Low Literacy and High Drop-out Rates

4.2.57 Despite the program of Universalization of Primary Education, which has been in effective operation since 1986, the literacy rate of STs remained as low as 29.6%, while the general literacy rate reached 52.2% in 1991. Similarly, the female literacy rate of STs stood at 18.2% which is also much lower in comparison with 39.3% in respect of general category. As the 1991 Census data reveals, there are tribal districts like Koraput in Orissa where the literacy rate of STs is as low as 8.9%, while there are districts like Aizawl in Mizoram with as high as 88.8%. Similarly, there are districts like Jalor in Rajasthan with as low as 0.6% of ST female literacy rate, while Aizawl in Mizoram has female literacy rate as high as 85.7%. Further, the gap between the general population and that of STs was also found to have widened from 19.9% to 22.6% between 1981 and 1991, as discussed earlier. Adding to this are the problems of intra and inter-state/district and inter-community variations in the literacy rates of STs. Although, the drop-out rates have been showing a declining trend amongst STs in Classes I to VIII from 78.6% in 1990-91 to 72.8% in 1998-99, yet the same is still very high, when compared to 60.9% and 56.82% of general categories, respectively for the same years indicating a gap of 17.7 and 16.6%.

Inadequate and Inaccessible Health Services

4.2.58 Although the National Health Policy, 1983 accords high priority to extending organized services to those residing in the tribal, hilly and backward areas as well as to the detection and treatment of endemic diseases affecting tribals, yet the tribals continue to be one of the fragile population, mainly due to their poor health and nutritional status. Tribal health is one of the important areas for action in the health sector. The major contributors to the increased disease risk amongst tribal communities include - i) poverty and consequent under-nutrition; ii) poor environmental sanitation, poor hygiene and lack of safe drinking water leading to increased morbidity from water and vector-borne infections; iii) lack of access to health care facilities resulting in the increased severity and duration of illnesses; iv) social barriers and taboos preventing utilization of available health care services; v) vulnerability to specific diseases like G-6 PD deficiency, Yaws, and other endemic diseases like malaria etc. Also, the tribal population, being heterogeneous, there are wide variations in their health status, access to and utilization of health services.
Nutritional Deficiencies and Diseases
4.2.59 Malnutrition is fairly common amongst the tribals, especially their children and women, debilitating their physical condition and lowering their resistance to disease, leading at times even to permanent brain impairment. As most tribal women suffer from anaemia which lowers resistance to fatigue, this affects their working capacity and increases susceptibility to disease particularly for those having closely-spaced frequent pregnancies. The nutritional status of tribal women directly influences their reproductive performances and the birth weight of their children, which is crucial to the infant’s chances of survival, growth and development. Almost all the tribals in the country do not have a satisfactory dietary pattern as their diets are frequently deficient in calcium, Vitamin A, Vitamin C, Riboflavin and animal protein. The tribals are thus caught in a vicious cycle of malnutrition and ill-health.

Lack of Adequate Irrigation Facilities
4.2.60 Tribals in India primarily depend upon agriculture for their subsistence, which constitutes their mainstay. According to the 1991 Census, 42% of the ST population are main workers. Of these, 54.5% are cultivators and 32.7% agricultural laborers. Thus, more than 87% of the tribal main workers are dependent on agriculture. Further, while 42.9% of the operational holdings of tribals belong to the category of marginal farmers with less than 1 hectare, 24.1% are of small farmers category with 1 to 2 hectares; and only 2.2% STs have large operational holdings with more than 10 hectares. The tribals generally live in most in hospitable terrain and practise shifting cultivation on higher slopes and dry-land cultivation in plains and lower slopes where productivity and output are very low. Lack of proper irrigation facilities, decline in soil fertility, and risks and uncertainties involving damages caused by the wild animals, pests, cyclones, droughts etc. have further deteriorated the agricultural yield. The growing tribal population and the declining agricultural productivity have become a serious threat to the subsistence base of the tribal communities, endangering their self-supporting food security system.

Extreme/Abject Poverty
4.2.61 The impact of various poverty alleviation programs put into action during the last two developmental decades has, no doubt, brought down the poverty levels among STs from 51.94% in 1993-94 to 45.86% in 1999-2000 in rural areas and from 41.14% to 34.75% in urban areas over the same period. But, it is much higher when compared to 27.09% in rural and 23.62% in urban areas in respect of general categories during 1999-2000. Therefore, there has been an increasing unrest amongst the tribals and also in tribal areas in the recent past. Radical/Extremist movements are already operating in some parts of the country; the root cause for all these is the perceived dissatisfaction with the existing conditions and failure to receive benefits and facilities promised to them. Therefore, there is an urgent need to critically review the approach adopted so far for tribal protection and development, and reorient the same, wherever needed, so as to ensure flow of development benefits within a definite time-frame and restore the faith of the tribals in the capability of the government to deliver.

Endangering of Intellectual Rights
4.2.62 Having lived closely with forests and also interacting constantly with various flora and fauna, the tribals have developed invaluable indigenous knowledge. This indigenous knowledge amongst the tribal communities is passed on from generation to generation through the medium of oral tradition, folklore and practice, which find a place in various life-cycle events including treatment of diseases/ailments, without any codified text or rights to accredit their legitimate ownership. As tribal communities have a very close dependence on biological resources, their
livelihood and life-style often depend upon and are shaped by these resources. Therefore, their survival and sustenance is closely linked to conservation and utilization of these resources. Corporate protectionism in terms of patents and Intellectual Property Rights arising out of various international treaties/instruments on trade and common property resources such as the Trade Related Aspects of Intellectual Property Rights (TRIPS) under the World Trade Organization (WTO) represents a real threat to economic livelihood of these communities. They are also a source of potential exploitation of the tribal resource base as bio-diversity expressed in life forms and knowledge is sought to be converted into private property and treated as an open access system for free exploitation by those who want to privatise and patent it. There is an urgent need to provide appropriate legal and institutional arrangements for recognising and acknowledging the rights of tribal communities to such resources and knowledge.

**Crimes/Atrocities against STs**

4.2.63 As per the National Crimes Record Bureau, New Delhi, the number of crimes against STs indicated a decline from 4,644 in 1997 to 4,450 in 1999. However, although the share of crimes committed against STs remained the same in 1997 and 1998 at 0.07%, yet, it showed a contrary trend with an increase to 0.09% in 1999. The number of crimes attracting the provisions of Special Legislations of the Protection of Civil Rights (PCR) Act, 1955 and the Scheduled Castes and the Scheduled Tribes Prevention of Atrocities (POA) Act, 1989 has shown an increase from 731 in 1997 to 759 in 1998 and a decline to 619 in 1999. Further, though there was a decline in the number of crimes committed against STs in 1999, the number of violent crimes viz., murder, rape, hurt, dacoity, robbery, arson etc. have registered a steady increase from 491 in 1997 to 511 in 1998 and to 577 in 1999. The increase in the number of crimes against STs has been continuing, despite effective enforcement of Special Legislations and existence of 118 Special Courts in 12 states to deal with the cases exclusively related to STs.

**Neglect of Forest Villages**

4.2.64 As the 5,000 identified Forest Villages are located in the remote interiors, and are declared revenue villages, the 2.5 lakh families who inhabit these villages are deprived of even the basic minimum services available to residents of Revenue Villages. While the forest resource base, on which inhabitants traditionally depended, is fast eroding and adversely affecting the very survival of the tribals, alternative sources of income extended through the implementation of various social forestry activities by the Department of Forests are also not ensured throughout the year. Some of the major problems faced by the Forest Villages include lack of infrastructure facilities viz. approach roads, electricity, drinking water, schools, hospitals, and irrigation tanks; lack of fair price/food-grain shops; lack of stable land tenure system; and lack of proper credit facilities and bank loans as the villagers do not have the papers related to the land which are necessary in getting the loans sanctioned. This is due to the fact that the land has the status of Reserved Forests attracting the Indian Forest Act, 1927 and especially the Forest (Conservation) Act, 1980; and the departmental rivalry between the Forest and Revenue Departments resulting in the exploitation and negligence of Forest Villages.

**Extinction of Primitive Tribal Groups**

4.2.65 The Government of India identified 75 tribal communities as Primitive Tribal Groups (PTGs) with a total estimated population of 1.32 million in 1991 spread over 15 States/UTs. There is a marked difference between the conditions of the relatively advanced tribal groups and the PTGs. As they live in the most interior and inaccessible forests, they are subjected to extreme backwardness, when compared to the other tribals. A decline in their sustenance base and the
resultant food insecurity, malnutrition and ill-health force them to live in the most fragile living conditions and some of them are even under the threat of getting extinct. Prominent examples in this context are the Bay-Islanders like the Great Andamanese, Shompens, Jarawas, Sentinelese of the Andaman & Nicobar Islands. Even some of the mainland groups which can be cited in this context like the Bondos of Orissa, Cholanaickans of Kerala, the Abujhmarias of Chhattisgarh, the Birhors of Jharkhand are also dwindling. As adequate information on the demographic, educational, health and economic aspects of individual primitive tribes is not available, immediate steps need to be taken for building up a comprehensive information/data base on PTGs and wherever necessary to conduct intensive studies and prepare detailed Status Reports. This should eventually form the basis for need-based planning to improve their conditions.

Ineffective Implementation of PESA, 1996

4.2.66 There is no doubt that the 73rd and 74th Constitutional Amendments of 1993 followed by their extension to Scheduled Areas through the Panchayats (Extension to the Scheduled Areas) PESA Act, 1996, are landmark achievements in conferring powers and authority to the Panchayats and Gram Sabhas. But, unfortunately, the same are not being enforced in the right spirit, as the PRIs are yet to stabilise on a firm footing. The State Governments should, therefore, take appropriate measures immediately to translate the legislation into reality so that tribals will have full say in their own affairs.

Routinized Mechanism of TSP

4.2.67 The special strategy of Tribal Sub-Plan (TSP) has been under implementation since 1975 both at the central and state levels with the objective of ensuring that the benefits from various developmental sectors do not by-pass STs and accordingly funds, in population proportion, are earmarked for the development of STs. Only 25 Central Ministries/Departments and 20 States/UTs, have been earmarking funds for TSP. Despite repeated suggestions to the State Governments to adopt the Maharashtra Model of resource allocations and utilization, not many states have done so far. In Maharashtra, funds under TSP are pooled under the administrative control of the nodal state department in-charge of tribal development and utilised in the identified/needy areas. The strategy of TSP, as is implemented, has also become very much routinized. Thus, its impact on improving the conditions of STs is not being felt.

Approach to the Tenth Plan – Path Ahead

4.2.68 In the context of the above-mentioned Unresolved Issues and the Persisting Problems becoming not only a challenge of the day, but also getting manifested into movements of tribal unrest, the best approach to the Tribal Development in the Tenth Plan will be to tackle these Issues and Problems on a time-bound basis, besides providing adequate space and opportunity for the tribals to empower themselves with the strength of their own potentials. Thus, the Tenth Plan approach towards ‘Resolving the Unresolved Issues’ and ‘Solving the Persisting Problems’ will be as follows:

A Plan of Action for PTGs

The Government of India identified 75 tribal communities as Primitive Tribal Groups (PTGs) with a total estimated population of 1.32 million in 1991, spread over 15 States/Union Territories based on a four-point criteria viz. - i) smallness in size and diminishing in number; ii) backwardness and isolation; iii) use of pre-agricultural technology; and iv) very low literacy.

As the PTGs live in more interior pockets which are generally inaccessible and with declining sources of sustenance, they become more vulnerable to hunger/starvation, malnutrition and ill-health. Some of them are even on the verge of extinction. They include Shompens, Jarawas, Sentinelese of the Andaman and Nicobar Islands; Bondos of Orissa, Cholanaickans of Kerala, the Abujhmarias of Chhattisgarh; and Birhors of Jharkhand. To save these Groups, what is required is the preparation of a National Plan of Action for their ‘Survival, Protection and Development’.
I. Resolving the Unresolved Issues

4.2.69 Displacement of tribals and their rehabilitation being a matter of great concern, the Tenth Plan will try to expedite the finalization of the National Policy for Rehabilitation of the Displaced Persons with a special focus on the displaced tribals, ensuring that there is no deterioration in their living conditions by providing them ‘land for land’ and ‘item for item’ – last possessed before displacement. Further, towards protecting the interests of the tribals who are under the threat of displacement, effective steps need to be ensured as per the provisions of the Fifth Schedule to the Constitution on Scheduled Areas and the PESA Act, 1996.

4.2.70 Taking note of the most devastating impact of the growing incidence of tribal land alienation and the present day serious situation, the Tenth Plan accords high priority to prevent the same and restore the alienated land to the tribals and, if possible, to put a total ban on the transfer of tribal land to non-tribals or even to the Government in accordance with the Supreme Court’s judgement in the Samatha vs. State Government of Andhra Pradesh and Others case 1997, whereby restrictions are imposed on transfer/leasing of land in Scheduled Areas to non-tribals or the Government for mining purposes. To this effect, efforts of the Tenth Plan will be towards maximizing the effects of the provisions of the Fifth Schedule relating to direct interventions by the respective State Governors, either individually or collectively. The Tenth Plan will also endeavor to revive the earlier practice of not only submitting the Reports on the governance of the Scheduled Areas and the well-being of the tribals living therein in pursuance of the Fifth Schedule, but also the follow-up action on the recommendations of those Reports. If necessary, steps will also be taken to amend the legal provisions for plugging the existing loopholes, take swift administrative action in identifying the alienated land and restoring it to the tribals with delivery of possession and ownership rights.

4.2.71 In addition, efforts will also be made to persuade all the concerned State Governments to bring forth necessary amendments in their existing laws and regulations concerning tribal land to ensure - i) total ban on transfer of tribal land to non-tribals; ii) stringent penal provisions for non-tribal persons found in possession of tribal land once restored; iii) land alienation laws to cover non-Scheduled Areas; iv) effective machinery for quick disposal of cases and restoration of land possession; v) strengthening of traditional tribal Panchayats/councils with adequate legal awareness and legal aid provisions; vi) constitution of committees with tribal representatives to review the projects involving land alienation where it becomes inevitable, and the resultant rehabilitation of the affected tribals; and vii) awareness generation and legal aid for the implementation of legal provisions concerning land alienation.

4.2.72 In view of the vicious cycle and the crisis syndrome of indebtedness/debt-bondage that the tribals are subjected to, efforts in the Tenth Plan will be to enforce effectively all the legal/protective measures along with the provisions and powers bestowed upon the Governors under the Fifth Schedule of the Constitution. Besides enforcing the protective legislation in preventing tribal indebtedness, there is also a need for improving the economic lot of the tribals simultaneously, through employment-cum-income-generation activities and productive asset endowments. Further, efforts of the Tenth Plan will be to persuade those States/UTs which are yet to enact necessary legislations to prevent the extortion by money lenders, besides amending the existing legislations, if necessary, to plug the loopholes in the existing legislations as per the legal framework provided under Para 5(2)(c) of the Fifth Schedule and relevant Sections of the PESA Act, 1996 with clear-cut stipulations on the interest rates to be charged and the manner of payment of loans, recoveries etc.

4.2.73 As agriculture continues to remain the primary economic occupation of tribals, the Tenth Plan will endeavor to boost agricultural production in tribal areas through effective operationalization of the National Water Policy and improve the extension of irrigation facilities. There will be a special
Towards empowering tribals, the major Approach in the Tenth Plan will be to ‘Resolve the Unresolved Issues’ and ‘Solve the Persisting Problems’ through continuing the on-going 3-pronged strategy of – i) Social Empowerment; ii) Economic Empowerment; and iii) Social Justice, as detailed below:

- **Resolving the Unresolved Issues through:**
  - Taking effective steps to prevent the serious problem of displacement of tribals and ensuring their effective rehabilitation through a laid-down Rehabilitation Policy
  - Taking effective steps to prevent the growing incidence of tribal land alienation and restoration of alienated land to the tribals in accordance with the provisions of the Fifth Schedule - Effective enforcement of existing legal/protective measures along with the provisions made under the Fifth Schedule to prevent tribal indebtedness, bonded labor and other exploitation - Involving tribals, especially those engaged in shifting cultivation, closely and gainfully in joint forest management, social forestry, agro-forestry etc. and facilitate rightful collection and gainful disposal of minor forest produce (MFP) and other produce
  - Strengthening the grassroot democratic institutions viz., PRIs and Gram Sabhas as per the provisions of 73rd and 74th Amendments and PESA Act, 1996

- **Solving the persisting problems through:**
  - Providing basic minimum services viz. food, nutrition, safe drinking water, primary health care, education, safe environment, productive assets at least at the level of survival and sustenance with a special focus on women, children and PTGs - Promoting educational development among the tribals especially through reducing drop-out rates and encouraging enrolment/retention with a special focus on women and the girl child - Making education relevant and suitable to their milieu, local situations and functional needs besides vocationalization of education to equip the tribal youth with the most wanted technical knowledge and upgradation of skills - Developing Forest Villages, on priority basis, by ensuring basic infrastructure and with basic minimum services for those tribes living therein - Ensuring food and nutrition security so as to prevent deficiency diseases due to hunger, undernutrition, starvation and malnutrition through expansion of the on-going programs of Supplementary Nutrition Program, Integrated Child Development Services, Mid-Day Meal, Targetted Public Distribution Scheme and Village Grain Banks - Review and reform of the working of the financial and other support mechanisms (NSTFDC, TDCCs, TRIFED etc.) not only to function as self-reliant institutions but also to maximize their efforts in accomplishing economic development amongst tribals in real terms - Effective implementation of the Indian Penal Code, the PCR Act and the SC/ST (Prevention of Atrocities) Act, in order to protect the rights and interests of the tribals and ensure their safety and security - Effective and meaningful implementation of the special strategies of SCP and TSP both at central and state levels and ensuring operational optimization/maximization of ITDPs.

Moreover, efforts will be made to ensure that the rights of ITDPs continue to be protected and that they participate actively in decision-making processes. This includes strengthening the grassroots democratic institutions and ensuring their effective rehabilitation through a laid-down Rehabilitation Policy. Strengthening the grassroot democratic institutions viz., PRIs and Gram Sabhas as per the provisions of 73rd and 74th Amendments and PESA Act, 1996, will be emphasized.

In conclusion, the Tenth Plan will adopt an effective strategy which takes into account the perspectives of the tribals as well as the environment. The Tenth Plan will continue to focus on promoting tribal economy, ensuring survival and sustenance, and ensuring meaningful participation of tribals in decision-making processes.

4.2.74 While recognising the deep-rooted relationship between tribals and forests, the National Forest Policy, 1988, has already articulated the protection of the interests of tribals as much as that of the forest and the forest environment. Therefore, the Tenth Plan will adopt an effective strategy which takes into account the interests of the tribals as much as that of the forest and the forest environment. Therefore, the Tenth Plan will adopt an effective strategy which takes into account the interests of the tribals as much as that of the forest and the forest environment.
interests of the tribals are protected and linked with the bio-diversity and environment restoration projects viz., JFM, Social Forestry, Agro-Forestry, etc.

II. Solving the Persisting Problems

4.2.75 The basic necessities for a normal living viz. – food and nutrition, safe drinking water, education, health care and productive assets, at least at the level required for survival and sustenance could not be assured for the tribals even till today due to obvious reasons like physical isolation and lack of social and economic ability to avail of/acquire these basic minimum needs. Therefore, the tribals, especially women and children, are subjected to deprivation and consequential hazards of backwardness. Hence, efforts in the Tenth Plan will be not only to identify the priority groups requiring the basic needs and living in different geographical regions with varied socioeconomic conditions, but also to attend to the same in an accelerated manner with added inputs in solving the persisting problems on a time-bound basis.

4.2.76 Keeping in line with the general approach narrated above, the Tenth Plan will initiate action to give a boost to the on-going programs in both the tribal-specific and tribal-related Ministries/Departments, as per the details given below:

4.2.77 Education being the most effective instrument for empowering the tribals, all out efforts will be made to improve their educational status, especially that of the tribal women and the girl child. Introduction of certain innovative components relevant to the tribal milieu and genius under the on-going programs will be one of the measures during the Tenth Plan. Vocationalization of education at high school/higher secondary level will be given high priority so that the local youth can be kept gainfully engaged with the technical know-how gained through advanced technology. In view of the impediments faced in reaching the educational facilities to the remote areas, efforts will be made to mobilise the local resources to develop educational infrastructure, besides utilising the services of the educated local tribals. Special efforts for improving the educational status of PTGs and the tribals living in the Forest Villages will also be attempted through residential schools, mobile schools and community-based educational programs. Efforts will also be made towards developing teaching material and instruction medium in tribal languages/dialects up to primary level, so as to help the tribal children feel at ease to understand what is taught.

4.2.78 Health being the fundamental requirement for the tribals to survive, especially for PTGs, special strategies with preventive-cum-curative-cum-remedial measures with improved extension of health knowledge, infrastructure, immunization services will be adopted during the Tenth Plan. These strategies will have a special focus on PTGs and Forest Villages. Indian System of Medicine and other alternative medicinal systems, especially the indigenous medicines and the traditional knowledge and methods of healing will be encouraged in attending to the health needs of tribals. Further, primary health care services in tribal areas will be extended by involving local NGOs to cover all terrains in all seasons with a special focus on women, children and PTGs. Also special schemes in close collaboration with the Department of ISMH will be developed to involve tribals not only in preserving/growing medicinal plants, but also in processing the much wanted indigenous medicines.

4.2.79 Food and nutrition security is of vital importance for survival as well as for good health of the tribals, especially that of PTGs as some of them are getting extinct due to hunger, starvation and malnutrition. Therefore, special efforts will be made to reach the programs of Special Nutrition Program (SNP) through ICDS, for children below six years, expectant and nursing mothers, Mid-Day Meals for school-going children and Targeted Public Distribution System to strengthen the household food security to the tribals living in far-flung remote areas and especially PTGs. Opening of Mini-Anganwadis on a large scale with much relaxed norms and enriched expansion of Village Grain Banks are some of the practical strategies to ‘Reach the Unreached’. The most vulnerable PTGs and
tribals living in the forest villages will be assured of total food security through supply of food grains under PMGY and SGRY. Further, efforts will also be made to cover all the Scheduled/Tribal Areas under the Expanded Program of Grain Banks for Tribal Areas recently announced by the Prime Minister and thus ensure food security in all the tribal areas during the Tenth Plan period.

