

**“NATIONAL AFFORESTATION PROGRAMME”: A PARTICIPATORY APPROACH  
TO SUSTAINABLE DEVELOPMENT OF FORESTS”  
(CENTRALLY SPONSORED SCHEME)**

**OPERATIONAL GUIDELINES FOR THE TENTH FIVE-YEAR PLAN**

The scheme titled National Afforestation Programme (NAP) has been formulated by merger of four 9<sup>th</sup> Plan centrally sponsored afforestation schemes of the Ministry of Environment & Forests, namely, Integrated Afforestation and Eco-Development Projects Scheme (IAEPS), Area Oriented Fuel wood and Fodder Projects Scheme (AOFFPS), Conservation and Development of Non-Timber Forest Produce including Medicinal Plants Scheme (NTFP) and Association of Scheduled Tribes and Rural Poor in Regeneration of Degraded Forests (ASTRP), with a view to reducing multiplicity of schemes with similar objectives, ensuring uniformity in funding pattern and implementation mechanism, avoiding delays in availability of funds to the field level and institutionalising peoples participation in project formulation and its implementation. The Scheme will be operated by the National Afforestation and Eco-Development Board, Ministry of Environment and Forests as a 100% Central Sector/ Centrally Sponsored Scheme (except for the AOFFP component as explained in para 2.3).

**1. Objectives of the Scheme**

**1.1 Short term objectives:-**

- Regeneration and eco-development of degraded forests and adjoining areas on a watershed basis.
- Augmentation of the availability of fuelwood, fodder and grasses from the regenerated areas.
- Securing people's participation in planning and regeneration efforts to ensure sustainability and equitable distribution of forest products from the regenerated lands, and to promote the partnership concept in the management and administration of forests and common property resources.
- Promote agroforestry and development of Common Property Resources.
- Promotion of fuel saving devices to encourage efficient use of fuelwood and to reduce the drudgery of rural women involved in collection of wood, as also to improve the environment.
- Conservation and improvement of non-timber forest produce such as bamboo, cane and medicinal plants
- Encourage production of non-timber products such as wax, honey, fruits and nuts from the regenerated areas.

- Raising coastal shelterbelts to mitigate the adverse impacts of cyclonic winds.
- Develop water resources through plantation and water harvesting programme.
- Development and extension of improved technologies such as clonal propagation and use of root trainers for raising seedlings, mycorrhizal inoculation, etc.
- Rehabilitation of special problem lands like saline/alkaline soils, ravines, desert areas, coastal areas, mined areas, Himalayas, Aravallis and Western Ghats.
- Employment generation for the disadvantaged sections of society, particularly women, scheduled castes/scheduled tribes and landless rural labourers, inhabiting the forests and adjoining areas.

1.1.2 Long-term objectives:

- Protection, Conservation of natural resources through active involvement of the people.
- Checking land degradation, deforestation and loss of biodiversity.
- Ecological restoration and environmental conservation and eco-development,
- Evolving village level people's organisation which can manage the natural resources in and around villages in a sustainable manner,
- Fulfilment of the broader objectives of productivity, equity, and sustainability for the general good of the people.
- Improve quality of life and self-sustenance aspect of people living in and around forest areas.
- Capability endowment and skill enhancement for improving employability of the rural people.

**2. Implementing Agencies:** The scheme would be implemented by the following State agencies:

**New projects during the 10<sup>th</sup> Plan period:** The two-tier set up namely the Forest Development Agencies (FDAs) and Joint Forest Management Committees (JFMCs).

**Maintenance of 9<sup>th</sup> Plan projects during 10<sup>th</sup> Plan period:** State Forest Departments or the FDAs as the case may be.

2.1 In the participatory mode, the scheme would be implemented by involving two-tier set up namely the Forest Development Agencies (FDAs) and Joint Forest Management Committees (JFMCs). This decentralised institutional structure would allow greater

participation of the community both in planning and implementation of the appropriate afforestation programmes. This would ground the people-centered approach in afforestation programmes and provide a firm and sustainable mechanism for devolution of funds to JFMCs for afforestation and related activities. Organic unity in this structural framework will promote efficiency, effectiveness, accountability through decentralisation and devolution of authority and responsibilities, both physical and financial. Village will be reckoned as a unit of planning and implementation, and all the activities under the scheme will be conceptualised at the village level. The two-tier approach apart from building capabilities at the grass-roots level would also empower the local people to participate in the decision making process.

(a) FDA will be constituted at the territorial/ wildlife forest division level and shall have the composition as given in Annexure 'A'. FDA will be a registered society under the Societies' Registration Act. The activities and the functions of the FDA are also given in **Annexure 'A'**.