4.2.80 To protect the tribals from the adverse effects of the on-going liberalization and globalization, promotion of activities of national, multi-national and trans-national corporations will be attended to very cautiously. Keeping in view the special interests of the tribals, viz., their habitat, resource-base and Intellectual Property Rights, especially with regard to indigenous medicines, every precaution will be taken in granting patent rights so that the very existence of the tribals and their traditional knowledge are not exploited by modern economic activities. To protect the indigenous knowledge of tribals – with regard to their ‘properties’ and ‘application’ - including methods of cultivation, conservation, collection, utilization, treatment/processing methods and techniques – acquired through the generations, the Tenth Plan will initiate action on priority basis for providing a legal and institutional framework to recognize/acknowledge the Intellectual Property Rights of tribals to such resources and knowledge and accord these communities legal recognition and protection of their ownership rights. Necessary measures will also be taken urgently in view of the fast depleting bio-diversity, large-scale bio-piracy and exploitation of tribal people by commercial agencies.

4.2.81 Further, economic empowerment of the tribals will be promoted through employment-cum-income-generation activities with the ultimate objective of raising them above the Poverty Line. All agencies working for prevention of their exploitation by middlemen and promoting self-employment and income-generating activities including the tribal-specific and tribal-related Corporations and Cooperatives especially NSFDC and TRIFED will be strengthened and streamlined further to make them more effective in improving the economic conditions of the tribals. While making these Corporations function as viable, sustainable and economically self-reliant, they will also be made to develop both forward and backward linkages to extend credit and marketing facilities through the medium of Self-Help Groups (SHGs). To this effect, cultivation and production of indigenous herbal medicines, which have a growing demand in the foreign market will be promoted in the tribal areas by involving the tribals themselves and thus preserve their Intellectual Property Rights. While the tribals and their forest eco-system will be put to gainful use for producing qualitative indigenous herbal medicines, the existing Tribal Corporations will be made to function as supporting mechanisms for providing all the necessary marketing facilities, especially in the export market.

4.2.82 The major strategy of creating employment-cum-income-generation activities to alleviate poverty amongst STs has proved its impact in raising a large number of ST families above the level of Poverty Line. Therefore, special efforts will be made in collaboration with the Department of Rural Development to provide employment and income-generation opportunities, especially to those living below the Poverty Line either through wage or self-employment avenues, for a minimum period of 300 days a year to raise their economic status and thus liberate them from the shackles of poverty and indebtedness. In this direction, the Tenth Plan will also endeavor to link up micro-credit both for self-employment ventures and consumption credit, when no work opportunities are available. Both the National and the State Tribal Development Corporations will take the lead not only in promoting employment-cum-income-generation activities, but also in developing both ‘forward and backward’ linkages to ensure sustainable source of income especially during the lean period.

4.2.83 As the increasing incidence of crimes/atrocities against STs has proved to be detrimental to their development, the Tenth Plan takes special cognisance of this fact and initiates action to reactivate the enforcement machinery to ensure effective implementation of Special Legislation viz. the SC & ST (Prevention of Atrocities) Act of 1989 which was specially enacted to protect
these vulnerable groups by extending more stringent punishment than provided under IPC. The Comprehensive Rules framed under the SC/ST (Prevention of Atrocities) Act, 1995 will continue to provide relief and rehabilitation to the affected persons. Efforts will also be made to involve NGOs as authorised agencies to act as informants besides helping the victims with various procedures, right from filing the First Information Report. Steps will also be taken to spread the legal literacy through simple and illustrated versions in regional languages in order to educate the STs about their rights and privileges, besides the legal sanctions.

4.2.84 As the Forest Villages and the people living therein are denied even the basic minimum services, the Tenth Plan will take up the development of these villages, on a priority basis. These villages will be provided benefits/services just as in the case of Revenue Villages, besides a package of basic minimum services viz. food, safe drinking water, health care, primary education, approach roads and other infrastructural facilities. The Department of Forests will be made responsible for attending to the specific needs and problems of the Forest Villages and the tribals living there. Further, the Tenth Plan will attempt for the first time, to launch a Special Training Program to sensitize the staff of the Forest Department, besides developing effective linkages to coordinate and converge not only the services, but also the men and machinery for the benefit of tribals.

4.2.85 Taking note of the precarious conditions of a majority of PTGs, the Tenth Plan will set as its first priority the preparation of a National Plan of Action (NPA) for the survival, protection and development of PTGs, in consultation with the State Tribal Research Institutes (STRIs) and experts on the subject. Keeping in view the sociocultural conditions and special needs of the PTGs, the proposed NPA will have an in-built flexibility with sub-plans to cater to the specific needs of each such tribe and its environment, besides ensuring the basic minimum services. Also, the on-going scheme for the development of PTGs will be expanded with effective involvement of voluntary organizations. If possible, the scheme will be revised to extend a package of basic minimum services along with income-generation activities. The priority services will include health care, immunization, drinking water supply, nutrition, shelter etc. to save those PTGs which are facing extinction.

4.2.86 Notwithstanding the shortcomings in the implementation of the Tribal Sub-Plan Strategy, efforts in the Tenth Plan will be to motivate and gear up all the concerned Ministries/Departments both at the central and state levels to play their due roles meaningfully in the socio-economic development of the tribals through effective earmarking of funds/benefits, not merely on the basis of the proportion of tribal population, but on the basis of their actual needs. Also, the support mechanisms and institutions such as Integrated Tribal Development Projects (ITDPs), Integrated Tribal Development Agencies (ITDAs) and PRIs, Gram Sabhas will be activated with all the necessary support of both technical and manpower resources to perform their role effectively in bringing about the most wanted socio-economic development/empowerment of tribals. In this context, rationalization of the Scheduled Areas in states having Scheduled Areas and declaration of tribal majority areas as Scheduled Areas in other states will be contemplated in the Tenth Plan so that the benefits of the Fifth Schedule in respect of providing effective protection and promoting development through economic programs under the TSP is also ensured to those who are not covered so far. The administrative reorganization of the TSP areas in general will also be taken up, so that there are viable administrative units through which the protective measures and developmental programs can effectively be implemented.
4.2.87 The Special Central Assistance (SCA) will continue to be provided to supplement the overall Plan efforts of the states only after due assessment of its financial situation and the needs of development. While designing and implementing development programs including family-oriented programs under SCA to TSP, care will be taken to ensure that differences within the community are not allowed to grow and an egalitarian structure of the community is maintained. Also, every effort will be made to ensure that the SCA to TSP is never diverted or misutilized.

4.2.88 The Tenth Plan recognizes the need for a separate Personnel Policy for Tribal Areas to ensure that all the officers and the staff who are posted with the Ministries/Departments and those handling the welfare/development work of STs elsewhere, should necessarily undergo, as a prerequisite, sensitization training programs at the STRIs and other Academies to develop professionalism in tribal development. This would also enable them not only to develop empathy for the tribal community, but also to function more effectively. Further, the Policy should be able to prescribe mandatory postings with a minimum number of years and incentives and disincentives for working and not working in a tribal area.

4.2.89 Keeping in view the prominent and productive role of women in tribal society, special focus will be given to enhance their capacity in the society and surrounding environment by taking effective steps to improve their status, in addition to the steps already proposed under education, health and nutrition sectors, through - i) promoting leadership role in JFM; ii) issue of Joint Pattas in the name of both husband and wife; iii) protecting the rights of tribal women in the customary laws regarding share in property and obligations to look after their interests and to enforce the same with the help of the community and social sanctions; iv) training of tribal women to take up leadership role and occupy elected posts in PRIs to ensure that the appropriate proportion of seats are reserved/occupied and the interests of tribal women are taken care of; v) legal and administrative measures to check the practice of victimizing women suspected of witchcraft, along with a massive campaign for social awareness and rehabilitation of victimised women, preferably through women’s organizations; vi) effective legal and rehabilitative measures to check sexual exploitation of tribal women, especially the migrant women at work place; vii) organising poor and assetless tribal women into SHGs for accessing micro-credit and income-generation activities; viii) opening of sale outlets to make essential commodities and other raw materials required in their day to day life easily accessible; and ix) flow of population-proportionate percentage of benefits to tribal women from the women-specific/women-related Ministries/Departments of Women and Child Development, Education, Health and Family Welfare, Rural Development, Labor etc.

4.2.90 To ensure survival, protection and development of the tribal children, concerted efforts will be made to expedite coverage of ICDS in all the Tribal Development Blocks/Tribal Pockets and Habitations all over the country. The innovative concept of ‘Mini-Anganwadis’ specially adopted in 1997 with the sole objective of ‘Reaching the Unreached Tribal Pockets’ will receive special thrust during the Tenth Plan. Keeping in view the human resource development potentials of the tribal youth - both girls and boys - steps will be taken to extend job-oriented education/training with the objective of utilising their services for the good of their own community. This would also help reduce the problem of non-availability of officers/workers to serve in the tribal areas viz. Indigenous Health Workers, Trained Ayahs, Auxiliary Nurse Midwives, Primary School Teachers, etc.

4.2.91 The landmark achievement of the 73rd and 74th Amendments to the Constitution in 1993 and the enactment of the Panchayats (Extension to the Scheduled Areas) Act, in 1996, has brought forth a definite shift in the strategy of the Government to bring the people, especially the tribals into the main arena of planning and implementation of various development programs. This, in fact, acts as the means for achieving social justice and empowerment of tribals at the very grassroot levels where their life and activities operate and their communities
function. Therefore, strengthening, authorizing and empowering the grassroots democratic institutions viz. Panchayats and Gram Sabhas in line with the Constitutional provisions, will be the basic premise on which the Tenth Plan approach would operate upon. Thus, Gram Sabhas/Panchayats will become the basic units of planning and operation of every welfare and development activity, besides functioning as the authorized custodians of tribals and their rights.

4.2.92 Also, through the PESA Act, 1996, the Fifth Schedule Areas will be effectively brought under the Panchayati Raj System with specific powers and responsibilities to Gram Sabhas so as to ensure closer and effective participation of the tribals in their own development by harmonizing with their own culture. The Gram Sabhas as the institutions of self and good governance will effectively be given functional powers by the concerned State Governments by passing necessary legislations to legitimise the tribal people’s involvement in the process of their own empowerment as active participants rather than passive beneficiaries. For implementing projects in the North Eastern region successfully, traditional institutions like the Village Durbar in Khasi Hills, Village Councils of Nagas, Awunga of Thangkhuls, Kebang and Moshup of Adis, Mulijum of Khamtis, Morung and Nuthum of Noctes, etc. will be involved effectively, along with the dedicated NGOs.

4.2.93 As the empowerment of tribals goes beyond the existing framework of the welfare and development, the efforts of the Central and State Governments will be to adopt both effective and innovative strategies/action plans by involving the tribal people and their institutions at all levels and the executive governmental agencies in a synchronizing manner. Consultation with the tribal people before taking decisions about their welfare and development will, therefore, become a functional pre-requisite for ensuring both acceptance/involvement of the tribal people besides effective implementation of programs towards empowering them.

4.2.94 Finally, the absence of a laid-down national policy for empowerment of tribals has been the most obvious missing link and also a big gap in the planning process of empowering the tribals. Therefore, the efforts of the Tenth Plan will be to expedite the process of formulating a ‘National Policy for Empowering the Tribals of India’. No doubt, the pronouncement of a National Policy with set objectives and timebound targets will definitely activate all the concerned to maximize their efforts with a much clearer vision and direction towards achieving the Constitutional commitment of raising the status of tribals at par with the rest of the society.

4.2.95 For effective implementation of the proposed Policy, a National Plan of Action (NPA) also needs to be formulated by taking into consideration all the tribal-specific issues viz., high rates of illiteracy; health and nutritional deficiencies; lack of employment, and income-generation opportunities; lack of basic amenities like - housing, drinking water, sanitation, communication linkages; land alienation; indebtedness; social exploitation through debt bondage (bonded labor)/migrant labor; displacement; tribal unrest etc. Thus, the proposed NPA would require to specify clearly the sector-wise Action Points along with allocations required, agencies responsible, the time-frame set, mechanisms for implementation and monitoring etc.
Research, Evaluation and Monitoring

4.2.96 Research and Evaluation, both at the central and state levels, has been an on-going activity in the field of Tribal Development. At the centre, while the research and evaluation studies are being carried out through various Universities/Colleges and through some independent agencies, at the state level, the STRIs located in 14 major states have been actively engaged in diagnostic research on various problems related to tribals. As the state of affairs in the existing Research Institutes is not very encouraging, the Tenth Plan will commission a review of the working of all the 14 STRIs and attempt to reactivate these Institutes, especially those which are not carrying on the duties and responsibilities originally entrusted to them.

4.2.97 As monitoring has been the weakest link in the whole process of Tribal Development, the Tenth Plan will attempt to develop an Information Network System in collaboration with National Informatics Centre (NIC) through which a regular flow of information is ensured both vertically and horizontally on the implementation of all the Tribal Development schemes, especially the two mechanisms of TSP and SCA to TSP. The Central Tripartite Committee set up at the centre and the State Committees, which are now coming up, will have to work in close coordination to ensure that funds released under SCA to TSP and under Article 275(1) are utilised properly and with no diversions. Thus, the Tenth Plan will take the responsibility of streamlining the on-going activities of research, evaluation and monitoring of Tribal Development.

Implementing Mechanisms

4.2.98 The exclusive Ministry of Tribal Affairs set up in 1999, as mandated, will continue to play the role of a nodal Ministry in ensuring the wellbeing of STs. In executing this special task, it will continue to receive assistance from the National Commission for SCs and STs which will be reactivated to act as a watch-dog and keep a close vigil on the protection of the rights and interests of tribals besides investigating into the individual complaints. While an exclusive National Finance and Development Corporation for STs has already come into action in 2001, the Tenth Plan may also see, if necessary, the emergence of an exclusive National Commission for STs. The National Scheduled Tribes Finance and Development Corporation along with the State-level Tribal Development Corporations will continue to assist the Ministry in supporting various income and employment-generating activities for the economic betterment of the tribals. Towards strengthening the state sector, efforts for empowerment of tribals through setting up of exclusive Departments and Directorates for Tribal Development in all the states, will be contemplated in the Tenth Plan.

Voluntary Action

4.2.99 Recognising the catalytic role played by the Voluntary Organizations in the upliftment of STs, one of the major strategies in the Tenth Plan will be to promote voluntary action in the far-flung and inaccessible tribal areas, as voluntary organizations are the only medium to reach the unreached and experiment/develop alternative models to match the local tribal people and their needs. The Voluntary Organizations will be encouraged in the functional areas of education, health, nutrition, women and child development, awareness generation, environment, human rights, employment generation, techno-vocational training, promotion of cooperatives, culture and sports, strengthening traditional Panchayats and social values to assist in countering militancy and promote national integration etc. with necessary safeguards and with a particular focus on those areas, where voluntary action is still thinly spread.
4.2.100 A total outlay of Rs. 1,754 crore (which excludes Rs. 2,500 crore as SCA to TSP and Rs. 1,500 crore as GIA under Article 275(1), subject to changes) has been earmarked in the Central Budget of the Ministry of Tribal Affairs in the Tenth Plan. In preparation of the Tenth Plan, special efforts were also made to ensure the effective distribution of the otherwise limited resources through the application of Zero Based Budgeting (ZBB). This has brought down the number of the on-going schemes of the Ninth Plan from 25 to 14 (10 Central Sector and 4 Centrally Sponsored Schemes) for empowering the Tribals in the Tenth Plan. A Statement reflecting the final outcome of the application of ZBB and the share of 14 schemes in the total Tenth Plan outlay of the Ministry is given in the Appendix. In addition, tribal development programs receive plan financial support from the state sector also.

Voluntary Organizations (VOs) have been playing a very important role in sharing the responsibility of the Government in ‘Reaching the Services to the Unreached’ in far-flung inaccessible areas and in developing and experimenting alternative project models to match the needs of the local people. Voluntary Organizations are effective agents in bringing forth the most desired social change and development by virtue of their direct contact and linkages with the tribals. VOs will, therefore, be encouraged to play an effective role in improving the status of tribals in the areas of education, health, nutrition, employment and income-generation, besides sensitizing the administrative machinery and conscientizing the tribals to realize their rights and potential besides safeguarding them from social and economic exploitation.
## Scheme-wise break-up of Tenth Plan (2002-07) outlay of Ministry of Tribal Affairs

(Rs. in crore)

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* Worked out on the basis of the allocation made in the Annual Plan for the year 2002-03. But the same can be changed based on the year to year allocation.
* Not included as the funds under these two schemes are being released to States/UTs as Special Central Assistance (SCA) through the Ministry of Tribal Affairs.
@ The Scheme was common for SCs and STs under the M/SJ & E upto 1999-2000.
Annexure 8

National Policy on Education

Educational policy and progress have been reviewed in the light of the goal of national development and priorities set from time to time. In its Resolution on the National Policy on Education in 1968, an emphasis on quality improvement and a planned, more equitable expansion of educational facilities and the need to focus on the education of girls was stressed.

The National Policy on Education was formulated in 1986 and further updated in 1992. The NPE 1986 provides for a comprehensive policy framework for the development of education up to the end of the century and a Plan of Action (POA) 1992, assigning specific responsibilities for organizing, implementing and financing its proposals.

Policy Framework

India’s commitment to the spread of knowledge and freedom of thought among its citizens is reflected in its Constitution. The Directive Principle contained in Article 45 enjoins that “the State shall endeavor to provide within a period of ten years from the commencement of this Constitution, for free and compulsory education for all children until they complete the age of fourteen years”. Article 29 (i) provides that any citizen having a distinct language, script, special care of the economic and educational interests of the underprivileged sections, particularly, the Scheduled Castes and Scheduled Tribes is laid down as an obligation of the State under article 46.

Though education is in the concurrent list of the Constitution, the State Governments play a very major role in the development of education particularly in the primary and the secondary education sectors.

Structure and Progress of Education in India

The focus is on the broad dimensions and magnitude of the structure, organization and progress in education. Further it also highlights growth and priority areas in education in India that point to the challenges of the future. There are about 888 thousand educational institutions in the country with an enrolment of about 179 million. Elementary Education System in India is the second largest in the world with 149.4 million children of 6-14 years enrolled and 2.9 million teachers. This is about 82% of the children in the age group.

Structure of School Education

A uniform structure of school education, the 10+2 system has been adopted by all the States and Union Territories of India. However, within the States and the UTs, there remain variations in the number of classes constituting the Primary, Upper Primary, High and Higher Secondary school stages, age for admission to class I, medium of instruction, public examinations, teaching of Hindi
and English, number of working days in a year, academic session, vacation periods, fee structure, compulsory education etc.

**Stages of School Education in India**

**A.** The primary stage consists of Classes I-V, i.e., of five years duration, in 20 States/UTs namely Andhra Pradesh, Arunachal Pradesh, Bihar, Haryana, Himachal Pradesh, Jammu & Kashmir, Madhya Pradesh, Manipur, Orissa, Punjab, Rajasthan, Sikkim, Tamil Nadu, Tripura, Uttar Pradesh, West Bengal, Andaman & Nicobar Islands, Chandigarh, Delhi and Karaikal and Yanam regions of Pondicherry. The primary stage consists of classes I-IV in Assam, Goa, Gujarat, Karnataka, Kerala, Maharashtra, Meghalaya, Mizoram, Nagaland, Dadra & Nagar Haveli, Daman & Diu, Lakshadweep and Mahe region of Pondicherry.

**B.** The Middle Stage of education comprises Classes VI-VIII in as many as 18 States. UTs viz., Arunachal Pradesh, Bihar, Haryana, Himachal Pradesh, Jammu & Kashmir, Madhya Pradesh, Manipur, Punjab, Rajasthan, Sikkim, Tamil Nadu, Tripura, Uttar Pradesh, West Bengal, Andaman & Nicobar Islands, Chandigarh, Delhi and Karaikal region of Pondicherry; Classes V-VII in Assam, Goa, Gujarat, Karnataka, Kerala, Maharashtra, Meghalaya, Mizoram, Dadra & Nagar Haveli, Daman & Diu, Lakshadweep and Mahe region of Pondicherry andClasses VI-VII in Andhra Pradesh, Orissa and Yanam region of Pondicherry. In Nagaland Classes V-VIII constitute the upper primary stage.

**C.** The Secondary Stage consists of Classes IX-X in 19 States/UTs viz., Arunachal Pradesh, Bihar, Haryana, Himachal Pradesh, Jammu & Kashmir, Madhya Pradesh, Manipur, Nagaland, Punjab, Rajasthan, Sikkim, Tamil Nadu, Tripura, Uttar Pradesh, West Bengal, Andaman & Nicobar Islands, Chandigarh, Delhi and Karaikal region of Pondicherry. The High School stage comprises classes VIII to X in 13 States/UTs viz., Andhra Pradesh, Assam, Goa, Gujarat, Karnataka, Kerala, Maharashtra, Meghalaya, Mizoram, Orissa, Dadra & Nagar Haveli, Daman & Diu, Lakshadweep and Mahe & Yanam regions of Pondicherry. However, the Higher Secondary/Senior Secondary stage of school comprising classes XI-XII (10+2 pattern) is available in all the States/UTs though in some States/UTs these classes are attached to Universities/Colleges.

**Age Restriction For Admission**

The minimum age for admission to class I of the Primary School stage is generally 5+ or 6+ years. In 22 States/UTs the minimum age for admission to Class I is 5+ years and in 7 States/UTs the minimum age for admission is 6+ years. There is no age restriction in the case of Mizoram. In Gujarat, the minimum age for admission is 5+ years (voluntary) and 6+ years (compulsory). In Lakshadweep, the minimum age for admission is 5½ years.

**Medium of Instruction**

Mother tongue or regional language is the medium of instruction at the primary stage of education in most of the States/UTs. Facilities for studying in a medium other than regional language vary considerably in different States and Union Territories.

**Teaching of Hindi**

Apart from Hindi speaking States, teaching of Hindi is compulsory in most of the non-Hindi speaking States/UTs, though the classes from which the teaching of Hindi is compulsory
differ from State to State. Teaching of Hindi is not compulsory in the States of Tamil Nadu, Tripura and Karaikal region of Pondicherry.

**Teaching of English**

Teaching of English is compulsory in all the States/UTs, except Bihar. However, the classes in which teaching of English is compulsory differs from State to State. In general, it is compulsory in Classes VI-X in most of the States/UTs.