(b) At the grass-root level, the JFMCs will be the implementing agency. In the proposed structure, one JFMC will cater to a village. The composition and the functions of the JFMCs are given in **Annexure 'B'**. The JFMCs will be registered with the respective Territorial/ Wildlife Conservator of Forests.

2.2 FDAs will sign a Memorandum of Understanding (MoU) with JFMCs indicating the mutual obligations, rights and role. The MoU should, *inter alia*, include the right of FDAs to stop and withdraw funding from a JFMC if the performance of the JFMC is found to be unsatisfactory along with the procedure to be adopted in such cases.

2.3 Maintenance cost of projects sanctioned under the Ninth Plan Afforestation schemes, viz, Integrated Afforestation and Eco-development Project Scheme (IAEPS) including Coastal Shelterbelt Plantations, Non Timber Forest Produce including Bamboo Plantations and medicinal plants (NTFP) and Association of Scheduled Tribes and Rural Poor (ASTRP) shall also be released in favour of the State Forest Departments from the National Afforestation Programme (NAP) during the Tenth Plan period as 100% Centrally Sponsored Scheme. However, in respect of AOFFPS projects, the maintenance cost shall be released to the extent of 50% as in the 9<sup>th</sup> Plan (no new projects shall be sanctioned under the constituent AOFFP scheme component during the 10<sup>th</sup> Plan period). Funds under these shall be released to the State Forest Departments as per the terms and conditions of the sanction of the project and not through the FDA mechanism.

2.4 Balance project cost in respect of Samanvit Gram Vanikaran Samriddhi Yojna (SGVSY) projects adopting FDA approach sanctioned during the last two years of the

Ninth plan period (pilot phase) shall also be released from the National Afforestation Programme as Central Sector Scheme during the Tenth Plan period as NAP projects.

### 3. **Project Area**

3.1 The watershed/ catchment area approach will continue to be followed wherever possible. However, clusters of compact blocks can also be taken up for treatment if the local situation so demands.

3.2 Minimum area of compact block in the scheme is not prescribed, though projects will as far as possible aim for compactness, and blocks of less than 20 ha will not normally be taken for treatment. However, in exceptional circumstances, blocks with smaller size may be considered.

3.3 Project areas should be selected in such a way that major part of the project comprises degraded forests, pasture and community lands. In addition, lands such as roadside, canal side and railway lines may also be included in the projects as longitudinal/strip plantations of two rows or more.

3.4 The project area should be confined to recorded forests and adjoining land areas including village common lands, community lands, revenue wastelands, Jhum lands and private lands. Appropriate agro-forestry models may be promoted on such Jhum and private lands. These efforts can be supplemented by way of assistance from other sources like DRDA, MPLAD etc. However, separate accounts shall be maintained for these activities.

### 4. **Project Planning**

4.1 **Joint Forest Management (JFM):** JFM will be a central and integral part of all projects. The two-tier institution mechanism explained in para 2.1 above requires that JFM Committees exist and are functional in the proposed project area. In the initial phase of the project, therefore, FDAs should strengthen the existing JFMCs and create new ones in villages where these committees do not exist. FDA should make the effort to explain to village communities, through JFMCs, the objectives and the scope of the project, mutual obligations and their usufructuary rights. The usufruct from the project areas would be shared according to the provisions of the JFM notifications of the respective State Governments. A broad training package that could be adapted as necessary is included in **Annexure “C”**.

#### 4.2 **Project Proposal:**

4.2.1 The project planning process would commence with the development of a broad conceptual framework indicating the extent of area to be covered, range of activities envisaged and the financial outlay for the proposed project. The project proposal must indicate the extent and quality of existing vegetal cover, area and locations proposed to be covered, extent of consultation with the local population during project formulation, mechanism of usufruct sharing and proposed involvement of people during implementation. It should clearly state the objective in terms of area treated and benefits to be expected at the end of the project period. The baseline data and criteria for evaluation should be part of the project report on which basis a project will be sanctioned, though they could be improved upon and finalised by the time of the first evaluation, after further consultation with communities and the micro-planning process. Format for submission of the project proposal, checklist of documents to be submitted and fund flow mechanism are given in **Annexures “D, E & F”**. The proposals formulated by the FDAs shall be forwarded to the NAEB, MoEF through the respective Principal Chief Conservator of Forests. Proposals from those States shall be considered which have communicated the acceptance of the implementation of the Scheme as per the guidelines formulated by the NAEB, MoEF. The States which have already communicated their acceptance for implementation Samanvit Gram Vanikaran Samriddhi Yojna (SGVSY) adopting FDA approach in the pilot phase during the Ninth Plan period need not convey the same afresh.