**Public Examinations**

In all the States/UTs Public Examinations are conducted at the end of Classes X and XII by the respective State Boards of Secondary and Higher Secondary Education. The minimum age for the Secondary School Examination varies from 14+ to 16+ years in Andhra Pradesh, Arunachal Pradesh, Assam, Bihar, Gujarat, Jammu & Kashmir, Karnataka, Kerala, Maharashtra, Manipur, Orissa, Punjab, Tamil Nadu, Tripura, West Bengal, Andaman & Nicobar Islands, Delhi, Lakshadweep and Pondicherry. In Mizoram, the minimum age for Secondary School Examination is 13+ years. Other States/UTs either do not have age restriction or have not prescribed any age restriction. The minimum age for Higher Secondary School Examination varies from 16+ to 18+ years in Arunachal Pradesh, Bihar, Gujarat, Jammu & Kashmir, Kerala, Maharashtra, Punjab, Tamil Nadu, Tripura, Andaman & Nicobar Islands, Delhi, Lakshadweep and Pondicherry. In other States/UTs, either there is no age restriction prescribed or if it exists, it has not been indicated. In some of the States/UTs, the first Public Examination is also conducted at the Middle stage of School Education.

**Number of Working Days**

The number of working days of school education in a year is generally more than 200 days in all the States/UTs.

**Academic Session**

The academic session begins from different months of the year in the different States and Union Territories. However, in most of the States, the long vacation periods are availed in the summer season while in some of the hilly States, these fall in the winter months.

**Compulsory Education**

Compulsory education has been enforced in four States and Union Territories at the primary stage of education while in eight States/UTs there is compulsory education covering the entire elementary stage of education. As many as 20 States/UTs have not introduced any measure of compulsion upto the year 1997-98.

**Free Education**

A majority of States and Union Territories have introduced free education in Classes I-XII of their schools.
**Tuition Fees Per Annum Per Child In Government Schools**

In the States/UTs where education is not free for classes IX and above, the annual fee varies considerably from the highest level of Rs. 360/- for classes XI and XII in the case of Meghalaya to the lowest at Rs. 48/- in the case of Assam.

**Financing of Education**

From 1968 onwards, goal has been to set apart 6% of National Income on education. In spite of resource constraints as well as competing priorities, the Budgetary expenditure on education by Centre & States as percentage of Gross National Product has steadily increased from 0.8% in 1951-52 to 3.3% in 1994-95.

Para 11.4 of NPE, 1986 states “that the investment on education be gradually increased to reach a level of 6% of the National Income as early as possible. Since the actual level of investment has remained far short of that target, it is important that greater determination is shown now to find the funds for the programs laid down in this policy. While actual requirements will be computed from time to time on the basis of monitoring and review, the outlay on education will be stepped up to ensure that during the 8th Five year Plan and onwards it will uniformly exceed 6% of the national income”. The total budgetary expenditure on Education by the Education Departments of the Centre and States has increased from Rs. 644.6 million in 1951-52 to Rs. 300,000 million in 1995-96. In terms of its share in total budgetary expenditure, it has increased from 7.9% in 1951-52 to 11.1% in 1995-96.

There are, at present 130 plan schemes in the Department with a total Eighth Plan outlay of Rs. 74430 million. The total plan outlay of the Department for the year 1996-97 is Rs. 33827 million. There are 18 Centrally Sponsored Schemes which account for 65.7% of the total plan outlay. Mid-Day-Meal Scheme is the major Centrally Sponsored Scheme with 1996-97 outlay of Rs.14,000 million. Other major Centrally Sponsored Schemes are Operation Blackboard, Non-formal Education, Teacher Education, Post Literacy and Continuing Education and Vocational Education with 1996-97 outlay of Rs. 2790 million, Rs. 1582.5 million, Rs. 1170 million, Rs. 755 million and Rs. 820 million respectively.
An Act to put into effect the Right to Free and Compulsory Education to All Children in the Age Group of Six to Fourteen Years

Preamble

Whereas the Preamble to the Constitution resolves to secure to all citizens of India JUSTICE, social, economic and political; LIBERTY of thought, expression, belief, faith and worship; EQUALITY of status and of opportunity; and to promote among them all FRATERNITY, assuring the dignity of the individual and the unity and integrity of the Nation;

And whereas, despite the original Article 45 of Directive Principles of the Constitution having made it the duty of the State to provide free and compulsory education to all children up to age fourteen in ten years (1960), the number of out of school children particularly from the disadvantaged groups and those engaged in labor, and those receiving poor quality education has remained very large;

And whereas, the 86th Constitutional Amendment Act 2002 has provided for free and compulsory education of all children in the age group of six to fourteen years as a Fundamental Right under Article 21A of the Constitution, in such manner as the State may, by law, determine;

And whereas the above Act also provides under Article 45 that the State shall endeavor to provide early childhood care and education for all children until they complete the age of six years;

And whereas the above Act further provides under Article 51-A (k) that it shall be a fundamental duty of every citizen of India who is a parent or guardian to provide opportunities for education to his child/ward between the age of six and fourteen years;

And whereas it is considered important and essential to create a humane and equitable society that incorporates the secular values and the ethnic, religious and cultural diversities of India;

And whereas it is recognized that the objectives of democracy, social justice, and equality can be achieved only through the provision of elementary education of equitable quality to all; and

And whereas it is also imperative to improve the present delivery system of elementary education by, inter alia, greater decentralization of its management, and making it sensitive to the needs of children, especially of those belonging to disadvantaged groups.

Be it enacted by Parliament in the fifty-sixth year of the Republic as follows:
Chapter II

Child’s Right to Free and Compulsory Education of Equitable QUALITY

3. Child’s Right to Free and Compulsory Education of Equitable Quality

1. Every child who has attained the age of 6 years shall have the right to participate in full time elementary education and to complete it, and towards that end shall have the right, subject to the provisions of this Act, to:
   i) be admitted to a neighbourhood school in accordance with the provisions of Section 14, and
   ii) be provided free and compulsory education in such school, in the manner provided in this Act. Provided that a child who, due to her severe or profound disability, or disadvantage, or nature of occupation of her parents, cannot be provided elementary education in a neighbourhood school, shall have the right to be provided education in an appropriate alternative environment as may be prescribed.

(Explanation: For the purposes of this Section, neighbourhood shall be determined in relation to the residence of the child on the basis of proof of residence provided in such manner as may be prescribed, including but not limited to, ration card or voters identification card of the parent/guardian.)

2. A non-enrolled child who is in the age group 7-9 years, at the commencement of this Act, shall, in addition to the right specified in sub-clause (1), have the right to be admitted to an age appropriate grade in a neighbourhood school within one year from the commencement of this Act.

3. A non-enrolled child who is in the age group 9-14 years, at the commencement of this Act, shall in addition to the right specified in sub-clause (1), have the right to be provided special programmes within the neighbourhood school to enable her to join, as early as possible, but in any case within three years from the commencement of this Act, the age appropriate grade.

4. A child who, though enrolled, is not able to participate in elementary education, shall, in addition to the right specified in sub clause (1), have the right to be provided with suitable conditions, as may be decided by the appropriate government, to enable her participation.

5. No child shall be held back in any grade or expelled from a school until she completes elementary education, except through an Order of the School Management Committee (SMC). Provided that an Order under sub-section (5) expelling a child from school shall be passed by the SMC only in the case of a delinquent child for whom all other corrective measures have been exhausted, and only after such child and her parents/guardians have been afforded an opportunity of being heard in such manner as may be prescribed.

12 Provided further that in the event of an SMC passing an Order under sub-section (5), it shall also be required to bring such Order to the notice of the Appropriate Government or local authority as the case may be, which will then give directions regarding other neighbourhood schools to which the expelled child shall be admitted for purposes of her further education.
4. Right Of Transition Till Completion Of Elementary Education

(1) For every child studying in a school which provides education up to a level less than class VIII, the Local Authority shall specify a school, subject to the provisions of Section 14, where such child shall have the right of admission for free education till she completes elementary education.

(2) Any child moving from one school to another, including outside the state shall, for the purposes of seeking admission to another school, be entitled to receive a transfer certificate issued by the Headmaster of the school in which she was last enrolled; Provided that the absence of such a transfer certificate shall not constitute grounds for delaying or denying her admission to an appropriate grade in the new school; nor shall such child be subjected to any test whatsoever to determine whether she is to be admitted to the school.

Chapter III
Responsibility of the State

5. General Responsibility of the State

It shall be the responsibility of the State:-

(i) To ensure the availability of a neighbourhood school for every child within a period of three years from commencement of this Act; Provided that in case of non-availability of a neighbourhood school, the State shall provide free transportation arrangements to the nearest school or provide free residential schools/ facilities,

(ii) To ensure that every child is provided free education in the school mentioned in sub-clause (i); Provided that Parents/guardians who choose to admit their children to the non-free quota in a school shall not have any claim on the State for providing free education to their children,

(iii) To institute and implement a mechanism for regular monitoring of enrolment, participation and attainment status of every child, and taking corrective steps wherever necessary, so that every child completes elementary education, and to make information in this regard available in the public domain, including on an on-line basis,

(iv) To ensure that children in schools receive education (a) of equitable quality, and (b) conforming to values enshrined in the Constitution, and, (v) To ensure that economic social, cultural, linguistic, gender, administrative, locational, disability or other barriers do not prevent children from participating in, and completing elementary education.

6. Responsibility of the State Towards the Non-enrolled Child

The appropriate government shall take necessary steps to ensure that:

i) All non-enrolled children who are in the 7-9 years’ age group at the commencement of this Act, are enrolled in a neighbourhood school within one year of the commencement of this Act.

ii) All non-enrolled children who are in the 9-14 years’ age group at the commencement of this Act are enrolled in special programmes in a neighbourhood school, if available, and failing that, in another school to enable them to be admitted to an age appropriate grade in a neighbourhood school as early as possible, but in any case within three years of the commencement of this Act.
7. Provision Of Facilities For Pre-School Education

The appropriate government shall endeavour to provide facilities for pre-school education in State and fully-aided schools for children between the ages of 3 and 6 years, if such facilities are not already being provided, through Integrated Child Development Services (ICDS) or other government programmes, in proximity to such schools.

8. Provision of Facilities to Young Persons to Complete Elementary Education

If a young person has, for whatever reason, been unable to complete elementary education by the age of fourteen years but is continuing her education in a school at that age, she shall continue to be provided free education in such school till she completes elementary education or attains the age of eighteen years, whichever is earlier.

9. Responsibility of the Central Government

Provision of Free and Compulsory education hall be the concurrent responsibility of the Central and appropriate governments, with the Central Government’s responsibility consisting of the following:

i) Provision of financial assistance to State Governments in accordance with such formula regarding sharing of costs of implementation of this Act, as the Central Government may determine from time to time in consultation with State Governments.

ii) Taking action through appropriate bodies to develop a national curriculum framework, and to develop and enforce standards for training and qualification of teachers for elementary education in a participatory and consultative manner

iii) Provision of technical resource support to the state governments, through appropriate institutions, for promotion of innovations and dissemination of best practices in the field of elementary education and for related research, planning and capacity building

iv) Monitoring progress of implementation of various interventions, schemes and programmes for achieving the objectives of this Act, and taking appropriate steps in case of default.

v) Taking such other steps as the President may, by Order, specify.

10. Responsibility of the Appropriate Government

1. Responsibilities in connection with provision of free and compulsory education, except those of the Central Government as defined in Section 9, shall be that of the appropriate Government.

2. Without prejudice to the generality of sub-section (1), the appropriate government shall ensure:

i) Provision of financial assistance to Local Authorities for implementation of this Act in accordance with such formula regarding sharing of costs of such implementation, as the appropriate government may determine from time to time.

ii) Carrying out of an exercise every year to determine the requirement of schools, facilities and their appropriate locations for the implementation of this Act.

iii) Establishment of additional schools as required and making them functional.

iv) Deployment of teachers in schools in accordance with the provisions of this Act.

v) Prescription and periodic revision by the Competent Academic Authority of the curriculum for elementary education and courses of study for each grade thereof.
vi) Provision of a building, teaching aids and learning material of the prescribed specifications in accordance with the Schedule to every State school and fully aided school,

vii) Timely provision of “elements of free entitlement” as prescribed under section 2(1)(q), to eligible children.

viii) Development and maintenance of a comprehensive database to facilitate implementation of this Act.

ix) Creation of adequate facilities for training of teachers and other personnel to meet the human resource requirement for the implementation of this Act.

11. Responsibility of the Appropriate Government to Augment Teacher Training Capacity Wherever Necessary

Every appropriate Government shall, within six months of the commencement of this Act, assess the State’s requirement of professionally trained teachers as prescribed under this Act, vis-à-vis the capacity of existing training institutions, and shall in the event of a deficit, take steps to augment such capacity so as to match the requirement within such period not exceeding five years from the commencement of this Act, as the Central Government may notify.

12. Responsibility of Local Authorities

1. Subject to the responsibility of the appropriate Government as laid down in Section 10, the Local Authority shall, if empowered by a law enacted in pursuance of Article 243G or Article 243W of the Constitution, perform the following functions:-

i) Maintain the record of all children in its area, who are in the age group of 0-14 years, with special reference to children belonging to 16 each disadvantaged group, and to weaker sections, in such manner as may be prescribed,

ii) Ensure that every child in the age group of 6-14 years residing within its jurisdiction is enrolled in an elementary school, participates in it, and is enabled to complete elementary education,

iii) Plan, budget and provide for additional schools, teachers, and other facilities that may be required as a result of the gaps identified through the school mapping exercise for ensuring free and compulsory elementary education,

iv) Monitor the provisioning of prescribed infrastructure, teachers and supporting facilities for free and compulsory education in all schools in its area imparting elementary education,

v) Ensure sustained education of children of migrant families through special steps, including bridge courses, remedial teaching, and such other interventions as may be required.

2. To the extent the above functions have not been devolved upon local authorities by law, the appropriate government will by rules determine the authorities at various levels, which will perform the above functions till such time as such functions are assigned by law.

13. Planning For Provision of Free and Compulsory Education

1. Every School Management Committee as constituted under Section 22 shall prepare School Development Plan to cater to the needs of the children residing in its neighbourhood in respect of their education of equitable quality, in such manner as may be prescribed.

2. School Development Plans, referred to in sub-section (1), shall be the basis for preparation of
plans for provision of free and compulsory education for every local area, block, district, and metropolitan area, in such manner as may be prescribed.

3. Every appropriate Government and Central Government shall prepare plans for provision of free and compulsory education in the State/UT and the country, taking into consideration the Plans referred to in sub-section (2) above.

4. The plans referred to in sub-section (3) shall be taken into consideration while preparing the annual demands for grants for elementary education presented by the appropriate/Central Government to the respective Legislatures/Parliament.

5. The plans referred to in sub-section (3) shall also form the basis for monitoring the implementation of this Act, by the National Commission for Elementary Education constituted under section 33 of this Act.

Chapter IV

Schools and Teachers

14. Responsibility of Schools to provide Free and Compulsory Education

1. Schools shall provide free and compulsory elementary education to children entitled under Section 3 to the extent and in the manner specified below:
   i) State schools, except schools of specified categories, and fully aided schools - to all admitted children.
   ii) Aided schools, other than fully aided schools - to at least such proportion of their admitted children as its annual recurring aid bears to its annual recurring expenses subject to a minimum of 25 per cent.
   iii) State schools of specified categories, and unaided schools, to at least 25% children admitted to class 1 after the commencement of this Act, from among children belonging to weaker sections randomly selected by the school in a transparent and previously notified manner, and for the continued education of such children in the School thereafter till completion of elementary education or till they seek transfer from the school, whichever is earlier.

Provided that if a school belonging to a category mentioned in clauses (ii) and (iii), has a pre-primary section, provisions of sub clauses (ii) and (iii) shall apply to the pre-primary section instead. Provided further that free seats in any school, shall be offered by the school first to eligible children for whom it is a neighbourhood school, and shall be offered to other eligible children only to the extent of vacancies remaining thereafter.

2. For every child admitted and educated in pursuance of (iii) of sub-clause (1), the appropriate government shall reimburse to the school at a rate equal to the per child expenditure in state schools/fully aided schools and state funded preschools, or the actual amount charged per student by such school, whichever is less, in such manner as may be prescribed.

Provided that if a school is already under obligation, at the commencement of this Act, to either the Central Government or an appropriate government or any authority/agency representing or acting on their behalf to provide free education to a specified number of children as a consequence of having received land/building/equipment/other facilities either free of cost or at subsidized rates, such school shall not be entitled to reimbursement under the above provision to the extent of such obligation.

a) (3) It shall be the duty of every school to supply to the appropriate government or to an authority designated by such government,
such information as the appropriate government may direct to be furnished for the purposes of Section 5(3).

15. Prohibition of Screening Procedures and Capitation Fees

No child or her family shall be subjected to any screening procedure by a school while deciding about admission to the school at the elementary stage, nor shall the family be required to make any payment in the nature of capitation fee.

16. Admission to Schools to be Generally done at the Commencement of the Academic Year

Year but not to be Denied at Other Times Children shall be admitted to schools as far as possible at the commencement of the academic year, or within such period thereof as may be prescribed: Provided that a child entitled to be admitted to a neighbourhood school under Section 3 (1), read with Section 14 of this Act, shall not be denied admission to such a school at any time of the academic year; Provided further that a child admitted under the preceding proviso within four months of the commencement of the academic year shall be enabled to complete the class to which she has been admitted along with the batch of students admitted at the beginning of the session. A child admitted later in the academic year, who has not come on transfer from another school, shall complete the class with the next batch of students, unless the school is of the opinion that the child has made sufficient progress in the remaining part of the academic year to merit promotion to the next class along with the regular batch of students.

17. Recognition of Schools

1. All schools, other than State schools, recognized at the commencement of this Act, and all State schools, whether established before or after the commencement of this Act, shall be deemed to be recognized schools for the purposes of this Act.
2. No institution, other than State schools, which is intended to be run as a School, shall be established or run after the commencement of this Act, except after obtaining a certificate from a Competent Authority indicating that the latter has no objection to the establishment and operation of such an institution, or after obtaining recognition as a School from such Authority.
3. Every appropriate government shall, within three months from the commencement of this Act, notify rules governing grant of recognition to Schools other than State schools. Where rules in this behalf already exist, they shall be deemed to have been framed under this Act, but shall be reviewed and revised to the extent necessary, within six months from the commencement of this Act, so as to bring them in conformity with it.
4. Every application for recognition shall be made in such form, in such manner and to such competent authority as may be prescribed, and the competent authority shall finally dispose of the application by an Order within a period not exceeding three months from the date of its receipt; Provided that in the event of rejection of an application, the Order shall state reasons for its rejection. Recognition of a school other than a State school, may be withdrawn for breach of conditions referred to in sub-section (4), after giving an opportunity to the management of the school of being heard in such manner as may be prescribed, 19 and from a date to be
specified in the Order withdrawing recognition, which date shall not be later than 30 days from the date of passing of the Order;
Provided that while passing an Order withdrawing recognition, the competent authority shall also give directions regarding other neighbourhood schools to which children studying in the derecognized school shall be admitted for purposes of their further education.

5. No person shall run a school whose recognition has been withdrawn by an Order passed under sub-section (5), after the date specified in the Order.

18. Norms and Standards for a School

1. No State school shall be established, and no other school shall be recognized, by any competent authority, after the commencement of this Act, unless such school fulfils the norms prescribed in the Schedule.

2. All schools, which are deemed to have been recognized at the commencement of this Act under sub-section (1) of Section 17, but did not fulfil the norms prescribed in the Schedule at such commencement, shall do so within a period of three years, therefrom.

3. Responsibility for compliance with the provisions of sub section (2), shall be as follows:
   i) In case of State/fully-aided schools - of the appropriate government/local authority (subject to the provisions of sections 9, 10 &12)
   ii) In case of other schools - of the management of such schools; Provided that the appropriate government may provide financial assistance, in such manner as may be prescribed, to managements of schools mentioned in sub-clause (ii) above to enable them to discharge their responsibility under this sub-section.

(4) If a school other than a State or fully-aided school, fails to comply with the provisions of sub-section (2), within the time limit specified therein, the competent authority shall, after giving the management of such school an opportunity of being heard in such manner as may be prescribed, pass an Order declaring that the school has forfeited its recognition with effect from a date which shall be specified in the Order and shall not be later than 30 days from the date of passing of the Order; Provided that while passing the above Order, the competent authority shall also give directions regarding other neighbourhood schools to which children studying in the derecognized school shall be admitted for purposes of their further education. 20

5. No person shall run a school after the date specified in an Order passed under subsection (4).

19. Power to amend Schedule

The National Commission for Elementary Education may, in consultation with the Central and appropriate governments, at any time, amend the Schedule to this Act either with respect to the country as a whole or any part thereof.

20. Prohibition of Deployment of Teachers for Non-educational Purpose

No teacher of a state or fully-aided school shall be deployed for any non-educational purpose except for decennial population census, election to local authorities, State Legislatures and Parliament, and disaster relief duties.
21. Prohibition of Private Tuition by Teachers

No teacher shall engage in any teaching activity for economic gain, other than that assigned by his employer or supervisor.

22. School Management Committees

1. A School Management Committee (SMC) shall be constituted for every State school and aided school, with such representation of parents, teachers, the community and representatives of the local authority, as may be prescribed.

2. Composition of the School Management Committee shall be so prescribed that:
   i) At least three-fourths of its members are parents, or where both parents are not alive, guardians of children studying in the school, with proportionate representation among them of scheduled castes, scheduled tribes and other socially and educationally backward classes;
   ii) The remaining members are drawn from other stakeholder sections of the community including representatives of the local authority, teachers, and persons/bodies working for education.

3. Physical assets of every State school, including its building, appurtenant land and fixtures, and all equipment and furniture, etc., shall be transferred by the concerned Government/local authority to the SMC within three months of its constitution under this Act, subject to such terms, conditions and restrictions, and in such manner, as may be prescribed.

4. The SMC shall perform the following functions, namely:
   i) monitor and oversee the working of the school, and plan and facilitate its development;
   ii) manage the assets of the school;
   iii) ensure that teachers of the school diligently perform the duties prescribed for them under Section 26;
   iv) disburse salary to teachers from the grants received for the purpose from the appropriate government/local authority, and to deduct payment of salary for the period of unauthorised absence, if any, in such manner as decided by the SMC; 21
   v) utilise other grants received from the appropriate government, local authority or any other source for the upkeep and development of the school, in accordance with the terms of such grant and the rules made in that behalf; and,
   vi) such other functions as may be prescribed by or under this Act.

5. All moneys received by a School Management Committee for the discharge of its functions under this Act, shall be kept in a separate account, and shall be utilised in such manner as may be prescribed.

6. Accounts of money received and spent by the SMC shall be maintained and audited in such manner as may be prescribed.

23. Teachers of State Schools to be a School-based Cadre

1. After the commencement of this Act, teachers in State schools, except in State schools of specified categories, shall be appointed for a specific school by such local authority or SMC as may be notified by the appropriate government, and shall not be transferred therefrom;

2. Recruitment of teachers shall be carried out in accordance with transparent, merit-based criteria, and information thereof shall be made available in the public domain.
3. All teachers already serving at the commencement of this Act, in State schools, except in State schools of specified categories, shall be permanently assigned to a specific State school in accordance with such procedure as may be prescribed, within a period not exceeding two years from the commencement of this Act, and shall then not be transferred from the school so assigned. Provided that after assignment as in sub-section (3), the salaries of such teachers shall then be disbursed by the SMC in accordance with clause (iv) of sub-section (4) of Section 22.

26. Duties of Teachers

1. It shall be the duty of every teacher to:
   (i) regularly attend school for its full duration,
   (ii) transact and complete the curriculum in accordance with the principles laid down in clause 29,
   (iii) transact the curriculum in accordance with the time schedule, decided by the school, subject to general guidelines of the Competent Academic Authority,
   (iv) report every case of non-attendance to the parent or guardian concerned in the first instance, and in case it persists, to the SMC constituted under Section 22,
   (v) regularly assess the learning level of each child, and to provide supplementary instruction needed by the child,
   (vi) regularly apprise every parent/guardian about the progress of learning and development of his child/ward studying in the school, and to also regularly report about such progress to the SMC, in such manner as may be prescribed, and
   (vii) perform such other functions as the appropriate government or the appointing authority may specify, consistent with the provisions of Section 20.

2. Default by a teacher in the performance of a duty stipulated in sub-section (1) shall amount to professional misconduct, and such teacher shall be liable to be punished in accordance with the provisions of Section 27 of this Act and/or the disciplinary rules applicable.

27. Accountability of Teachers Employed in State Schools and Fully-aided Schools

1. Notwithstanding anything contained in any other law, rules, regulation or contract for the time being in force, the following provisions shall apply to every teacher employed in State schools and fully-aided schools:
   i) Power to grant leave to teachers shall vest in the Head Teacher/ School Management Committee (SMC) to such extent and subject to such restrictions as regards nature and duration of leave, and in such manner as may be prescribed;
   ii) The SMC, Panchayat at the village level, or a municipal body, as the case may be, shall, where it is not itself the Appointing Authority for teachers serving in school(s) falling within its jurisdiction, furnish periodic assessment reports regarding performance of duties stipulated in Section 26 by such teachers, to the concerned Appointing Authority, in such manner as may be prescribed;
   iii) Unless the State legislature has by law otherwise provided, power to impose minor punishment on a teacher in a State School, who was appointed by an authority higher than, or different from the authority mentioned in column 3 of the table below, shall vest in the Local Authority specified in column 3, and having jurisdiction over the rural/urban/metropolitan area in which the school is situated:-
A For teachers in rural areas Panchayat of the intermediate or village level or SMC, as the appropriate govt. may notify
B For teachers in government schools in urban areas The municipality or SMC, as the appropriate govt. may notify
C For teachers in government schools in metropolitan areas Such authority or SMC, as the appropriate govt. may notify

2. When an SMC considers a matter in exercise of its powers under sub-clause (iii) of sub-section (1), no teacher other than the Head Teacher, who is a member of the SMC, shall participate in its proceedings, and the Head Teacher shall also not do so when the SMC is considering a matter concerning him.

28. Redressal of Teachers’ Grievances

It shall be the duty of the SMC/Local Authority to redress teachers’ grievances to the extent that they fall within its purview, and/or to forward them to the appropriate authority for obtaining redressal in the event that such grievances do not fall within its purview.

Chapter V
Content and Process of Education

29. Values, Content and Transaction of Elementary Education

Competent Academic Authorities while prescribing curriculum and evaluation procedures, and schools while transacting them, shall adhere to the following principles:
(i) They shall conform to the values enshrined in the Constitution,
(ii) All schools shall function in a child friendly and child centred manner, and shall in particular:
   (a) allow the child who is capable of forming her own views the right to express those views freely in all matters affecting the child, and allow the views of the child to be given due weight in accordance with the age and maturity of the child,
   (b) build on the child’s knowledge, environment and cultural identity, particularly linguistic, and develop the child’s personality, talents and mental and physical abilities to their fullest potential,
   (c) use the child’s mother tongue as the medium of instruction as far as possible, at least during the first five years of the elementary stage,
   (d) would rely on activity, discovery, exploration, understanding and problem solving.
   (e) would be free of fear, trauma and anxiety to the child, and
   (f) conduct learner evaluation in a continuous and comprehensive manner such that it tests the child’s understanding and ability to apply knowledge rather than rote learning.

30. Certification of Completion of Elementary Education

1. No child shall be required to appear at a public examination during the elementary stage except, if at all, at the completion of such stage.
31. Prohibition of Physical Punishment

1. No child shall be awarded physical punishment in any form in a school.
2. Violation of sub-section (1) by a teacher shall amount to professional misconduct, and such teacher shall be liable to be punished in accordance with Section 27 of this Act and/or the disciplinary rules applicable.

32. Teacher Training and Innovation

1. NCTE while laying down norms, standards and guidelines in respect of preservice training programmes for elementary school teachers shall be guided by the principles laid down in section 29.
2. The appropriate Government in respect of teachers in State schools and fully-aided schools, and managements in respect of teachers in unaided schools, shall take all necessary steps to ensure suitable in-service training and regular academic support, including through the use of information & communication technology (ICT), to teachers to enable them to implement the principles laid down in Section 29. In particular, all teachers shall be provided opportunities for peer interaction and encouraged to engage in innovation.

Chapter VII
Miscellaneous

46. Redressal of Grievances Regarding Non-Implementation of School-related Provisions of this Act

1. Anyone who has a grievance that provisions of Sections 12, 14-18, 20, 21, 26, 29, 31, 48 and the Schedule of this Act, to the extent that they relate to establishment, provisioning, management of schools and conduct of activities therein, are not being complied with, may submit a written representation in that behalf to, as the case may be, the Local Authority or the School Management Committee concerned, which shall take appropriate action on it and inform the applicant within a period as prescribed but not exceeding ninety days from the date of receipt of the representation.
2. If the person preferring the representation under sub-section (1) above is not satisfied with the action taken thereon by the Local Authority or SMC as the case may be, he may submit a representation in that behalf to such other authority as may be prescribed, which shall take appropriate action thereon and inform the applicant within a period as prescribed but not exceeding ninety days from the date of receipt of the representation.

47. State-Level Regulatory Authority

1. The Appropriate Government may, by notification in the Official Gazette, appoint a State-level Regulatory Authority for inquiring into grievances which remain unredressed even after taking recourse to the remedies provided in Section 46. The composition of the Authority shall be such as the Appropriate Government may notify in its official Gazette.
2. On receipt of a representation under sub-section (1), the Regulatory Authority may either itself inquire into the matter, or may refer it for inquiry to such officer of the Appropriate Government or concerned local authority as may be prescribed.
3. For the purposes of the inquiry referred to in sub-section (2), the Regulatory Authority or, as the case may be, the officer to whom it refers the matter for inquiry, shall have the powers to record oral evidence of such persons, inspect such premises, and examine such documents, as it thinks fit, in order to ascertain whether the provisions of this Act or rules made thereunder have been complied with.

4. Every school and other institution imparting elementary education, and every employer shall afford the Authority/office referred to in sub-section (3), all reasonable facilities for entering into and inspecting premises, examining documents and recording statements of persons, connected with the subject matter of the inquiry.

5. Every officer of the Regulatory Authority or of the Appropriate Government/local authority to whom a matter is referred for inquiry under subsection (2) shall be deemed to be a public servant within the meaning of Section 21 of the Indian Penal Code, 1860 (45 of 1860)

6. If after inquiry as above, the Regulatory Authority is satisfied that provisions of this Act are not being complied with, it may, in its discretion, direct the government, local authority or private management running a school to take such corrective action, and within such period, as it may deem fit, or direct that:-
   i) Proceedings be instituted by the competent authority for withdrawal of recognition under Sections 17 or 18 of this Act, or,
   ii) Prosecution be launched against the offender(s) under Section 51 of this Act.

48. Ensuring Participation in Elementary Education

No person shall prevent a child from participating in elementary education; Provided that notwithstanding anything contained in the Child Labour (Prohibition and Regulation) Act, 1986 (No.61 of 1986), no person shall employ or otherwise engage a child in a manner that renders her a working child.

49. Entry Age for Elementary Education and Procedure for Computing Age of a Child

1. A child shall be admitted to Grade 1 only if she has attained the age of five years and ten months before the beginning of the academic year.

2. Ordinarily the birth certificate and, in its absence, a declaration by the parent or guardian shall be treated as prima facie proof of the age of a child, unless the admitting authority has reason to disbelieve it. In case it is disbelieved, the admitting authority shall determine the child’s age after making an enquiry in such manner as may be prescribed.

50. Responsibility of the Parent / Guardian

1. It shall be the responsibility of every parent/guardian to enrol his child or ward, who has attained the age of 6 years and above in a school, and to facilitate her completion of elementary education.

2. If a parent/guardian persistently defaults in discharge of his responsibility under sub-clause (1) above, the SMC may direct such parent/guardian to perform compulsory community service by way of child care in the school, in such manner as may be prescribed.
51. Penalty for contravention of Sections 15, 17, 18 and 48

1. If a school contravenes the provisions of Section 15 by charging capitation fee, its management shall be liable to fine which may extend to ten times the capitation fee charged or collected.

2. If a school contravenes the provisions of Section 15 by conducting any screening procedure for admission of children, its management shall be liable to fine which may extend to Twenty Five Thousand Rupees for the first contravention, and Fifty Thousand Rupees for subsequent contraventions.

3. If a person contravenes the provisions of sub-section (2) or (5) of Section 17 or of sub-section (5) of section 18, he shall be punishable with fine which may extend to Rupees One lakh, and in case of continuing contravention, to a fine of Rupees Ten Thousand for each day during which such contravention continues.

(j) If any person contravenes the provisions of section 48, he shall be punishable with a fine which may extend to Rupees One lakh, and in case of continuing contravention, with an additional fine not exceeding Rupees Five Hundred for each day during which such contravention continues.

(k) No Court shall take cognisance of an offence under this Act, except on a complaint made by a person authorised by the Appropriate Government in this behalf.

Norms and Standards for a School

S.No. Item Norm

1. Curriculum As prescribed by the Competent Academic Authority

2. Number of teachers:
   (a) Primary School (Classes 1-5) Pupil Teacher Ratio (excluding Head Teacher) not to exceed 40
   (b) Upper Primary School (Classes 6-8)
   • At least one teacher per class such that there is as far as possible at least one teacher each for
     1. Science and Maths
     2. Social studies
     3. Languages
     • At least one teacher for every 35 children
     • As soon as enrolment crosses 100:
       i. A full time head teacher
       ii. At least part time instructors for:
          • Art Education
          • Health and Physical Education
          • Work Education

3. Qualifications of teachers As per Section 25 of the Act.

4. Building All-weather building consisting of:
   i. At least one classroom for every teacher
   ii. An office-cum-store cum-head teacher’s room in every school.
   iii. Toilets (separate for boys and girls)
   iv. Drinking Water facilities
v Kitchen (wherever mid day meal is cooked in the school)
vi Barrier-free access
5. Specifications of a classroom As may be prescribed
6. Minimum number of working days/instructional hours in an academic year
   i 200 working days for Primary schools
   ii 220 working days for Upper Primary schools
   iii 800/1000 Instructional hours per academic year for primary/upper primary schools
1. Introductory

1.1 A National Health Policy was last formulated in 1983 and since then, there have been marked changes in the determinant factors relating to the health sector. Some of the policy initiatives outlined in the NHP-1983 have yielded results, while in several other areas, the outcome has not been as expected.

1.2 The NHP-1983 gave a general exposition of the policies which required recommendation in the circumstances then prevailing in the health sector. The noteworthy initiatives under that policy were:

i. A phased, time-bound program for setting up a well-dispersed network of comprehensive primary health care services, linked with extension and health education, designed in the context of the ground reality that elementary health problems can be resolved by the people themselves;

ii. Intermediation through ‘Health volunteers’ having appropriate knowledge, simple skills and requisite technologies;

iii. Establishment of a well-worked out referral system to ensure that patient load at the higher levels of the hierarchy is not needlessly burdened by those who can be treated at the decentralized level;

iv. An integrated net-work of evenly spread speciality and super-speciality services; encouragement of such facilities through private investments for patients who can pay, so that the draw on the Government’s facilities is limited to those entitled to free use.

1.8 NHP-2002 will attempt to set out a new policy framework for the accelerated achievement of Public health goals in the socio-economic circumstances currently prevailing in the country.

3. Objectives

3.1 The main objective of NHP-2002 is to achieve an acceptable standard of good health amongst the general population of the country. The approach would be to increase access to the decentralized public health system by establishing new infrastructure in deficient areas, and by upgrading the infrastructure in the existing institutions. Overriding importance would be given to ensuring a more equitable access to health services across the social and geographical expanse of the country. Emphasis will be given to increasing the aggregate public health investment through a substantially increased contribution by the Central Government. It is expected that this initiative will strengthen the capacity of the public health administration at the State level to render effective service delivery. The contribution of the private sector in providing health services would be much enhanced, particularly for the population group, which can afford to pay for services. Primacy will be given to preventive and first-line curative initiatives at the primary health level through increased sectoral share of allocation. Emphasis will be laid on rational use of drugs within the allopathic system. Increased access to tried
health investment, the Central Government’s contribution would rise to 25% from the existing 15%, by 2010. The provisioning of higher public health investments will also be contingent upon the increase in absorptive capacity of the public health administration so as to utilize the funds gainfully.

4.2 Equity
4.2.1 To meet the objective of reducing various types of inequities and imbalances – inter-regional; across the rural – urban divide; and between economic classes – the most cost effective method would be to increase the sectoral outlay in the primary health sector. Such outlets give access to a vast number of individuals, and also facilitate preventive and early stage curative initiative, which are cost effective. In recognition of this public health principle, NHP-2002 envisages an increased allocation of 55% of the total public health investment for the primary health sector; the secondary and tertiary health sectors being targeted for 35% and 10% respectively. NHP-2002 projects that the increased aggregate outlays for the primary health sector will be utilized for strengthening existing facilities and opening additional public health service outlets, consistent with the norms for such facilities.

4.3 Delivery of National Public Health Program
4.3.1 NHP-2002, envisages a key role for the Central Government in designing national programs with the active participation of the State Governments. Also, the Policy ensures the provisioning of financial resources, in addition to technical support, monitoring and evaluation at the national level by the Centre. However, to optimize the utilization of the public health infrastructure at the primary level, NHP-2002 envisages the gradual convergence of all health programs under a single field administration. Vertical programs for control of major diseases like TB, Malaria and HIV/AIDS, as also the RCH and Universal Immunization Programs, would need to be continued and tested systems of traditional medicine will be ensured. Within these broad objectives, NHP-2002 will endeavor to achieve the time-bound goals mentioned in Box-IV.

4. NHP-2002 - Policy Prescriptions

4.1 Financial Resources
The paucity of public health investment is a stark reality. Given the extremely difficult fiscal position of the State Governments, the Central Government will have to play a key role in augmenting public health investments. Taking into account the gap in health care facilities, it is planned, under NHP-2002 to increase health sector expenditure to 6% of GDP, with 2% of GDP being contributed as public health investment, by the year 2010. The State Governments would also need to increase the commitment to the health sector. In the first phase, by 2005, they would be expected to increase the commitment of their resources to 7% of the Budget; and, in the second phase, by 2010, to increase it to 8% of the Budget. With the stepping up of the public

<table>
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<th>Box-II: Goals to be achieved by 2000-2015</th>
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<tr>
<td>• Eradicate Polio and Yaws 2005</td>
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<td>• Eliminate Leprosy 2005</td>
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<td>• Eliminate Kala Azar 2010</td>
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<td>• Eliminate Lymphatic Filariasis 2015</td>
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<td>• Achieve Zero level growth of HIV/AIDS 2007</td>
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<td>• Reduce Mortality by 50% on account of TB, Malaria and Other Vector and Water Borne diseases 2010</td>
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<td>• Reduce Prevalence of Blindness to 0.5% 2010</td>
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<tr>
<td>• Reduce IMR to 30/1000 And MMR to 100/Lakh 2010</td>
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<tr>
<td>• Increase utilization of public health facilities from current Level of &lt;20 to &gt;75% 2010</td>
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<tr>
<td>• Establish an integrated system of surveillance, National Health Accounts and Health Statistics. 2005</td>
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<tr>
<td>• Increase health expenditure by Government as a % of GDP from the existing 0.9 % to 2.0% 2010</td>
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<td>• Increase share of Central grants to Constitute at least 25% of total health spending 2010</td>
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<tr>
<td>• Increase State Sector Health spending from 5.5% to 7% of the budget 2005</td>
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<td>• Further increase to 8% 2010</td>
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till moderate levels of prevalence are reached. The integration of the programs will bring about a
desirable optimization of outcomes through a convergence of all public health inputs. The policy
also envisages that program implementation be effected through autonomous bodies at State and
district levels. State Health Departments’ interventions may be limited to the overall monitoring
of the achievement of program targets and other technical aspects. The relative distancing of the
program implementation from the State Health Departments will give the project team greater
operational flexibility. Also, the presence of State Government officials, social activists, private
health professionals and MLAs/MPs on the management boards of the autonomous bodies will
facilitate well-informed decision-making.

4.4 The State of Public Health Infrastructure

4.4.1 As has been highlighted in the earlier part of the Policy, the decentralized Public health
service outlets have become practically dysfunctional over large parts of the country. On account
of resource constraint, the supply of drugs by the State Governments is grossly inadequate. The
patients at the decentralized level have little use for diagnostic services, which in any case would
still require them to purchase therapeutic drugs privately. In a situation in which the patient is
not getting any therapeutic drugs, there is little incentive for the potential beneficiaries to seek
the advice of the medical professionals in the public health system. This results in there being no
demand for medical services, so medical professionals and paramedics often absent themselves from
their place of duty. It is also observed that the functioning of the public health service outlets in
the four Southern States – Kerala, Andhra Pradesh, Tamil Nadu and Karnataka – is relatively better,
because some quantum of drugs is distributed through the primary health system network, and
the patients have a stake in approaching the Public health facilities. In this backdrop, NHP-2002
envisages the kick-starting of the revival of the Primary Health System by providing some essential
drugs under Central Government funding through the decentralized health system. It is expected
that the provisioning of essential drugs at the public health service centres will create a demand
for other professional services from the local population, which, in turn, will boost the general
revival of activities in these service centres. In sum, this initiative under NHP-2002 is launched
in the belief that the creation of a beneficiary interest in the public health system, will ensure a
more effective supervision of the public health personnel, through community monitoring, than
has been achieved through the regular administrative line of control.

4.4.1.3 Global experience has shown that the quality of public health services, as reflected
in the attainment of improved public health indices, is closely linked to the quantum and quality
of investment through public funding in the primary health sector. Box-V gives statistics which
show clearly that the standards of health are more a function of accurate targeting of expenditure
on the decentralised primary sector (as observed in China and Sri Lanka), than a function of the
aggregate health expenditure.

Therefore, NHP-2002, while committing additional aggregate financial resources, places
strong reliance on the strengthening of the primary health structure, with which to attain improved
public health outcomes on an equitable basis. Further, it also recognizes the practical need
for levying reasonable user-charges for certain secondary and tertiary public health care services,
for those who can afford to pay.

<table>
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<th>Box-III: Public Health Spending in select Countries</th>
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<td>Indicator</td>
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<td>India</td>
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<td>China</td>
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<td>USA</td>
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4.5 Extending Public Health Services
4.5.1 NHP-2002 envisages that, in the context of the availability and spread of allopathic graduates in their jurisdiction, State Governments would consider the need for expanding the pool of medical practitioners to include a cadre of licentiates of medical practice, as also practitioners of Indian Systems of Medicine and Homoeopathy. Simple services/procedures can be provided by such practitioners even outside their disciplines, as part of the basic primary health services in under-served areas. Also, NHP-2002 envisages that the scope of use of paramedical manpower of allopathic disciplines, in a prescribed functional area adjunct to their current functions, would also be examined for meeting simple public health requirements. These extended areas of functioning of different categories of medical manpower can be permitted, after adequate training and subject to the monitoring of their performance through professional councils.

4.5.1.2 NHP-2002 also recognizes the need for States to simplify the recruitment procedures and rules for contract employment in order to provide trained medical manpower in under-served areas.

4.6 Role of Local Self-government Institutions
4.6.1 NHP-2002 lays great emphasis upon the implementation of public health programs through local self-government institutions. The structure of the national disease control programs will have specific components for implementation through such entities. The Policy urges all State Governments to consider decentralizing implementation of the programs to such Institutions by 2005. In order to achieve this, financial incentives, over and above the resources allocated for disease control programs, will be provided by the Central Government.

4.7 Medical Education
4.7.1 In order to ameliorate the problems being faced on account of the uneven spread of medical colleges in various parts of the country, NHP-2002, envisages the setting up of a Medical Grants Commission for funding new Government Medical Colleges in different parts of the country. Also, the Medical Grants Commission is envisaged to fund the upgradation of the existing Government Medical Colleges of the country, so as to ensure an improved standard of medical education in the country.

4.7.2 To enable fresh graduates to effectively contribute to the providing of primary health services, NHP-2002 identifies a significant need to modify the existing curriculum. A need based, skill-oriented syllabus, with a more significant component of practical training, would make fresh doctors useful immediately after graduation.

4.7.3 The Policy emphasises the need to expose medical students, through the undergraduate syllabus, to the emerging concerns for geriatric disorders, as also to the cutting edge disciplines of contemporary medical research. The policy also envisages that the creation of additional seats for post-graduate courses should reflect the need for more manpower in the deficient specialities.

4.9 Need for Specialists in ‘Public Health’ and ‘Family Medicine’
4.9.1 In order to alleviate the acute shortage of medical personnel with specialization in ‘public health’ and ‘family medicine’ disciplines, NHP-2002 envisages the progressive implementation of mandatory norms to raise the proportion of postgraduate seats in these discipline in medical training institutions, to reach a stage wherein ¼th of the seats are earmarked for these disciplines. It is envisaged that in the sanctioning of post-graduate seats in future, it shall be insisted upon that a certain reasonable number of seats be allocated to ‘public health’ and ‘family medicine’ disciplines. Since, the ‘public health’ discipline has an interface with many other developmental sectors, specialization in Public health may be encouraged not only for medical doctors but also for non-medical graduates from the allied fields of public health engineering, microbiology and other natural sciences.
4.12 Urban Health
4.12.1 NHP-2002, envisages the setting up of an organized urban primary health care structure. Since the physical features of an urban setting are different from those in the rural areas, the policy envisages the adoption of appropriate population norms for the urban public health infrastructure. The structure conceived under NHP-2002 is a two-tiered one: the primary centre is seen as the first-tier, covering a population of one lakh, with a dispensary providing OPD facility and essential drugs to enable access to all the national health programs; and a second-tier of the urban health organization at the level of the Government general Hospital, where reference is made from the primary centre. The Policy envisages that the funding for the urban primary health system will be jointly borne by the local self-Government institutions and State and Central Governments.