### 4.3 **Micro Planning**

4.3.1 After the project is approved by the NAEB, funds earmarked for microplanning would be released to enable the FDAs to undertake the micro-planning exercise and to develop the work programme under the project. The work programme based on micro-plans has to be drawn up by the FDAs prior to project implementation, in full consultation with JFMCs and the local communities. A note on microplanning is placed at **Annexure “G”**

4.3.2 FDAs may seek the assistance of Regional Centres of the NAEB in the preparation of microplans.

4.3.3 *Microplans vis-à-vis Working Plans:* For forest areas included in the project, FDAs would ensure that the microplans are not in conflict with the existing and operational working plans of these areas. As far as possible FDAs, through State Forest Departments, would endeavour to minimise the differences, if any, between the microplans and the corresponding operational working plans.

## 5. **Entry Point Activities**

5.1 During the preparation of microplans, the community would identify the Entry Point Activities to be taken up during the project period. These would be included in the project proposal of the FDA depending upon their technical suitability and financial feasibility. A note on Entry Point activities is placed at **Annexure “H”**.

## 6. Project Funding

6.1 **Funding Pattern:** The scheme would be implemented as a Centrally Sponsored Scheme/ Central Sector Scheme for the FDAs to which projects will be sanctioned directly by the NAEB, with 100% central funding (except maintenance of AOFFP scheme projects sanctioned during the 9<sup>th</sup> Plan, which would be governed by Para 2.3 of the guidelines).

## 6.2 COST NORMS

(@ wage rate of Rs. 75.00/day. See para 6.2.2 for details)

(Rupees per hectare)

Sl. No	Model/ Intervention	Plantation including Maintenance	Soil & Moisture Conservation(15% of Plantation Cost)	M&E, Micro-planning , Fencing, Awareness raising (10% of Plantation Cost)*	Overheads (10% of Plantation Cost)	Entry Point Activities (Fixed)	Total
1.	Aided Natural Regeneration (200 **plants/hectare)	9750	1460	975	975	4000	17160
2.	Artificial	17100	2565	1710	1710	4000	2708

Sl. No	Model/ Intervention	Plantation including Maintenance	Soil & Moisture Conservation(15% of Plantation Cost)	M&E, Micro-planning , Fencing, Awareness raising (10% of Plantation Cost)*	Overheads (10% of Plantation Cost)	Entry Point Activities (Fixed)	Total
	Regeneration. (1100 ** plants/hectare)						5
3.	Pasture Development/ Silvipasture (400 ** plants/hectare)	11100	1665	1110	1110	4000	18985
4.	Bamboo plantation (625 **plants/ha.)	9300	1395	930	930	4000	16555
5.	Planting of canes <sup>1</sup> (625 **plants/hectare)	11100	1665	1110	1110	4000	18985
6.	Mixed Plantations of trees having MFP and medicinal value. (1100** plants/hectare)	17100	2565	1710	1710	4000	27085
7.	Regeneration of perennial herbs and shrubs of medicinal value. (2000 ** plants/hectare)	20400	3060	2040	2040	4000	31540

\* 10% per cent is earmarked for concomitant monitoring and evaluation, microplanning, fencing, and awareness raising.

<sup>1</sup> Entry point activities etc. were not included in this model during the Ninth Plan.

\*\* The number of plants per hectare are admissible to the costing indicated above. The project proposal envisaging any change in the plantation density would be eligible for a corresponding *pro rata* change in the cost norms. This would also be applicable for Coastal Shelterbelt Plantation projects, which are based on the Management Intervention model. The concerned FDA shall have to certify that due regard has been given to the agro-climatic factors and the thrust areas of Bamboo plantations and Medicinal plants while preparing the project.

6.2.1 In case of jhumlands, 1100 plants per hectare under artificial regeneration would be applicable

6.2.2 The cost norms have been worked out at the wage rate of Rs. 75.00 per day. Escalation in the cost will be allowed to State Governments only after ensuring that their approved wage rate in the State exceeds the limit of Rs. 75.00 per day. The increase in the cost norms would be proportionate to the increase in the wages. In case the wage rate is less than Rs. 75.00 per day, the cost per hectare would be less (on pro rata basis) than the rates proposed in the scheme.

6.2.3 These costs may be distributed as follows:-

- (a) Plantation costs with maintenance for five years.
- (b) Soil and Moisture Conservation Activities: to an extent of 15% of the plantation components may be permitted. These activities will be carried out within the project area where necessary.
- (c) The total expenditure on the following items together may not exceed 20% of the plantation cost.
  - i) Overheads including staff/establishment/vehicles etc (not to exceed 10%).
  - ii) Concomitant monitoring and evaluation (not to exceed 2%).
  - iii) Microplanning (not to exceed 2%).
  - iv) Fencing (not to exceed 5%). For projects requiring higher allocation for fencing, funds to the extent of 10% of plantation cost may be authorized by suitably reducing the allocation under item (i) above.
  - v) Awareness Raising (not to exceed 1%).