4.12.2 The National Health Policy also envisages the establishment of fully-equipped ‘hub-spoke’ trauma care networks in large urban agglomerations to reduce accident mortality.

4.13 Mental Health
4.13.1 NHP-2002 envisages a network of decentralized mental health services for ameliorating the more common categories of disorders. The program outline for such a disease would envisage diagnosis of common disorders by general duty medical staff and prescription of common therapeutic drugs.

4.13.2 In regard to mental health institutions for in-door treatment of patients, the Policy envisages the upgrading of the physical infrastructure of such institutions at Central Government expense so as to secure the human rights of this vulnerable segment of society.

4.14 Information, Education and Communication
4.14.1 NHP-2002 envisages an IEC policy, which maximizes the dissemination of information to those population groups, which cannot be effectively approached through the mass media only. The focus would therefore, be on inter-personal communication of information and reliance on folk and other traditional media. The IEC program would set specific targets for the association of PRIs/NGOs/Trusts in such activities. The program will also have the component of an annual evaluation of the performance of the non-governmental agencies to monitor the impact of the programs on the targeted groups. The Central/State Government initiative will also focus on the development of modules for information dissemination in such population groups who normally, do not benefit from the more common media forms.

4.14.2 NHP-2002 envisages priority to school health programs aiming at preventive health education, regular health check-ups and promotion of health seeking behavior among children. The school health programs can gainfully adopt specially designed modules in order to disseminate information relating to ‘health’ and ‘family life’. This is expected to be the most cost-effective intervention as it improves the level of awareness, not only of the extended family, but the future generation as well.

4.15 Medical Research
4.15.1 NHP-2002 envisages the increase in Government-funded medical research to a level of 1% of total health spending by 2005; and thereafter, up to 2% by 2010. Domestic medical research would be focused on new therapeutic drugs and vaccines for tropical diseases, such as TB and Malaria, as also the sub-types of HIV/AIDS prevalent in the country. Research programs taken up by the Government in these priority areas would be conducted in a mission mode. Emphasis would also be paid to time-bound applied research for developing operational applications. This would ensure cost effective dissemination of existing / future therapeutic drugs/vaccines in the general population. Private entrepreneurship will be encouraged in the field of medical research for new molecules/vaccines.
4.16 Role of the Private Sector
4.16.1 NHP-2002 envisages the enactment of suitable legislations for regulating minimum infrastructure and quality standards by 2003, in clinical establishments/medical institutions; also, statutory guidelines for the conduct of clinical practice and delivery of medical services are to be developed over the same period. The Policy also encourages the setting up of private insurance instruments for increasing the scope of the coverage of the secondary and tertiary sector under private health insurance packages.

4.16.2 To capitalize on the comparative cost advantage enjoyed by domestic health facilities in the secondary and tertiary sector, the Policy will encourage the supply of services to patients of foreign origin on payment. The rendering of such services on payment in foreign exchange will be treated as ‘deemed exports’ and will be made eligible for all fiscal incentives extended to export earnings.

4.16.3 NHP-2002 envisages the co-option of the non-governmental practitioners in the national disease control programs so as to ensure that standard treatment protocols are followed in their day-to-day practice.

4.16.4 NHP-2002 recognizes the immense potential of use of information technology applications in the area of tele-medicine in the tertiary health care sector. The use of this technical aid will greatly enhance the capacity for the professionals to pool their clinical experience.

4.17 Role of the Civil Society
4.17.1 NHP-2002 recognizes the significant contribution made by NGOs and other institutions of the civil society in making available health services to the community. In order to utilize on an increasing scale, their high motivational skills, NHP-2002 envisages that the disease control programs should earmark a definite portion of the budget in respect of identified program components, to be exclusively implemented through these institutions.

4.18 National Disease Surveillance Network
4.18.1 NHP-2002 envisages the full operationalization of an integrated disease control network from the lowest rung of public health administration to the Central Government, by 2005. The program for setting up this network will include components relating to installation of data-base handling hardware; IT inter-connectivity between different tiers of the network; and, in-house training for data collection and interpretation for undertaking timely and effective response.

4.19 Health Statistics
4.19.1 NHP-2002 envisages the completion of baseline estimates for the incidence of the common diseases – TB, Malaria, Blindness – by 2005. The Policy proposes that statistical methods be put in place to enable the periodic updating of these baseline estimates through representative sampling, under an appropriate statistical methodology. The Policy also recognizes the need to establish in a longer time-frame, baseline estimates for: the non-communicable diseases, like CVD, Cancer, Diabetes; accidental injuries; and other communicable diseases, like Hepatitis and JE. NHP-2002 envisages that, with access to such reliable data on the incidence of various diseases, the public health system would move closer to the objective of evidence-based policy making.

4.19.2 In an attempt at consolidating the data base and graduating from a mere estimation of annual health expenditure, NHP-2002 emphasise on the needs to establish national health accounts, conforming to the ‘source-to-users’ matrix structure. Improved and comprehensive information through national health accounts and accounting systems would pave the way for decision makers to focus on relative priorities, keeping in view the limited financial resources in the health sector.
4.20 Women’s Health
4.20.1 NHP-2002 envisages the identification of specific programs targeted at women’s health. The policy notes that women, along with other under privileged groups are significantly handicapped due to a disproportionately low access to health care. The various Policy recommendations of NHP-2002, in regard to the expansion of primary health sector infrastructure, will facilitate the increased access of women to basic health care. NHP-2002 commits the highest priority of the Central Government to the funding of the identified programs relating to woman’s health. Also, the Policy recognizes the need to review the staffing norms of the public health administration to more comprehensively meet the specific requirements of women.

4.21 Medical Ethics
4.21.1 NHP-2002 envisages that, in order to ensure that the common patient is not subjected to irrational or profit-driven medical regimens, a contemporary code of ethics be notified and rigorously implemented by the Medical Council of India.

4.21.2 NHP-2002 does not offer any policy prescription at this stage relating to ethics in the conduct of medical research. By and large medical research within the country is limited in these frontier disciplines of gene manipulation and stem cell research. However, the policy recognizes that a vigilant watch will have to be kept so that appropriate guidelines and statutory provisions are put in place when medical research in the country reaches the stage to make such issues relevant.

4.22 Enforcement of Quality Standards for Food and Drugs
4.22.1 NHP-2002 envisages that the food and drug administration will be progressively strengthened, both in terms of laboratory facilities and technical expertise. Also, the Policy envisages that the standards of food items will be progressively tightened at a pace which will permit domestic food handling/manufacturing facilities to undertake the necessary upgradation of technology so as not to be shut out of this production sector. The Policy envisages that, ultimately food standards will be close, if not equivalent, to codex specifications; and drug standards will be at par with the most rigorous ones adopted elsewhere.

4.23 Regulation of Standards in Paramedical Disciplines
4.23.1 NHP-2002 recognizes the need for the establishment of statutory professional councils for paramedical disciplines to register practitioners, maintain standards of training, as well as to monitor their performance.

4.24 Occupational Health
4.24.1 NHP-2002 envisages the periodic screening of the health conditions of the workers, particularly for high risk health disorders associated with their occupation.

4.25 Providing Medical Facilities to Users From Overseas
4.25.1 NHP-2002 strongly encourages the providing of health services on a commercial basis to service seekers from overseas. The providers of such services to patients from overseas will be encouraged by extending to their earnings in foreign exchange, all fiscal incentives available to other exporters of goods and services.

4.26 Impact of Globalization on the Health Sector
4.26.1 NHP-2002 takes into account the serious apprehension expressed by several health experts, of the possible threat to the health security, in the post TRIPS era, as a result of a sharp increase
in the prices of drugs and vaccines. To protect the citizens of the country from such a threat, NHP-2002 envisages a national patent regime for the future which, while being consistent with TRIPS, avails of all opportunities to secure for the country, under its patent laws, affordable access to the latest medical and other therapeutic discoveries. The Policy also sets out that the Government will bring to bear its full influence in all international fora – UN, WHO, WTO, etc. – to secure commitments on the part of the Nations of the Globe, to lighten the restrictive features of TRIPS in its application to the health care sector.

5. Summation

5.1 The crafting of a National Health Policy is a rare occasion in public affairs when it would be legitimate, indeed valuable, to allow our dreams to mingle with our understanding of ground realities. Based purely on the clinical facts defining the current status of the health sector, we would have arrived at a certain policy formulation; but, buoyed by our dreams, we have ventured slightly beyond that in the shape of NHP-2002 which, in fact, defines a vision for the future.

5.2 The health needs of the country are enormous and the financial resources and managerial capacity available to meet it, even on the most optimistic projections, fall somewhat short. In this situation, NHP-2002 has had to make hard choices between various priorities and operational options. NHP-2002 does not claim to be a road-map for meeting all the health needs of the populace of the country. Further, it has to be recognized that such health needs are also dynamic as threats in the area of public health keep changing over time. The Policy, while being holistic, undertakes the necessary risk of recommending differing emphasis on different policy components. Broadly speaking, NHP-2002 focuses on the need for enhanced funding and an organizational restructuring of the national public health initiatives in order to facilitate more equitable access to the health facilities. Also, the Policy is focused on those diseases which are principally contributing to the disease burden – TB, Malaria and Blindness from the category of historical diseases; and HIV/AIDS from the category of ‘newly emerging diseases’. This is not to say that other items contributing to the disease burden of the country will be ignored; but only that, resources as also the principal focus of the public health administration, will recognize certain relative priorities.

5.3 One nagging imperative, which has influenced every aspect of NHP-2002, is the need to ensure that ‘equity’ in the health sector stands as an independent goal. In any future evaluation of its success or failure, NHP-2002 would like to be measured against this equity norm, rather than any other aggregated financial norm for the health sector. Consistent with the primacy given to ‘equity’, a marked emphasis has been provided in the policy for expanding and improving the primary health facilities, including the new concept of provisioning of essential drugs through Central funding. The Policy also commits the Central Government to increased under-writing of the resources for meeting the minimum health needs of the citizenry. Thus, the Policy attempts to provide guidance for prioritizing expenditure, thereby, facilitating rational resource allocation.

5.4 NHP-2002 highlights the expected roles of different participating group in the health sector. Further, it recognizes the fact that, despite all that may be guaranteed by the Central Government for assisting public health programs, public health services would actually need to be delivered by the State administration, NGOs and other institutions of civil society. The attainment of improved health indices would be significantly dependent on population stabilization, as also on complementary efforts from other areas of the social sectors – like improved drinking water supply, basic sanitation, minimum nutrition, etc. – to ensure that the exposure of the populace to health risks is minimized.
The Constitution
(73rd Amendment) Act, 1992

Statement of Objects and Reasons appended to the Constitution
(72nd Amendment) Bill, 1991 which was enacted as
the Constitution (73rd Amendment) Act, 1992

Statement of Objects and Reasons

1. Though the Panchayati Raj Institutions have been in existence for a long time, it has been observed that these institutions have not been able to acquire the status and dignity of viable and responsive people’s bodies due to a number of reasons including absence of regular elections, prolonged super sessions, insufficient representation of weaker sections like Scheduled Castes, Scheduled Tribes and women, inadequate devolution of powers and lack of financial resources.

2. Article 40 of the Constitution which enshrines one of the Directive Principles of State Policy lays down that the State shall take steps to organize village Panchayats and endow them with such powers and authority as may be necessary to enable them to function as units of self-government. In the light of the experience in the last forty years and in view of the shortcomings which have been observed, it is considered that there is an imperative need to enshrine in the Constitution certain basic and essential features of Panchayati Raj Institutions to impart certainty, continuity and strength to them.

3. Accordingly, it is proposed to add a new Part relating to Panchayats in the Constitution to provide for among other things, Gram Sabha in a village or group of villages; constitution of Panchayats at village and other level or levels; direct elections to all seats in Panchayats at the village and intermediate level, if any, and to the offices of Chairpersons of Panchayats at such levels; reservation of seats for the Scheduled Castes and Scheduled Tribes in proportion to their population for membership of Panchayats and office of Chairpersons in Panchayats at each level; reservation of not less than one-third of the seats for women; fixing tenure of 5 years for Panchayats and holding elections within a period of six months in the event of supersession of any Panchayat; disqualifications for membership of Panchayats; devolution by the State Legislature of powers and responsibilities upon the Panchayats with respect to the preparation of plans for economic developments and social justice and for the implementation of development schemes; sound finance of the Panchayats by securing authorization from State Legislatures for grants-in-aid to the Panchayats from the Consolidated Fund of the State, as also assignment to, or appropriation by, the Panchayats of the revenues of designated taxes, duties, tolls and fees; setting up of a Finance Commission within one year of the proposed amendment and thereafter every five years to review the financial position of Panchayats; auditing of accounts of the Panchayats; powers of State Legislatures to make provisions with respect to elections to Panchayats under the superintendence, direction and control of the chief electoral officer of the State; application of the provisions of the said Part to Union territories; excluding certain States and areas from the application of the provisions of the said Part; continuance of existing laws and Panchayats...
until one year from the commencement of the proposed amendment and barring interference by courts in electoral matters relating to Panchayats.

4. The Bill seeks to achieve the aforesaid objectives.

New Delhi; G. Venkat Swamy.

The 10th September, 1991

The Constitution (73rd Amendment) Act, 1992
[20th April, 1993]

An Act further to amend the Constitution of India.

Be it enacted by Parliament in the Forty-third Year of the Republic of India as follows:

1. Short title and commencement.—(1) This Act may be called the Constitution (73rd Amendment) Act, 1992.

2. It shall come into force on such date as the Central Government may, by notification in the Official Gazette, appoint.

3. Insertion of new Part IX – After Part VIII of the Constitution, the following Part shall be inserted, namely:

Part IX
The Panchayats

243. Definitions – In this Part, unless the context otherwise requires,—

(a) “district” means a district in a State;
(b) “Gram Sabha” means a body consisting of persons registered in the electoral rolls relating to a village comprised within the area of Panchayat at the village level;
(c) “Intermediate level” means a level between the village and district levels specified by the Governor of a State by public notification to be the intermediate level for the purposes of this Part;
(d) “Panchayat” means an institution (by whatever name called) of self-government constituted under article 243B, for the rural areas;
(e) “Panchayat area” means the territorial area of a Panchayat;
(f) “population” means the population as ascertained at the last preceding census of which the relevant figures have been published;
(g) “village” means a village specified by the Governor by public notification to be a village for the purposes of this Part and includes a group of villages so specified.

243A. Gram Sabha.—A Gram Sabha may exercise such powers and perform such functions at the village level as the Legislature of a State may, by law, provide.

243B. Constitution of Panchayats —
(1) There shall be constituted in every State, Panchayats at the village, intermediate and district levels in accordance with the provisions of this Part.
(2) Notwithstanding anything in clause (1), Panchayats at the intermediate level may not be constituted in a State having a population not exceeding twenty lakhs.

243C. Composition of Panchayats —
(1) Subject to the provisions of this Part, the Legislature of a State may, by law, make provisions with respect to the composition of Panchayats: Provided that the ratio between the population of the territorial area of a Panchayat at any level and the number of seats in such Panchayat to be filled by election shall, so far as practicable, be the same throughout the State.

(2) All the seats in a Panchayat shall be filled by persons chosen by direct election from territorial constituencies in the Panchayat area and; for this purpose, each Panchayat area shall be divided into territorial constituencies in such manner that the ratio between the population of each constituency and the number of seats allotted to it shall, so far as practicable, be the same throughout the Panchayat area.

(3) The Legislature of a State may, by law, provide for the representation—
   (a) of the Chairpersons of the Panchayats at the village-level, in the Panchayats at the intermediate level or, in the case of a State not having Panchayats at the intermediate level, in the Panchayats at the district level;
   (b) of the Chairpersons of the Panchayats at the intermediate-level, in the Panchayats at the district-level;
   (c) of the members of the House of the People and the members of the Legislative Assembly of the State representing constituencies which comprise wholly or partly a Panchayat area at a level other than the village-level, in such Panchayat;
   (d) of the members of the Council of States and the members of the Legislative Council of the State, where they are registered as electors within—
      (i) a Panchayat area at the intermediate-level, in Panchayat at the intermediate-level; and
      (ii) a Panchayat area at the district-level, in Panchayat at the district-level.

(4) The Chairperson of a Panchayat and other members of a Panchayat whether or not chosen by direct election from territorial constituencies in the Panchayat area shall have the right to vote in the meetings of the Panchayats.

(5) The Chairperson of—
   (a) a Panchayat at the village level shall be elected in such manner as the Legislature of a State may, by law, provide; and
   (b) a Panchayat at the intermediate level or district level shall be elected by, and from amongst, the elected members thereof.

243D. Reservation of seats —

(1) Seats shall be reserved for—
   (a) the Scheduled Castes; and
   (b) the Scheduled Tribes,

   In every Panchayat and the number of seats of reserved shall bear, as nearly as may be, the same proportion to the total number of seats to be filled by direct election in that Panchayat as the population of the Scheduled Castes in that Panchayat area or of the Scheduled Tribes in that Panchayat area bears to the total population of that area and such seats may be allotted by rotation to different constituencies in a Panchayat.

(2) Not less than one-third of the total number of seats reserved under clause (1) shall be reserved for women belonging to the Scheduled Castes or, as the case may be, the Scheduled Tribes.

(3) Not less than one-third (including the number of seats reserved for women belonging to the Scheduled Castes and the Scheduled Tribes) of the total number of seats to be filled by direct election in every Panchayat shall be reserved for women and such seats may be allotted by rotation to different constituencies in a Panchayat.

(4) The offices of the Chairpersons in the Panchayats at the village or any other level shall be reserved for the Scheduled Castes, the Scheduled Tribes and women in such
manner as the Legislature of a State may, by law, provide: Provided that the number of offices of Chairpersons reserved for the Scheduled Castes and the Scheduled Tribes in the Panchayats at each level in any State shall bear, as nearly as may be, the same proportion to the total number of such offices in the Panchayats at each level as the population of the Scheduled Castes in the State or of the Scheduled Tribes in the State bears to the total population of the State: Provided further that not less than one-third of the total number of offices of Chairpersons in the Panchayats at each level shall be reserved for women: Provided also that the number of offices reserved under this clause shall be allotted by rotation to different Panchayats at each level.

(5) The reservation of seats under clauses (1) and (2) and the reservation of offices of Chairpersons (other than the reservation for women) under clause (4) shall cease to have effect on the expiration of the period specified in article 334.

(6) Nothing in this Part shall prevent the Legislature of a State from making any provision for reservation of seats in any Panchayat or offices of Chairpersons in the Panchayats at any level in favour of backward class of citizens.

243E. Duration of Panchayats, etc.–

(1) Every Panchayat, unless sooner dissolved under any law for the time being in force, shall continue for five years from the date appointed for its first meeting and no longer.

(2) No amendment of any law for the time being in force shall have the effect of causing dissolution of a Panchayat at any level, which is functioning immediately before such amendment, till the expiration of its duration specified in clause (1).

(3) An election to constitute a Panchayat shall be completed-
   (a) before the expiry of its duration specified in clause (1);
   (b) before the expiration of a period of six months from the date of its dissolution: Provided that where the remainder of the period for which the dissolved Panchayat would have continued is less than six months, it shall not be necessary to hold any election under this clause for constituting the Panchayat for such period.

(4) A Panchayat constituted upon the dissolution of a Panchayat before the expiration of its duration shall continue only for the remainder of the period for which the dissolved Panchayat would have continued under clause (1) had it not been so dissolved.

243F. Disqualifications for membership –

(1) A person shall be disqualified for being chosen as, and for being, a member of a Panchayat-
   (a) if he is so disqualified by or under any law for the time being in force for the purposes of elections to the Legislature of the State concerned: Provided that no person shall be disqualified on the ground that he is less than twenty-five years of age, if he has attained the age of twenty-one years;
   (b) if he is so disqualified by or under any law made by the Legislature of the State.

(2) If any question arises as to whether a member of a Panchayat has become subject to any of the disqualifications mentioned in clause(1), the question shall be referred for the decision of such authority and in such manner as the Legislature of a State may, by law, provide.

243G. Powers, authority and responsibilities of Panchayats – Subject to the provisions of this Constitution, the Legislature of a State may, by law, endow the Panchayats with such powers and authority as may be necessary to enable them to function as institutions of self-government and such law may contain provisions for the devolution of powers and responsibilities upon Panchayats at the appropriate level, subject to such conditions as may be specified therein, with respect to-
   (a) the preparation of plans for economic development and social justice;
   (b) the implementation of schemes for economic development and social justice as may be entrusted to them including those in relation to the matters listed in the Eleventh Schedule.
243H. Powers to impose taxes by, and Funds of, the Panchayats.—The Legislature of a State may, by law—
(a) Authorize a Panchayat to levy, collect and appropriate such taxes, duties, tolls and fees in accordance with such procedure and subject to such limits;
(b) assign to a Panchayat such taxes, duties, tolls and fees levied and collected by the State Government for such purposes and subject to such conditions and limits;
(c) provide for making such grants-in-aid to the Panchayats from the Consolidated Fund of the State; and
(d) provide for constitution of such Funds for crediting all moneys received, respectively, by or on behalf of the Panchayats and also for the withdrawal of such moneys therefrom, as may be specified in the law.

243-I. Constitution of Finance Commission to review financial position—
(1) The Governor of a State shall, as soon as may be within one year from the commencement of the Constitution (73rd Amendment) Act, 1992, and thereafter at the expiration of every fifth year, constitute a Finance Commission to review the financial position of the Panchayats and to make recommendations to the Governor as to—
(a) the principles which should govern—
(i) the distribution between the State and the Panchayats of the net proceeds of the taxes, duties, tolls and fees leviable by the State, which may be divided between them under this Part and the allocation between the Panchayats at all levels of their respective shares of such proceeds;
(ii) the determination of the taxes, duties, tolls and fees which may be assigned to, or appropriated by, the Panchayat;
(iii) the grants-in-aid to the Panchayats from the Consolidated Fund of the State;
(b) the measures needed to improve the financial position of the Panchayats;
(c) any other matter referred to the Finance Commission by the Governor in the interests of sound finance of the Panchayats.
(2) The Legislature of a State may, by law, provide for the composition of the commission, the qualifications which shall be requisite for appointment as members thereof and the manner in which they shall be selected.
(3) The Commission shall determine their procedure and shall have such powers in the performance of their functions as the Legislature of the State may, by law, confer on them.
(4) The Governor shall cause every recommendation made by the Commission under this article together with an explanatory memorandum as to the action taken, thereon, to be laid before the Legislature of the State.

243J. Audit of accounts of Panchayats—The Legislature of a State may, by law, make provisions with respect to the maintenance of accounts by the Panchayats and the auditing of such accounts.

243K. Elections to the Panchayats—
(1) The superintendence, direction and control of the preparation of electoral rolls for, and the conduct of, all elections to the Panchayats shall be vested in a State Election Commission consisting of a State Election Commissioner to be appointed by the Governor.
(2) Subject to the provisions of any law made by the Legislature of a State, the conditions of service and tenure of office of the State Election Commissioner shall be such as the Governor may by rule determine: Provided that the State Election Commissioner shall not be removed from his office except in like manner and on the like grounds as a Judge of a High Court and the conditions of service of the State Election Commissioner shall not be varied to his disadvantage after his appointment.
(3) The Governor of a State shall, when so requested by the State Election Commission, make available to the State Election Commission such staff as may be necessary for the discharge of the functions conferred on the State Election Commission by clause (1).

(4) Subject to the provisions of this Constitution, the Legislature of a State may, by law, make provision with respect to all matters relating to, or in connection with, elections to the Panchayats.

243L. Application to Union territories – The provisions of this Part shall apply to the Union territories and shall, in their application to a Union territory, have effect as if the references to the Governor of a State were references to the Administrator of the Union Territory appointed under article 239 and references to the Legislature or the Legislative Assembly of a State were references, in relation to a Union territory having a Legislative Assembly, to that Legislative Assembly: Provided that the President may, by public notification, direct that the provisions of this Part shall apply to any Union territory or part thereof subject to such exceptions and modifications as he may specify in the notification.

243M. Part not to apply to certain areas –

(1) Nothing in this Part shall apply to the Scheduled Areas referred to in clause (1), and the tribal areas referred to in clause (2), of article 244.

(2) Nothing in this Part shall apply to –

(a) the States of Nagaland, Meghalaya and Mizoram;
(b) the Hill Areas in the State of Manipur for which District Councils exist under any law for the time being in force.

(3) Nothing in this Part –

(a) relating to Panchayats at the district – level shall apply to the hill areas of the District of Darjeeling in the State of West Bengal for which Darjeeling Gorkha Hill Council exists under any law for the time being in force;
(b) shall be construed to affect the functions and powers of the Darjeeling Gorkha Hill Council constituted under such law.

(4) Notwithstanding anything in this Constitution –

(a) the Legislature of a State referred to in sub-clause (a) of clause (2) may, by law, extend this Part to that State, except the areas, if any, referred to in clause (1), if the Legislative Assembly of that State passes a resolution to that effect by a majority of the total membership of that House and by a majority of not less than two-thirds of the members of that House present and voting;
(b) Parliament may, by law, extend the provisions of this Part to the Scheduled Areas and the tribal areas referred to in clause (1) subject to such exceptions and modifications as may be specified in such law, and no such law shall be deemed to be an amendment of this Constitution for the purposes of article 368.

243N. Continuance of existing laws and Panchayats –

Notwithstanding anything in this Part, any provision of any law relating to Panchayats in force in a State immediately before the commencement of the Constitution (73rd Amendment) Act, 1992, which is inconsistent with the provisions of this Part, shall continue to be in force until amended or repealed by a competent Legislature or other competent authority or until the expiration of one year from such commencement, whichever is earlier: Provided that all the Panchayats existing immediately before such commencement shall continue till the expiration of their duration, unless sooner dissolved by a resolution passed to that effect by the Legislative Assembly of that State or, in the case of a State having a Legislative Council, by each House of the Legislature of that State.
243-O. Bar to interference by courts in electoral matters – Notwithstanding anything in this Constitution –
(a) the validity of any law relating to the delimitation of constituencies or the allotment of seats to such constituencies, made or purporting to be made under article 243K, shall not be called in question in any court;
(b) no election to any Panchayat shall be called in question except by an election petition presented to such authority and in such manner as is provided for by or under any law made by the Legislature of a State. Amendment of article 280. In clause(3) of article 280 of the Constitution, after sub-clause (b), the following sub-clause shall be inserted, namely:–
“(bb) the measures needed to augment the Consolidated Fund of a State to supplement the resources of the Panchayats in the State on the basis of the recommendations made by the Finance Commission of the State;”.
4. Amendment of Eleventh Schedule.—After the Tenth Schedule in the Constitution, the following Schedule shall be added, namely:–

**“Eleventh Schedule”**

(Article 243G)

1. Agriculture, including agricultural extension.
2. Land improvement, implementation of land reforms, land consolidation and soil conservation.
3. Minor irrigation, water management and watershed development.
4. Animal husbandry, dairying and poultry.
5. Fisheries.
6. Social forestry and farm forestry.
7. Minor forest produce.
8. Small scale industries, including food processing industries.
10. Rural housing.
11. Drinking water.
12. Fuel and fodder.
13. Roads, culverts, bridges, ferries, waterways and other means of communication.
14. Rural electrification, including distribution of electricity.
15. Non-conventional energy sources.
16. Poverty alleviation program.
17. Education, including primary and secondary schools.
18. Technical training and vocational education.
19. Adult and non-formal education.
21. Cultural activities.
22. Markets and fairs.
23. Health and sanitation, including hospitals, primary health centres and dispensaries.
24. Family welfare.
25. Women and child development.
26. Social welfare, including welfare of the handicapped and mentally retarded.
27. Welfare of the weaker sections, and in particular, of the Scheduled Castes and the Scheduled Tribes.
28. Public distribution system.
29. Maintenance of community assets.”.
An Act to provide for the extension of the provisions of Part IX of the Constitution relating to the Panchayats to the Scheduled Areas.

Be it enacted by Parliament in the Forty-Seventh Year of the Republic of India as follows:

1. **Short title** – This Act may be called the Provisions of the Panchayats (Extension to the Scheduled Areas) Act, 1996.

2. **Definition** – In this Act, unless the context otherwise requires “Scheduled Areas” means the Scheduled Areas as referred to in clause (1) of article 244 of the Constitution.

3. **Extension of Part IX of the Constitution** – The provisions of the Part IX of the Constitution relating to Panchayats are hereby extended to the Scheduled Areas subject to such exceptions and modifications as are provided in section 4.

4. Exceptions and modifications to Part IX of the Constitution – Notwithstanding anything contained under Part IX of the Constitution, 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 a 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 culture identity, community resources and the customary mode of dispute resolution;

   (e) every Gram Sabha shall:-

      (i) approve the plans, programs and projects for social and economic development before such plans, programs 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 programs;

   (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, programs 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 the 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 no 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 Panchayat at the appropriate level shall be consulted before making any acquisition of land in the Scheduled Areas for development projects and before resetting 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 licence 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;
(m) while endowing Panchayats in the Scheduled Areas with such powers and authority as may be necessary to enable them to function as institutions of self-government, a State Legislature shall ensure that the Panchayats at the appropriate level and the Gram Sabha are endowed specially 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 powers 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;
(n) the State legislations that may endow Panchayats with powers and authority as may be necessary to enable them to function as institutions of self-government shall contain safeguards to ensure that Panchayats at the higher level do not assume the powers and authority of any Panchayats at the lower level or the Gram Sabha;
(o) the State Legislature shall endeavor to maintain the pattern of the Sixth Schedule to the Constitution while designing the administrative arrangements in the Panchayats at district-level in the Scheduled Areas.

5. Continuance of existing laws and Panchayats – Notwithstanding anything in Part IX of the Constitution with exceptions and modifications made by this Act, any provision of any law relating to Panchayats in force in the Scheduled Areas immediately before the date on which the Act receives the assent of the President, which is inconsistent with the provisions of the Part IX with such exceptions and modifications shall continue to be in force until amended or repealed by a competent Legislature or other competent authority or until the expiration of one year from the date on which this Act receives assent of the President.
Provided that all the Panchayats existing immediately before such date shall continue till the expiration of their duration unless sooner dissolved by a resolution passed to that effect by the Legislative Assembly of that State or, in case of a State having Legislative Council be each House of the Legislature of that State.
## Status of PRI

### Status of Devolution of Funds, Functions and Functionaries to Panchayati Raj Institutes

(As on 1.4.2004)

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>States/UTs</th>
<th>No. of Departments/subjects Transferred to Panchayats with Funds</th>
<th>Functions</th>
<th>Functionaries</th>
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<tr>
<td>1.</td>
<td>Karnataka</td>
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<td>2.</td>
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<td>6.</td>
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<td>8.</td>
<td>Bihar</td>
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<td>only functional control</td>
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<td>Panchayati Raj System</td>
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<td>31</td>
<td>Lakshadweep</td>
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The provision of the Constitution (73rd Amendment) Act, 1992 are not applicable to the States of J&K, Meghalaya, Mizoram and Nagaland.
Key Laws and Orders Relating to Tribal Evictions from Forest Land

1927 *Indian Forest Act*. The government “can constitute any forest land or waste land which is the property of Government or over which the Government has proprietary rights, a reserved forest, by issuing a notification to this effect”.*

1980 *Forests Conservation Act* (simultaneously, the 42nd Constitutional Amendment shifts forests from the “State List” to the “Concurrent List”). The FCA prohibits non-forest use of forest land without GOI approval. Also advocates “sustainable forest management through participatory approach”, with “due regard to the traditional rights of the tribal people on forest land”.*

1988 *National Forest Policy*.

1990, May 28 Dr. B.D. Sharma, Commissioner for SCs and STs, submits the 29th Report on the conditions of SCs and STs.

1990, Sep 18 MoEF issues six sets of Guidelines (the “1990 Guidelines”) in pursuance of the National Forest Policy and Dr. B.D. Sharma’s letter. FP(1) deals with “Encroachment on Forest Land”, FP(2) with “Disputed Claims”, FP(3) with Leases/Pattas and FP(5) with Conversion of Forest Villages and Settlement of Old Habitations.

1991, Oct 28 Committee constituted by Supreme Court to Investigate into Claims of adivasis for Regularization of Encroachments files its Report concerning Evidence to be Examined and Criteria for Regularization.

1991, Oct 28 Supreme Court in its Order expressly directing that the Competent Authority even in cases where claims are not accompanied by documentary evidence must inquire into the claim.

1995, Mar 7 Supreme Court directs States of Maharashtra & MP to implement FP(1) in WP 1778/1986 (Pradip Prabhu vs State of Maharashtra). Poor implementation in States except with Co-Petitioners of 1778/86.

1990-2001 *State governments fail to implement the 1990 Guidelines* (except FP(1) to some extent). Lack of clarity about Guidelines and verification procedures persists. Issues of “encroachments” and “disputed claims” remain unresolved. The encroachments issue dominates MoEF attention while the question of disputed claims and related matters (leases/pattas, forest villages, etc.) are lost sight of.

2001, Nov 23 Amicus Curiae files IA 703 in the “Godarvarman case” (Writ Petition (C) No. 202 of 1995), which seeks to restrain “regularization of any encroachments” as well as “further encroachments”, and “steps to clear the encroachments in forests which have taken place after 1980”. Prayer (a) requests the Court to “restrain the Union of India from permitting regularization of any encroachments whatsoever without leave of this Hon’ble Court”.

2001, Nov 23 SC registers IA 703 and states that “there will be an interim order in terms of prayer (a)”. However, there is no SC order directing the States/GOI to evict “encroachers” from forest land.
2002, Feb 18 SC directs Chief Secretaries to file a reply to IA 703.1

2002, May 3 Letter of Inspector General of Forests (IGF) instructs state governments “to evict the ineligible encroachers and all post-1980 encroachers from forest lands in a time bound manner”*.2

This letter refers to the SC order of 23 November 2001 in IA 703, and apparently created an impression that the SC had ordered the States to evict “encroachers” from forest land. This triggered a wave of brutal evictions around the country.


2002, Oct 30 Follow-up order of IGF clarifies that the 1990 Guidelines continue to apply. “There is no change in the policy of the Ministry with regard to regularization of pre-1980 eligible encroachments, and the commitment with reference to forest-tribal interface on the disputed settlement claims [remains] valid.”* The order also states that “In respect of disputed claims of eligible encroachments of the tribals for want of First Offence Report/settlement of rights etc., the States may consider setting up Commission/Committees at the level of districts for their settlement provided other conditions are fulfilled”. However the letter also states: “The States should simultaneously show progress on the eviction of ineligible encroachments. The States may consider ‘in situ’ rehabilitation involving these ineligible encroachers in forestry activities through Joint Forest Management.”

2004, Feb 3 MoEF issues supplementary guidelines aimed at “stepping up of process for conversion of forest villages into revenue villages”.

2004, Feb 5 MoEF issues supplementary guidelines “to encourage the State Governments/UT Administrations to take up the matter of settlement of rights of tribals and forest dwellers in the right earnest and perspective”.* However, these guidelines (and the 3 February guidelines) are stayed by the Supreme Court on 23 February 2004. The Central Government has moved an application to vacate the stay.

1 The order reads: “The Chief Secretaries of Orissa, West Bengal, Karnataka, Tamil Nadu, Assam, Maharashtra, Madhya Pradesh, Chhattisgarh and Kerala are directed to file a reply to this I.A. , in so far as it concerns the said states in relation to the steps required to be taken by them to prevent further encroachment of forest land and in particular land in the hilly terrains, national parks and sanctuaries, etc. It should also be indicated as to what steps have been taken to clear encroachments from the forest which have taken place at an earlier point of time. Affidavits be filed by the said States and the Union of India within four weeks.” (See ES, p. 225.)

2 “All encroachments which are not eligible for regularization as per guidelines issued by the Ministry vide No. 13.1/90-F.P.(1) dated 18.9.90 should be summarily evicted in a time bound manner and in any case no later than 30th September 2002.”
Annexure 15

About Right to Information

When does it come into force?
Who is covered?
What does information mean?
What does Right to Information mean?

1. When does it come into force?

It comes into force on the 12th October, 2005 (120th day of its enactment on 15th June, 2005). Some provisions have come into force with immediate effect viz. obligations of public authorities [S.4(1)], designation of Public Information Officers and Assistant Public Information Officers[S.5(1) and 5(2)], constitution of Central Information Commission (S.12 and 13), constitution of State Information Commission (S.15 and 16), non-applicability of the Act to Intelligence and Security Organizations (S.24) and power to make rules to carry out the provisions of the Act (S.27 and 28).

2. Who is covered?

The Act extends to the whole of India except the State of Jammu and Kashmir. [S.(12)]

3. What does information mean?

Information means any material in any form including records, documents, memos, e-mails, opinions, advices, press releases, circulars, orders, logbooks, contracts, reports, papers, samples, models, data material held in any electronic form and information relating to any private body which can be accessed by a public authority under any other law for the time being in force but does not include “file notings” [S.2(f)].

4. What does Right to Information mean?

It includes the right to -

i. inspect works, documents, records.
ii. take notes, extracts or certified copies of documents or records.
iii. take certified samples of material.
iv. obtain information in form of printouts, diskettes, floppies, tapes, video cassettes or in any other electronic mode or through printouts.[S.2(j)]

Officers and their obligations

What are the obligations of public authority?
What does a “public authority” mean?
Who are Public Information Officers (PIOs)?
What are the duties of a PIO?
1. What are the obligations of public authority?

It shall publish within one hundred and twenty days of the enactment:-

i. the particulars of its organization, functions and duties;

ii. the powers and duties of its officers and employees;

iii. the procedure followed in its decision making process, including channels of supervision and accountability;

iv. the norms set by it for the discharge of its functions;

v. the rules, regulations, instructions, manuals and records used by its employees for discharging its functions;

vi. a statement of the categories of the documents held by it or under its control;

vii. the particulars of any arrangement that exists for consultation with, or representation by the members of the public, in relation to the formulation of policy or implementation thereof;

viii. a statement of the boards, councils, committees and other bodies consisting of two or more persons constituted by it. Additionally, information as to whether the meetings of these are open to the public, or the minutes’ of such meetings are accessible to the public;

ix. a directory of its officers and employees;

x. the monthly remuneration received by each of its officers and employees, including the system of compensation as provided in its regulations;

xi. the budget allocated to each of its agency, indicating the particulars of all plans, proposed expenditures and reports on disbursements made;

xii. the manner of execution of subsidy programs, including the amounts allocated and the details and beneficiaries of such programs;

xiii. particulars of recipients of concessions, permits or authorizations granted by it;

xiv. details of the information available to, or held by it, reduced in an electronic form;

xv. the particulars of facilities available to citizens for obtaining information, including the working hours of a library or reading room, if maintained for public use;

xvi. the names, designations and other particulars of the Public Information Officers.[S.4(1)(b)]

2. What does a “public authority” mean?

It means any authority or body or institution of self-government established or constituted: [S.2(h)]

- by or under the Constitution;
- by any other law made by Parliament;
- by any other law made by State Legislature;
- by notification issued or order made by the appropriate Government and includes any –
  a. body owned, controlled or substantially financed
  b. non-government organization substantially financed directly or indirectly by the appropriate Government.

3. Who are Public Information Officers (PIOs)?

PIOs are officers designated by the public authorities in all administrative units or offices under it to provide information to the citizens requesting for information under the Act. Any officer, whose assistance has been sought by the PIO for the proper discharge of his or her duties, shall render all assistance and for the purpose of contraventions of the provisions of this Act, such other officer shall be treated as a PIO.
4. What are the duties of a PIO?

- PIO shall deal with requests from persons seeking information and where the request cannot be made in writing, to render reasonable assistance to the person to reduce the same in writing.
- If the information requested for is held by or its subject matter is closely connected with the function of another public authority, the PIO shall transfer, within 5 days, the request to that other public authority and inform the applicant immediately.
- PIO may seek the assistance of any other officer for the proper discharge of his/her duties.
- PIO, on receipt of a request, shall as expeditiously as possible, and in any case within 30 days of the receipt of the request, either provide the information on payment of such fee as may be prescribed or reject the request for any of the reasons specified in S.8 or S.9.
- Where the information requested for concerns the life or liberty of a person, the same shall be provided within forty-eight hours of the receipt of the request.
- If the PIO fails to give decision on the request within the period specified, he shall be deemed to have refused the request.
- Where a request has been rejected, the PIO shall communicate to the requester - (i) the reasons for such rejection, (ii) the period within which an appeal against such rejection may be preferred, and (iii) the particulars of the Appellate Authority.
- PIO shall provide information in the form in which it is sought unless it would disproportionately divert the resources of the Public Authority or would be detrimental to the safety or preservation of the record in question.
- If allowing partial access, the PIO shall give a notice to the applicant, informing:
  a. that only part of the record requested, after severance of the record containing information which is exempt from disclosure, is being provided;
  b. the reasons for the decision, including any findings on any material question of fact, referring to the material on which those findings were based;
  c. the name and designation of the person giving the decision;
  d. the details of the fees calculated by him or her and the amount of fee which the applicant is required to deposit; and
  e. his or her rights with respect to review of the decision regarding non-disclosure of part of the information, the amount of fee charged or the form of access provided.
- If information sought has been supplied by third party or is treated as confidential by that third party, the PIO shall give a written notice to the third party within 5 days from the receipt of the request and take its representation into consideration.
- Third party must be given a chance to make a representation before the PIO within 10 days from the date of receipt of such notice.

What information is available?

What is not open to disclosure?

Is partial disclosure allowed?

Who is excluded?

1. What is not open to disclosure?

The following is exempt from disclosure [S.8]

i. information, disclosure of which would prejudicially affect the sovereignty and integrity of India, the security, strategic, scientific or economic interests of the State, relation with
foreign State or lead to incitement of an offence;

ii. information which has been expressly forbidden to be published by any court of law or tribunal or the disclosure of which may constitute contempt of court;

iii. information, the disclosure of which would cause a breach of privilege of Parliament or the State Legislature;

iv. information including commercial confidence, trade secrets or intellectual property, the disclosure of which would harm the competitive position of a third party, unless the competent authority is satisfied that larger public interest warrants the disclosure of such information;

v. information available to a person in his fiduciary relationship, unless the competent authority is satisfied that the larger public interest warrants the disclosure of such information;

vi. information received in confidence from foreign Government;

vii. information, the disclosure of which would endanger the life or physical safety of any person or identify the source of information or assistance given in confidence for law enforcement or security purposes;

viii. information which would impede the process of investigation or apprehension or prosecution of offenders;

ix. cabinet papers including records of deliberations of the Council of Ministers, Secretaries and other officers;

x. information which relates to personal information the disclosure of which has no relationship to any public activity or interest, or which would cause unwarranted invasion of the privacy of the individual;

xi. Notwithstanding any of the exemptions listed above, a public authority may allow access to information, if public interest in disclosure outweighs the harm to the protected interests.

2. Is partial disclosure allowed?

Only that part of the record which does not contain any information which is exempt from disclosure and which can reasonably be severed from any part that contains exempt information, may be provided. [S.10]

3. Who is excluded?

Central Intelligence and Security agencies specified in the Second Schedule like IB, R&AW, Directorate of Revenue Intelligence, Central Economic Intelligence Bureau, Directorate of Enforcement, Narcotics Control Bureau, Aviation Research Centre, Special Frontier Force, BSF, CRPF, ITBP, CISF, NSG, Assam Rifles, Special Service Bureau, Special Branch (CID), Andaman and Nicobar, The Crime Branch-CID-CB, Dadra and Nagar Haveli and Special Branch, Lakshadweep Police. Agencies specified by the State Governments through a Notification will also be excluded. The exclusion, however, is not absolute and these organizations have an obligation to provide information pertaining to allegations of corruption and human rights violations. Further, information relating to allegations of human rights valuations could be given but only with the approval of the Central or State Information Commission, as the case may be. [S.24]

Procedure for Request of Information

What is the Application Procedure for requesting information?
What is the time limit to get the information?
What is the fee?
What could be the ground for rejection?
1. What is the Application Procedure for requesting information?

1. Apply in writing or through electronic means in English or Hindi or in the official language of the area, to the PIO, specifying the particulars of the information sought for.
2. Reason for seeking information are not required to be given;
3. Pay fees as may be prescribed (if not belonging to the below poverty line category).

2. What is the time limit to get the information?

1. 30 days from the date of application.
2. 48 hours for information concerning the life and liberty of a person.
3. 5 days shall be added to the above response time, in case the application for information is given to Assistant Public Information Officer.
4. If the interests of a third party are involved then time limit will be 40 days (maximum period + time given to the party to make representation).
5. Failure to provide information within the specified period is a deemed refusal.

3. What is the fee?

1. Application fees to be prescribed which must be reasonable;
2. If further fees are required, then the same must be intimated in writing with calculation details of how the figure was arrived at;
3. Applicant can seek review of the decision on fees charged by the PIO by applying to the appropriate Appellate Authority;
4. No fees will be charged from people living below the poverty line;
5. Applicant must be provided information free of cost if the PIO fails to comply with the prescribed time limit.

4. What could be the ground for rejection?

1. If it is covered by exemption from disclosure. (S.8)
2. If it infringes copyright of any person other than the State. (S.9)

Information Commissions

How is Central Information Commission constituted?
What is the eligibility criteria and what is the process of appointment of CIC/IC?
What is the term of office and other service conditions of CIC?
What is the term of office and other service conditions of IC?
How is the State Information Commission constituted?
What is the eligibility criterion and what is the process of appointment of State Chief Information Commissioner/State Information Commissioners?
What are the powers and functions of Information Commissions?
What is the reporting procedure?

1. How is Central Information Commission constituted?

1. Central Information Commission to be constituted by the Central Government through a Gazette Notification.
2. Commission includes 1 Chief Information Commissioner (CIC) and not more than 10 Information Commissioners (IC) who will be appointed by the President of India.

3. Oath of Office will be administered by the President of India according to the form set out in the First Schedule.

4. Commission shall have its Headquarters in Delhi. Other offices may be established in other parts of the country with the approval of the Central Government.

5. Commission will exercise its powers without being subjected to directions by any other authority. (S.12)

2. What is the eligibility criteria and what is the process of appointment of CIC/IC?

1. Candidates for CIC/IC must be persons of eminence in public life with wide knowledge and experience in law, science and technology, social service, management, journalism, mass media or administration and governance.

2. CIC/IC shall not be a Member of Parliament or Member of the Legislature of any State or Union Territory. He shall not hold any other office of profit or connected with any political party or carrying on any business or pursuing any profession. (S.12)

3. Appointment Committee includes Prime Minister (Chair), Leader of the Opposition in the Lok Sabha and one Union Cabinet Minister to be nominated by the Prime Minister.

3. What is the term of office and other service conditions of CIC?

1. CIC shall be appointed for a term of 5 years from date on which he enters upon his office or till he attains the age of 65 years, whichever is earlier.

2. CIC is not eligible for reappointment.

3. Salary will be the same as that of the Chief Election Commissioner. This will not be varied to the disadvantage of the CIC during service. (S.13)

4. What is the term of office and other service conditions of IC?

1. IC shall hold office for a term of five years from the date on which he enters upon his office or till he attains the age of sixty-five years, whichever is earlier and shall not be eligible for reappointment as IC.

2. Salary will be the same as that of the Election Commissioner. This will not be varied to the disadvantage of the IC during service.

3. IC is eligible for appointment as CIC but will not hold office for more than a total of five years including his/her term as IC. (S.13)

5. How is the State Information Commission constituted?

1. The State Information Commission will be constituted by the State Government through a Gazette notification. It will have one State Chief Information Commissioner (SCIC) and not more than 10 State Information Commissioners (SIC) to be appointed by the Governor.

2. Oath of office will be administered by the Governor according to the form set out in the First Schedule.

3. The headquarters of the State Information Commission shall be at such place as the State Government may specify. Other offices may be established in other parts of the State with the approval of the State Government.

4. The Commission will exercise its powers without being subjected to any other authority.
6. What is the eligibility criterion and what is the process of appointment of State Chief Information Commissioner/State Information Commissioners?

The Appointments Committee will be headed by the Chief Minister. Other members include the Leader of the Opposition in the Legislative Assembly and one Cabinet Minister nominated by the Chief Minister.

The qualifications for appointment as SCIC/SIC shall be the same as that for Central Commissioners.

The salary of the State Chief Information Commissioner will be the same as that of an Election Commissioner. The salary of the State Information Commissioner will be the same as that of the Chief Secretary of the State Government. (S.15)

7. What are the powers and functions of Information Commissions?

1. The Central Information Commission/State Information Commission has a duty to receive complaints from any person –
   a) who has not been able to submit an information request because a PIO has not been appointed;
   b) who has been refused information that was requested;
   c) who has received no response to his/her information request within the specified time limits;
   d) who thinks the fees charged are unreasonable;
   e) who thinks information given is incomplete or false or misleading; and
   f) any other matter relating to obtaining information under this law.

2. Power to order inquiry if there are reasonable grounds.

3. CIC/SCIC will have powers of Civil Court such as –
   a) summoning and enforcing attendance of persons, compelling them to give oral or written evidence on oath and to produce documents or things;
   b) requiring the discovery and inspection of documents;
   c) receiving evidence on affidavit;
   d) requisitioning public records or copies from any court or office;
   e) issuing summons for examination of witnesses or documents;
   f) any other matter which may be prescribed.

4. All records covered by this law (including those covered by exemptions) must be given to CIC/SCIC during inquiry for examination.

5. Power to secure compliance of its decisions from the Public Authority includes-
   a) providing access to information in a particular form;
   b) directing the public authority to appoint a PIO/APIO where none exists;
   c) publishing information or categories of information;
   d) making necessary changes to the practices relating to management, maintenance and destruction of records;
   e) enhancing training provision for officials on RTI;
   f) seeking an annual report from the public authority on compliance with this law;
   g) require it to compensate for any loss or other detriment suffered by the applicant;
   h) impose penalties under this law; or
   i) reject the application. (S.18 and S.19)
8. What is the reporting procedure?

1. Central Information Commission will send an annual report to the Central Government on the implementation of the provisions of this law at the end of the year. The State Information Commission will send a report to the State Government.
2. Each Ministry has a duty to compile reports from its Public Authorities and send them to the Central Information Commission or State Information Commission, as the case may be.
3. Each report will contain details of number of requests received by each Public Authority, number of rejections and appeals, particulars of any disciplinary action taken, amount of fees and charges collected etc.
4. Central Government will table the Central Information Commission report before Parliament after the end of each year. The concerned State Government will table the report of the State Information Commission before the Vidhan Sabha (and the Vidhan Parishad wherever applicable). (S.25).

Role of the Governments

What is the role of Central/State Governments?
Who has the Rule making power?
Who has the power to deal with the difficulties while implementing this act?

1. What is the role of Central/State Governments?

1. Develop educational programs for the public especially disadvantaged communities on RTI.
2. Encourage Public Authorities to participate in the development and organization of such programs.
3. Promote timely dissemination of accurate information to the public.
4. Train officers and develop training materials.
6. Publish names, designation postal addresses and contact details of PIOs and other information such as notices regarding fees to be paid, remedies available in law if request is rejected etc. (S.26)

2. Who has the Rule making power?

Central Government, State Governments and the Competent Authority as defined in S.2(e) are vested with powers to make rules to carry out the provisions of the Right to Information Act, 2005. (S.27 & S.28)

3. Who has the power to deal with the difficulties while implementing this act?

If any difficulty arises in giving effect to the provisions in the Act, the Central Government may, by Order published in the Official Gazette, make provisions necessary/expedient for removing the difficulty. (S.30)
New Delhi, the 7th September; 2005/Bhadra 16, 1927 (Saka)
The following Act of Parliament received the assent of the President on 5th September, 2005 and is hereby published for general information:-


An Act to provide for the enhancement of livelihood security of the households in rural areas of the country by providing at least one hundred days of guaranteed wage employment in every financial year to every household whose adult members volunteer to do unskilled manual work and for matters connected therewith or incidental thereto.

BE it enacted by Parliament in the Fifty-sixth Year of the Republic of India as follows:-

Chapter I

Preliminary

1. (1) This Act may be called the National Rural Employment Guarantee Act, 2005.
   (2) It extends to the whole of India except the State of Jammu and Kashmir.
   (3) It shall come into force on such date as the Central Government may, by notification in the Official Gazette, appoint; and different dates may be appointed for different States or for different areas in a State and any reference in any such provision to the commencement of this Act shall be construed as a reference to the coming into force of that provision in such State or, as the case may be, in such area:
   Provided that this Act shall be applicable to the whole of the territory to which it extends within a period of five years from the date of enactment of this Act.

2. In this Act, unless the context otherwise requires,-
   (a) “adult” means a person who has completed his eighteen years of age;
   (b) “applicant” means the head of a household or any of its other adult members who has applied for employment under the Scheme;
   (c) “Block” means a community development area within a district comprising a group of Gram Panchayats;
   (d) “Central Council” means the Central Employment Guarantee Council constituted under subsection (1) of section 10;
   (e) “District Program Coordinator” means an officer of the State Government designated as such under sub-section (1) of section 14 for implementation of the Scheme in a district;
   (f) “household” means the members of a family related to each other by blood, marriage or adoption and normally residing together and sharing meals or holding a common ration card;
   (g) “implementing agency” includes any department of the Central Government or a State Government, a Zila Parishad, Panchayat at intermediate level, Gram Panchayat or any local authority or Government undertaking or non-governmental organization authorised by the
Central Government or the State Government – to undertake the implementation of any work taken up under a Scheme;

(h) “minimum wage”, in relation to any area, means the minimum wage fixed by the State Government under section 3 of the Minimum Wages Act, 1948 for agricultural laborers as applicable in that area;

(i) “National Fund” means the National Employment Guarantee Fund established under sub-section (1) of section 20;

(j) “notification” means a notification published in the Official Gazette;

(k) “preferred work” means any work which is taken up for implementation on a priority basis under a Scheme;

(l) “prescribed” means prescribed by rules made under this Act;

(m) “Program Officer” means an officer appointed under sub-section (1) of section 15 for implementing the Scheme;

(n) “project” means any work taken up under a Scheme for the purpose of providing employment to the applicants;

(o) “rural area” means any area in a State except those areas covered by any urban local body or a Cantonment Board established or constituted under any law for the time being in force;

(p) “Scheme” means a Scheme notified by the State Government under subsection (1) of section 4;

(q) “State Council” means the State Employment Guarantee Council constituted under sub-section (1) of section 12;

(r) “unskilled manual work” means any physical work which any adult person is capable of doing without any skill or special training;

(s) “wage rate” means the wage rate referred to in section 6.

Chapter II

Guarantee of Employment in Rural Areas

3. (1) Save as otherwise provided, the State Government shall, in such rural area in the State as may be notified by the Central Government, provide to every household whose rural adult members volunteer to do unskilled manual work not less than one hundred days of such work in financial year in accordance with the Scheme made under this Act.

(2) Every person who has done the work given to him under the Scheme shall be entitled to receive wages at the wage rate for each day of work.

(3) Save as otherwise provided in this Act, the disbursement of daily wages shall be made on a weekly basis or in any case not later than a fortnight after the date on which such work was done.

(4) The Central Government or the State Government may, within the limits of its economic capacity and development, make provisions for securing work to every adult member of a household under a Scheme for any period beyond the period guaranteed under sub-section (1), as may be expedient.
Chapter III

Employment Guarantee Schemes And Unemployment Allowance

Employment Guarantee Schemes for rural areas

4. (1) For the purposes of giving effect to the provisions of section 3, every State Government shall, within six months from the date of commencement of this Act, by notification, make a Scheme, for providing not less than one hundred days of guaranteed employment in a financial year to every household in the rural areas covered under the Scheme and whose adult members, by application, volunteer to do unskilled manual work subject to the conditions laid down by or under this Act and in the Scheme:

Provided that until any such Scheme is notified by the State Government, the Annual Action Plan or Perspective Plan for the Sampoorna Grameen Rozgar Yojana (SGRY) or the National Food for Work Program (NFFWP) whichever is in force in the concerned area immediately before such notification shall be deemed to be the action plan for the Scheme for the purposes of this Act.

(2) The State Government shall publish a summary of the Scheme made by it in at least two local newspapers, one of which shall be in a vernacular language circulating in the area or areas to which such Scheme shall apply.

(3) The Scheme made under sub-section (1) shall provide for the minimum features specified in Schedule I.

Conditions for providing guaranteed employment

5. (1) The State Government may, without prejudice to the conditions specified in Schedule II, specify in the Scheme the conditions for providing guaranteed employment under this Act.

(2) The persons employed under any Scheme made under this Act shall be entitled to such facilities not less than the minimum facilities specified in Schedule II.

6. (1) Notwithstanding anything contained in the Minimum Wages Act, 1948, the Central Government may, by notification, specify the wage rate for the purposes of this Act:

Provided that different rates of wages may be specified for different areas:

Provided further that the wage rate specified from time to time under any such notification shall not be at a rate less than sixty rupees per day.

(2) Until such time as a wage rate is fixed by the Central Government in respect of any area in a State, the minimum wage fixed by the State Government under section 3 of the Minimum Wages Act, 1948 for agricultural laborers, shall be considered as the wage rate applicable to that area. 11 of 1948.

7. (1) If an applicant for employment under the Scheme is not provided such employment within fifteen days of receipt of his application seeking employment or from the date on which the employment has been sought in the case of an advance application, whichever is later, he shall be entitled to a daily unemployment allowance in accordance with this section.

(2) Subject to such terms and conditions of eligibility as may be prescribed by the State Government and subject 10 the provisions of this Act and the Schemes and the economic
capacity of the State Government, the unemployment allowance payable under sub-
section (1) shall be paid to the applicants of a household subject to the entitlement of
the household at such rate as may be specified by the State Government, by notification,
in consultation with the State Council: Provided that no such rate shall be less than one-
fourth of the wage rate for the first thirty days during the financial year and not less than
one-half of the wage rate for the remaining period of the financial year.
(3) The liability of the State Government to pay unemployment allowance to a household
during any financial year shall cease as soon as – (a) the applicant is directed by the Gram
Panchayat or the Program Officer to report for work either by himself or depute at least one
adult member of his household; or (b) the period for which employment is sought comes to
an end and no member of the household of the applicant had turned up for employment; or
(c) the adult members of the household of the applicant have received in total at least one
hundred days of work within the financial year; or (d) the household of the applicant has
earned as much from the wages and unemployment allowance taken together which is equal
to the wages for one hundred days of work during the financial year.
(4) The unemployment allowance payable to, the household of an applicant jointly shall be
sanctioned and disbursed by the Program Officer or such local authority (including the
Panchayats at the district, intermediate or village level) as the State Government may, by
notification, authorise in this behalf.
(5) Every payment of unemployment allowance under sub-section
(1) shall be made or offered not later than fifteen days from the date on which it became
due for payment.
(6) The State Government may prescribe the procedure for payment than employment
allowance under this Act.

Non disbursement of unemployment allowance in certain circumstances

8. (1) If the Program Officer is not in a position to disburse the unemployment disbursement
allowance in time or at all for any reason beyond his control, he shall report the matter
to of the District Program Coordinator and announce such reasons in a notice to be
displayed on his notice board and the notice board of the Gram Panchayat and such other
certain conspicuous places as he may deem necessary circumstances.
(2) Every case of non-payment or delayed payment of unemployment allowance shall be
reported in the annual report submitted by the District Program Coordinator to the State
Government along with the reasons for such non-payment or delayed payment.
(3) The State Government shall take all measures to make the payment of unemployment
allowance reported under sub-section (1) to the concerned household as expeditiously
as possible. Before 9 Disentitlement to receive unemployment allowance in certain
circumstances. (a) does not accept the employment provided to his household under a
Scheme; or (b) does not report for work within fifteen days of being notified by the Program
Officer or the implementing agency to report for the work; or (c) continuously remains
absent from work, without obtaining a permission from the concerned implementing
agency for a period of more than one week or remains absent for a total period of
more than one week in any month, shall not be eligible to claim the unemployment
allowance payable under this Act for a period of three months but shall be eligible to seek
employment under the Scheme at any time.
Chapter IV
Implementing and Monitoring Authorities

Central Employment Guarantee Council

10. (1) With effect from such date as the Central Government may, by notification specify, there shall be constituted a Council to be called the Central Employment Guarantee Council to discharge the functions, and perform the duties, assigned to it by or under this Act.

(2) The headquarters of the Central Council shall be at Delhi.

(3) The Central Council shall consist of the following members to be appointed by the Central Government, namely:-

(a) a Chairperson;

(b) not more than such number of representatives of the Central Ministries including the Planning Commission not below the rank of Joint Secretary to the Government of India as may be determined by the Central Government;

(c) not more than such number of representatives of the State Governments as may be determined by the Central Government;

(d) not more than fifteen non-official members representing Panchayati Raj Institutions, organizations of workers and disadvantaged groups:

Provided that such non-official members shall include two chairpersons of District Panchayats nominated by the Central Government by rotation for a period of one year at a time:

Provided further that not less than one-third of the non-official members nominated under this clause shall be women:

Provided also that not less than one-third of the non-official members shall be belonging to the Scheduled Castes, the Scheduled Tribes, the Other Backward Classes and Minorities;

(e) such number of representatives of the States as the Central Government may, by rules, determine in this behalf;

(f) a Member-Secretary not below the rank of Joint Secretary to the Government of India.

(4) The terms and conditions subject to which the Chairperson and other members of the Central Council may be appointed and the time, place and procedure of the meetings (including the quorum at such meetings) of the Central Council shall be such as may be prescribed by the Central Government.

Functions and duties of Central Council

11. (1) The Central Council shall perform and discharge the following functions and duties, namely:-

(a) establish a central evaluation and monitoring system;

(b) advise the Central Government on all matters concerning the implementation of this Act;

(c) review the monitoring and redressal mechanism from time to time and recommend improvements required;

(d) promote the widest possible dissemination of information about the Schemes made under this Act;
(e) monitoring the implementation of this Act;
(f) preparation of annual reports to be laid before Parliament by the Central Government on the implementation of this Act;
(g) any other duty or function as may be assigned to it by the Central Government.

(2) The Central Council shall have the power to undertake evaluation of the various Schemes made under this Act and for that purpose collect or cause to be collected statistics pertaining to the rural economy and the implementation of the Schemes.

12. (1) For the purposes of regular monitoring and reviewing the implementation of this Act at the State level, every State Government shall constitute a State Council to be known as the (name of the State) State Employment Guarantee Council with a chairperson and such number of official members as may be determined by the State Government and not more than fifteen non-official members nominated by the State Government from Panchayati Raj institutions, organizations of workers and disadvantaged groups: Provided that not less than one-third of the non-official members nominated under this clause shall be women: Provided further that not less than one-third of the non-official members shall be belonging to the Scheduled Castes, the Scheduled Tribes, the Other Backward Classes and Minorities.

(2) The terms and conditions subject to which the Chairperson and members of the State Council may be appointed and the time, place and procedure of the meetings (including the quorum at such meetings) of the State Council shall be such as may be prescribed by the State Government.

(3) The duties and functions of the State Council shall include –
(a) advising the State Government on all matters concerning the Scheme and its implementation in the State;
(b) determining the preferred works;
(c) reviewing the monitoring and redressal mechanisms from time to time and recommending improvements;
(d) promoting the widest possible dissemination of information about this Act and the Schemes under it;
(e) monitoring the implementation of this Act and the Schemes in the State and coordinating such implementation with the Central Council;
(f) preparing the annual report to be laid before the State Legislature by the State Government;
(g) any other duty or function as may be assigned to it by the Central Council or the State Government.

(3) The State Council shall have the power to undertake an evaluation of the Schemes operating in the State and for that purpose to collect or cause to be collected statistics pertaining to the rural economy and the implementation of the Schemes and Programs in the State.

Principal authorities for planning and implementation of Schemes.

13. (1) The Panchayats at district, intermediate and village-levels shall be the principal authorities for planning and implementation of the Schemes made under this Act.

(2) The functions of the Panchayats at the district-level shall be –
(a) to finalise and approve blockwise shelf of projects to be taken up under a program under the Scheme; (b) to supervise and monitor the projects taken up at the Block level and district-level; and (c) to carry out such other functions as may be assigned to it by the State Council, from time to time.

(3) The functions of the Panchayat at intermediate-level shall be –
(a) to approve the Block-level Plan for forwarding it to the district Panchayat at the district-level for final approval;
(b) to supervise and monitor the projects taken up at the Gram Panchayat and Block-level; and
(c) to carry out such other functions as may be assigned to it by the State Council, from
time to time.

(4) The District Program Coordinator shall assist the Panchayat at the district-level in
discharging its functions under this Act and any Scheme made thereunder.

**District Program Coordinator**

14. (1) The Chief Executive Officer of the District Panchayat or the Collector of the district or any
other district-level officer of appropriate rank as the State Government may decide shall
be designated as the District Program Coordinator for the implementation of the Scheme
in the district.

(2) The District Program Coordinator shall be responsible for the implementation of the
Scheme in the district in accordance with the provisions of this Act and the rules made
thereunder.

(3) The functions of the District Program Coordinator shall be –
(a) to assist the district panchayat in discharging its functions under this Act and any
scheme made thereunder;
(b) to consolidate the plans prepared by the Blocks and project proposals received from
other implementing agencies for inclusion in the shelf of projects to be approved by the
Panchayat at district-level;
(c) to accord necessary sanction and administrative clearance wherever necessary;
(d) to coordinate with the Program Officers functioning within his jurisdiction and the
implementing agencies to ensure that the applicants are provided employment as per
their entitlements under this Act;
(e) to review, monitor and supervise the performance of the Program Officers;
(f) to conduct periodic inspection of the works in progress; and
(g) to redress the grievances of the applicants.

(4) The State Government shall delegate such administrative and financial powers to the
District Program Coordinator as may be required to enable him to carry out his functions
under this Act.

(5) The Program Officer appointed under sub-section (1) of section 15 and all other officers
of the State Government and local authorities and bodies functioning within the district
shall be responsible to assist the District Program Coordinator in carrying out his functions
under this Act and the Schemes made thereunder.

(6) The District Program Coordinator shall prepare in the month of December every year a
labor budget for the next financial year containing the details of anticipated demand for
unskilled manual work in the district and the plan for engagement of laborers in the works
covered under the Scheme and submit it to the district panchayat.

**Program Officer**

15. (1) At every Panchayat at intermediate-level, the State Government shall appoint Officer. A
person who is not below the rank of Block Development Officer with such qualifications
and experience as may be determined by the State Government as Program Officer at the
Panchayat at intermediate level.
(2) The Program Officer shall assist the Panchayat at intermediate-level in discharging its functions under this Act and any Scheme made there under.

(3) The Program Officer shall be responsible for matching the demand for employment with the employment opportunities arising from projects in the area under his jurisdiction.

(4) The Program Officer shall prepare a plan for the Block under his jurisdiction by consolidating the project proposals prepared by the Gram Panchayats and the proposals received from intermediate panchayats.

(5) The functions of the Program Officer shall include –
(a) monitoring of projects taken up by the Gram Panchayats and other implementing agencies within the Block;
(b) sanctioning and ensuring payment of unemployment allowance to the eligible households;
(c) ensuring prompt and fair payment of wages to all laborers employed under a program of the Scheme within the Block;
(d) ensuring that regular social audits of all works within the jurisdiction of the Gram Panchayat are carried out by the Gram Sabha and that prompt action is taken on the objections raised in the social audit;
(e) dealing promptly with all complaints that may arise in connection with the implementation of the Scheme within the Block; and
(f) any other work as may be assigned to him by the District Program Coordinator or the State Government.

(6) The Program Officers shall function under the direction, control and superintendence of the District Program Coordinator.

(7) The State Government may, by order, direct that all or any of the functions of a Program Officer shall be discharged by the Gram Panchayat or a local authority.

Responsibilities of the Gram Panchayats

16. (1) The Gram Panchayat shall be responsible for identification of the projects in the Gram Panchayat area to be taken up under a Scheme as per the recommendations of the Gram Sabha and the Ward Sabhas and for executing and supervising such works.

(2) A Gram Panchayat may take up any project under a Scheme within the area of the Gram Panchayat as may be sanctioned by the Program Officer.

(3) Every Gram Panchayat shall, after considering the recommendations of the Gram Sabha and the Ward Sabhas, prepare a development plan and maintain a shelf of possible works to be taken up under the Scheme as and when demand for work arises.

(4) The Gram Panchayat shall forward its proposals for the development projects including the order of priority between different works to the Program Officer for scrutiny and preliminary approval prior to the commencement of the year in which it is proposed to be executed.

(5) The Program Officer shall allot at least fifty% of the works in terms of its cost under a Scheme to be implemented through the Gram Panchayats.

(6) The Program Officer shall supply each Gram Panchayat with –
(a) the muster rolls for the works sanctioned to be executed by it; and
(b) a list of employment opportunities available elsewhere to the residents of the Gram Panchayat.

(7) The Gram Panchayat shall allocate employment opportunities among the applicants and ask them to report for work.
(8) The works taken up by a Gram Panchayat under a Scheme shall meet the required technical standards and measurements.

Social audit of work by Gram Sabha

17. (1) The Gram Sabha shall monitor the execution of works within the Gram Panchayat.
   (2) The Gram Sabha shall conduct regular social audits of all the projects under the Scheme taken up within the Gram Panchayat.
   (3) The Gram Panchayat shall make available all relevant documents including the muster rolls, bills, vouchers, measurement books, copies of sanction orders and other connected books of account and papers to the Gram Sabha for the purpose of conducting the social audit.

Responsibilities of State Government in implementing Scheme

18. The State Government shall make available to the District Program Coordinator and the Program Officers necessary staff and technical support as may be necessary for the effective implementation of the Scheme.

Grievance redressal mechanism

19. The State Government shall, by rules, determine appropriate grievance redressal mechanisms at the Block-level and the district-level for dealing with any complaint by any person in respect of implementation of the Scheme and lay down the procedure for disposal of such complaints.

Chapter V
Establishment of National and State Employment Guarantee Funds and Audit

National Employment Guarantee Fund

20. (1) The Central Government shall, by notification, establish a ‘fund to be called the National Employment Guarantee Fund for the purposes of this Act.
   (2) The Central Government may, after due appropriation made by Parliament by law in this behalf, credit by way of grants or loans such sums of money as the Central Government may consider necessary to the National Fund.
   (3) The amount standing to the credit of the National Fund shall be utilised in such manner and subject to such conditions and limitations as may be prescribed by the Central Government.

State Employment Guarantee Fund

21. (1) The State Government may, by notification, establish a fund to be called the State Employment Guarantee Fund for the purposes of implementation of the Scheme.
   (2) The amount standing to the credit of the State Fund shall be expended in such manner and subject to such conditions and limitations as may be prescribed by the State Government.
for the purposes of implementation of this Act and the Schemes made, thereunder and for meeting the administrative expenses in connection with the implementation of this Act.

(3) The State Fund shall be held and administered on behalf of the State Government in such manner and by such authority as may be prescribed by the State Government.

**Funding Pattern**

22. (1) Subject to the rules as may be made by the Central Government in this behalf, the Central Government shall meet the cost of the following, namely:-

(a) the amount required for payment of wages for unskilled manual work under the Scheme;
(b) up to three-fourths of the material cost of the Scheme including payment of wages to skilled and semi-skilled workers subject to the provisions of Schedule II;
(c) such percentage of the total cost of the Scheme as may be determined by the Central Government towards the administrative expenses, which may include the salary and allowances of the Program Officers and his supporting staff, the administrative expenses of the Central Council, facilities to be provided under Schedule II and such other item as may be decided by the Central Government.

(2) The State Government shall meet the cost of the following, namely:-

(a) the cost of unemployment allowance payable under the Scheme;
(b) one-fourth of the material cost of the Scheme including payment of wages to skilled and semi-skilled workers subject to the provisions of Schedule II;
(c) the administrative expenses of the State Council.

**Transparency and accountability**

23. (1) The District Program Coordinator and all implementing agencies in the District shall be responsible for the proper utilization and management of the funds placed at their disposal for the purpose of implementing a Scheme.

(2) The State Government may prescribe the manner of maintaining proper books and accounts of employment of laborers and the expenditure incurred in connection with the implementation of the provisions of this Act and the Schemes made thereunder.

(3) The State Government may, by rules, determine the arrangements to be made for the proper execution of Schemes and programs under the Schemes and to ensure transparency and accountability at all levels in the implementation of the Schemes.

(4) All payments of wages in cash and unemployment allowances shall be made directly to the person concerned and in the presence of independent persons of the community on pre-announced dates.

(5) If any dispute or complaint arises concerning the implementation of a Scheme by the Gram Panchayat, the matter shall be referred to the Program Officer.

(6) The Program Officer shall enter every complaint in a complaint register maintained by him and shall dispose of the disputes and complaints within seven days of its receipt and in case it relates to a matter to be resolved by any other authority it shall be forwarded to such authority under intimation to the complainant.

**Audit of accounts**

24. (1) The Central Government may, in consultation with the Comptroller and Auditor General of India, prescribe appropriate arrangements for audits of the accounts of the Schemes at all levels.
Chapter VI

Miscellaneous

25. Whoever contravenes the provisions of this Act shall on conviction be liable to a fine which may extend to one thousand rupees.

26. (1) The Central Government may, by notification, direct that the powers exercisable by it (excluding the power to make rules) may, in such circumstances and subject to such conditions and limitations, be exercisable also by the State Government or such officer subordinate to the Central Government or the State Government as it may specify in such notification.

(2) The State Government may, by notification, direct that the powers exercisable by it (excluding the power to make rules and Schemes) may, in such circumstances and subject to such conditions and limitations, be exercisable also, by such officer subordinate to it as it may specify in such notification.

Power of Central Government to give directions.

27. (1) The Central Government may give such directions as it may consider necessary to the State Government for the effective implementation of the provisions of this Act.

(2) Without prejudice to the provisions of sub-section (1), the Central Government may, on receipt of any complaint regarding the issue or improper utilization of funds granted under this Act in respect of any Scheme if prima facie satisfied that there is a case, cause an investigation into the complaint made by any agency designated by it and if necessary, order stoppage of release of funds to the Scheme and institute appropriate remedial measures for its proper implementation within a reasonable period of time.

Act to have overriding effect

28. The provisions of this Act or the Schemes made there under shall have effect notwithstanding anything inconsistent therewith contained in any other law for the time being in force or in any instrument having effect by virtue of such law: Provided that where a State enactment exists or is enacted to provide employment guarantee for unskilled manual work to rural households consistent with the provisions of this Act under which the entitlement of the households is not less than and the conditions of employment are not inferior to what is guaranteed under this Act, the State Government shall have the option of implementing its own enactment: Provided further that in such cases the financial assistance shall be paid to the concerned State Government in such manner as shall be determined by the Central Government, which shall not exceed what the State would have been entitled to receive under this Act had a Scheme made under this Act had to be implemented.

Power to amend schedules

29. (1) If the Central Government is satisfied that it is necessary or expedient so to do, it may, by notification, amend Schedule I or Schedule II and thereupon Schedule I or Schedule II, as the case may be, shall be deemed to have been amended accordingly.

(2) A copy of every notification made under sub-section (1) shall be laid before each House of Parliament as soon as may be after it is made.
30. No suit, prosecution or other legal proceedings shall lie against the District Program Coordinator, Program Officer or any other person who is, or who is deemed to be, a public servant within the meaning of section 21 of the Indian Penal Code in respect of anything which is in good faith done or intended to be done under this Act or the rules or Schemes made thereunder.

Power of Central Government to make rules

31. (1) The Central Government may, by notification, and subject to the condition of previous publication, make rules to carry out the provisions of this Act.

(2) In particular, and without the prejudice of the foregoing power, such rules may provide for all or any of the following matters, namely:-

(a) the number of representatives of the State Governments under clause (e) of sub-section (3) of section 10;

(b) the terms and conditions subject to which the Chairman and other members of the Central Council may be appointed, and the time, place and procedure of the meetings (including the quorum at such meetings) of the Central Council, under sub-section (4) of section 10;

(c) the manner in which and the conditions and limitations subject to which the National Fund shall be utilised under sub-section (3) of section 20;

(d) the rules relating to funding pattern to meet the cost of certain items under sub-section (1) of section 22;

(e) any other matter which is to be, or may be, prescribed or in respect of which provision is to be made by the Central Government by rules.

Power of State  Government to make rules

32. (1) The State Government may, by notification, and subject to the condition of previous publication, and consistent with this Act and the rules made by the Central Government, make rules to carry out the provisions of this Act.

(2) In particular, and without prejudice to the generality of the foregoing power, such rules may provide for all or any of the following matters, namely:-

(a) the terms and conditions upon which eligibility for unemployment allowance may be determined under sub-section (2) of section 7;

(b) the procedure for payment of unemployment allowance under sub-section (6) of section 7;

(c) the terms and conditions subject to which the Chairperson and members of the State Council may be appointed, and the time, place and procedure of the meetings (including the quorum at such meetings) of their appointment to the State Council, under sub-section (2) of section 12;

(d) the grievance redressal mechanism at the Block level and the District level and the procedure to be followed in such matter under section 19;

(e) the manner in which and the conditions and limitations subject to which the State Fund shall be utilised under sub-section (2) of section 21;

(f) the authority who may administer and the manner in which he may hold the State Fund under sub-section (3) of section 21;

(g) the manner of maintaining books of account of employment of laborers and the expenditure under sub-section (2) of section 23;

(h) the arrangements required for proper execution of Schemes under subsection (3)’ of
section 23;
(I) the form and manner in which the accounts of the Scheme shall be maintained under sub-section (2) of section 24;
(j) any other matter which is to be, or may be, prescribed or in respect of which provision is to be made by the State Government by rules.

Laying of Rule and Schemes

33. (1) Every rule made by the Central Government under this Act shall be laid, as soon as may be after it is made, before each House of Parliament, while it is in session, for a total period of thirty days which may be comprised in one session or in two or more successive sessions, and if, before the expiry of the session immediately following the session or the successive sessions aforesaid, both Houses agree in making any modification in the rule or both the Houses agree that the rule should not be made, the rule shall have thereafter have effect only in such modified form or be of no effect, as the case may be; so, however, that any such modification or annulment shall be without prejudice to the validity of anything previously done under that rule.

(2) Every rule or Scheme made by the State Government under this Act shall, as soon as may be after it is made, be laid before each House of the State Legislature where there are two Houses, and where there is one House of the State Legislature, before that House. Power to remove difficulties.

Power to remove difficulties

34. (1) If any difficulty arises in giving effect to the provisions of this Act, the Central Government may, by order published in the Official Gazette, make such provisions, not inconsistent with the provisions of this Act, as appear to it to be necessary or expedient for removing the difficulty: Provided that no order shall be made under this section after the expiry of three years from the commencement of this Act.

(2) Every order made under this section shall be laid, as soon as may be after it is made, before each House of Parliament.

Schedule I

[See section 4(3)]

Minimum Features of a Rural Employment Guarantee Scheme

1. The focus of the Scheme shall be on the following works in their order of priority:-
   (i) water conservation and water harvesting;
   (ii) drought proofing (including afforestation and tree plantation);
   (iii) irrigation canals including micro and minor irrigation works;
   (iv) provision of irrigation facility to land owned by households belonging to the Scheduled Castes and Scheduled Tribes or to land of beneficiaries of land reforms or that of the beneficiaries under the Indira Awas Yojana of the Government of India;
   (v) renovation of traditional water bodies including desilting of tanks;
   (vi) land development;
(vii) flood control and protection works including drainage in water logged areas;
(viii) rural connectivity to provide all-weather access; and
(ix) any other work which may be notified by the Central Government in consultation with the State Government.

2. Creation of durable assets and strengthening the livelihood resource base of the rural poor shall be an important objective of the Scheme.

3. The works taken up under the scheme shall be in rural areas.

4. The State Council shall prepare a list of preferred works for different areas based on their ability to create durable assets.

5. The Scheme shall be subject to appropriate arrangements as may be laid down by the State Government under the rules issued by it for proper maintenance of the public assets created under the Scheme.

6. Under no circumstances shall the laborers be paid less than the wage rate.

7. When wages are directly linked with the quantity of work, the wages shall be paid according to the schedule of rates fixed by the State Government for different types of work every year, in consultation with the State Council.

8. The schedule of rates of wages for unskilled laborers shall be so fixed that a person working for seven hours would normally earn a wage equal to the wage rate.

9. The cost of material component of projects including the wages of the skilled and semi-skilled workers taken up under the Scheme shall not exceed forty % of the total project costs.

10. It shall be open to the Program Officer and Gram Panchayat to direct any person who applied for employment under the Scheme to do work of any type permissible under it.

11. The Scheme shall not permit engaging any contractor for implementation of the projects under it.

12. As far as practicable, a task funded under the Scheme shall be performed by using manual labor and not machines.

13. Every Scheme shall contain adequate provisions for ensuring transparency and accountability at all level of implementation.

14. Provisions for regular inspection and supervision of works taken up under the Scheme shall be made to ensure proper quality of work as well as to ensure that the total wages paid for the completion of the work is commensurate with the quality and quantity of work done.

15. The District Program Coordinator, the Program Officer and the Gram Panchayat implementing the Scheme shall prepare annually a report containing the facts and figures and achievements relating to the implementation of the Scheme within his or its jurisdiction and a copy of the same shall be made available to the public on demand and on payment of such fee as may be specified in the Scheme.

16. All accounts and records relating to the Scheme shall be made available for public scrutiny and any person desirous of obtaining a copy or relevant extracts therefrom may be provided such copies or extracts on demand and after paying such fee as may be specified in the Scheme.

17. A copy of the muster rolls of each Scheme or project under a Scheme shall be made available in the offices of the Gram Panchayat and the Program Officer for inspection by any person interested after paying such fee as may be specified in the Scheme.
Schedule II
(See section 5)

Conditions for Guaranteed Rural Employment under a Scheme and Minimum Entitlements of Laborers

1. The adult members of every household who –
   (i) reside in any rural areas; and
   (ii) are willing to do unskilled manual work, may submit their names, age and the address
       of the household to the Gram Panchayat at the village level (hereafter in this Schedule
       referred to as the Gram Panchayat) in the jurisdiction of which they reside for registration
       of their household for issuance of a job card.

2. It shall be the duty of the Gram Panchayat to register the household, after making such
   enquiry as it deems fit and issue a job card containing such details of adult members of the
   household affixing their photographs, as may be specified by the State Government in the
   Scheme.

3. The registration made under paragraph 2 shall be for such period as may be laid in the Scheme,
   but in any case not less than five years, and may be renewed from time to time.

4. Every adult member of a registered household whose name appears in the job card shall be
   entitled to apply for unskilled manual work under the Scheme.

5. All registered persons belonging to a household shall be entitled to employment in accordance
   with the Scheme made under the provisions of this Act, for as many days as each applicant may
   request, subject to a maximum of one hundred days per household in a given financial year.

6. The Program Officer shall ensure that every applicant referred to in paragraph 5 shall be
   provided unskilled manual work in accordance with the provisions of the Scheme within fifteen
   days of receipt of an application or from the date he seeks work in case of advance application,
   whichever is later: Provided that priority shall be given to women in such a way that at least
   one-third of the beneficiaries shall be women who have registered and requested for work
   under this Act.

7. Applications for work must be for at least fourteen days of continuous work.

8. There shall be no limit on the number of days of employment for which a person may apply,
   or on the number of days of employment actually provided to him subject to the aggregate
   entitlement of the household.

9. Applications for work may be submitted in writing either to the Gram Panchayat or to the
   Program Officer, as may be specified in the Scheme.

10. The Gram Panchayat and Program Officer, as the case may be, shall be bound to accept valid
    applications and to issue a dated receipt to. the applicant. Group applications may also be
    submitted.

11. Applicants who are provided with work shall be so intimated in writing, by means of a letter
    sent to him at the address given in the job card and by a public notice displayed at the office
    of the Panchayats at the district, intermediate or village level.

12. As far as possible, employment shall be provided within a radius of five kilometres of the
    village where the applicant resides at the time of applying.

13. A new work under the Scheme shall be commenced only if –
    (a) at least fifty laborers become available for such work; and
    (b) The laborers cannot be absorbed in the ongoing works: Provided that this condition shall
not be applicable for new works, as determined by the State Government, in hilly areas and in respect of afforestation.

14. In cases the employment is provided outside such radius, it must be provided within the Block, and the laborers shall be paid ten % of the wage rate as extra wages to meet additional transportation and living expenses.

15. A period of unemployment shall ordinarily be at least fourteen days continuously with not more than six days in a week.

16. In all cases where unemployment allowance is paid, or due to be paid, the Program Officer shall inform the District Program Coordinator in writing the reasons why it was not possible for him to provide employment or cause to provide employment to the applicants.

17. The District Program Coordinator shall, in his Annual Report to the State Council, explain as to why employment could not be provided in cases where payment of unemployment allowance is involved.

18. Provision shall be made in the Scheme for advance applications, that is, applications which may be submitted in advance of the date from which employment is sought.

19. Provision shall be made in the Scheme for submission of multiple applications by the same person provided that the corresponding periods for which employment is sought do not overlap.

20. The Gram panchayat shall prepare and maintain or cause to be prepared and maintained such registers, vouchers and other documents in such form and in such manner as may be specified in the Scheme containing particulars of job cards and passbooks issued, name, age and address of the head of the household and the adult members of the household registered with the Gram Panchayat.

21. The Gram Panchayat shall send such list or lists of the names and addresses of households and their adult members registered with it and supply such other information to the concerned Program Officer at such periods and in such form as may be specified in the Scheme.

22. A list of persons who are provided with the work shall be displayed on the notice board of the Gram Panchayat and at the office of the Program Officer and at such other places as the Program Officer may deem necessary and the list shall be open for inspection by the State Government and any person interested.

23. If the Gram panchayat is satisfied at any time that a person has registered with it by furnishing false information, it may direct the Program Officer to direct his name to be struck off from the register and direct the applicant to return the job card:
Provided that no such action under this paragraph shall be directed unless the applicant has been given an opportunity of being heard in the presence of two independent persons.

24. If any personal injury is caused to any person employed under the Scheme by accident arising out of and in the course of his employment, he shall be entitled to, free of charge, such medical treatment as is admissible under the Scheme.

25. Where hospitalization of the injured worker is necessary, the State Government shall arrange for such hospitalization including accommodation, treatment, medicines and payment of daily allowance not less than half of the wage rate required to be paid had the injured been engaged in the work.

26. If a person employed under a Scheme dies or becomes permanently disabled by accident arising out of and in the course of employment, he shall be paid by the implementing agency an ex gratia payment at the rate of twenty-five thousand rupees or such amount as may be notified by the Central Government, and the amount shall be paid to the legal heirs of the deceased or the disabled, as the case may be.
27. The facilities of safe drinking water, shade for children and periods of rest, first-aid box with adequate material for emergency treatment for minor injuries and other health hazards connected with the work being performed shall be provided at the work site.

28. In case the number of children below the age of six years accompanying the women working at any site are five or more, provisions shall be made to depute one of such women worker to look after such children.

29. The person deputed under paragraph 28 shall be paid wage rate.

30. In case the payment of wages is not made within the period specified under the Scheme, the laborers shall be entitled to receive payment of compensation as per the provisions of the Payment of Wages Act, 1936 (4 of 1936).

31. The wages under a Scheme may be paid either wholly in cash or in cash and kind provided that at least one-fourth of the wages shall be paid in cash only.

32. The State Government may prescribe that a portion of the wages in cash may be paid to the laborers on a daily basis during the period of employment.

33. If any personal injury is caused by accident to a child accompanying any person who is employed under a Scheme, such person shall be entitled to, free of charge, such medical treatment for the child as may be specified in the Scheme and in case of death or disablement, through an ex gratia payment as may be determined by the State Government.

34. In case of every employment under the Scheme, there shall be no discrimination solely on the ground of gender and the provisions of the Equal Remuneration Act, 1976 (25 of 1976), shall be complied with.
“This text has been drafted with financial assistance from the Commission of the European Union. The views expressed herein are those of the beneficiary and therefore in no way reflect the official opinion of the Commission.”
In India, over the last several decades, development goals and targets have been backed by commitment of resources by the State through an extensive array of public programs. However, indicators of human development, particularly among marginalized communities, point to the sub-optimal outcomes from these investments.

This Report analyses the reasons for the continuing and large gaps between the social sector outlays and the outcomes. Through the experiences of the Sustainable Tribal Empowerment Project (STEP), the Report argues why it is essential for focusing on building community capacities to enable them to overcome barriers of participation and utilize opportunities for acquiring a range of assets and capabilities both at the individual as well as collective levels.

The Report presents the strategy and interventions of STEP, being implemented in 6000 tribal communities in four districts of Andhra Pradesh since November 2001 with the objective of empowering them to realize their rights and overcome poverty, hunger and malnutrition.

The outcomes of STEP have been measured through a group of indicators, which collectively form the Human Empowerment Index and Gender Empowerment Index. The indicators encompass the social, economic and political dimensions of development in the Project Area. The Report also compares these indices with those in the Control Area to establish the significant impact made by the project.

This Report will be of use to all those who are engaged in the process of human development and empowerment of poor in India.