- (d) Implements would be purchased from within the overheads. Their cost is normally low. The watch and ward component over the 5 years after plantation would be allowed as part of maintenance – personnel deployed for maintenance would also be made responsible for watch and ward.

6.2.4 Savings under any items above could be used for the activities listed in items other than (i). For example, savings for fencing and overheads, could be used for extension/entry point activity.

### **6.3 Release of Funds**

6.3.1 As stated in Para 4.3.1, funds earmarked for microplanning would be released in one instalment to the FDAs after the project is approved by the NAEB.

6.3.2 The first instalment of the funds to be released for implementation of the work programme will be subject to preparation of the work programme after the microplanning exercise, and its approval by the NAEB. Further release of funds to FDAs would be linked to satisfactory implementation of the work programme and utilisation of funds provided earlier. Full amount for Entry Point Activities shall be provided while releasing the first installment.

6.3.3 80% of the funds released by the NAEB for the implementation of the work programme would be transferred to the account of concerned JFMCs within 15 days of their receipt at the FDA. When 50% of the funds released to a JFMCs has been utilised, the balance 20% of the funds should be released.

6.3.4 FDAs would retain the “overhead” component for meeting their administrative expenditure and release to JFMCs/ EDCs as per their requirement.

6.3.5 If the performance of any JFMC/ EDC is not found to be satisfactory by the FDA, the FDA may decide to take action as prescribed in the Memorandum of Understanding to stop further funding to the JFMC/ EDC concerned. The FDA may also prevent further expenditure of the funds already released. In such cases, the FDA may also authorise the Forest Department to utilise the remaining funds for completing the works after seeking prior approval of the NAEB.

## **7. Project duration and maintenance of plantations:**

7.1 Projects under the scheme can be up to five years' duration. Planting will be permitted up to the 4<sup>th</sup> year of the project. Five years of maintenance will be permitted for all plantations as per the proposal. The funds for maintenance will be released when due. Advance work will be sanctioned up to the fourth year of the Tenth Plan. The sanction of

the project beyond Tenth Five-Year Plan will be subject to the Scheme continuing during the Eleventh Five-Year Plan. In case the scheme is not continued during the Eleventh Plan, the State Governments will have to meet the maintenance cost of such plantations beyond Tenth Five-Year Plan at their own cost.

## **8. Improved Technologies and Treatment of Problem Lands:**

8.1 Projects under the scheme may include suitable components of improved technologies such as tissue culture and clonal seedlings, root-trainers. As these may need higher level of investments and supervision, and also appropriate know-how at the field level, in such cases, the cost norms may be enhanced appropriately, but not exceeding 25% of the prescribed plantation cost norm specified under the scheme. Similarly for treating problem lands such as alkaline/saline lands, ravines, etc., the above-mentioned enhanced cost norms may also be permitted. A note on improved technologies is placed at **Annexure "I"**.

## **9. Monitoring and evaluation:**

9.1 The NAEB, apart from the monitoring and evaluation done by the State Government, would also get evaluation of the projects done by independent agencies/consultants. The first evaluation will be done within 12-24 months of sanction of the project. This would, in particular, ascertain the adequacy of the people's participation, functioning of JFMC/ EDCs, and the micro-planning exercise. The final evaluation will be conducted in the fourth year of the project. In addition, the National and State level steering committees would be constituted to monitor the implementation of projects under the scheme, with the following composition.

9.2 The National and State level steering committees would be constituted to monitor the implementation of projects under the scheme, with the following composition.

### **(I) National Level Steering Committee**

(i) **Chairperson** - Secretary (E&F)

(ii) **Members (Official):**

(a) Additional Secretary (NAEB).

(b) Additional DG (Forests).

(c) Forest Secretaries (four State Governments) by rotation for a period of two years.

- (d) PCCFs from four State Governments by rotation for a period of two years.
- (e) Director General, ICFRE.
- (f) Inspector General of Forests (NAEB).

(In the absence of the Chairperson, Addl. Secretary, NAEB will chair the meeting)

(iv) **Members (Non Official)**

Non-Official representatives from six FDAs (one each) by rotation for a period of two years and to be nominated by the Member Secretary, National Level Steering Committee.

(v) **Member-Secretary** - Joint Secretary (NAEB).

(II) **State Level Coordination Committee**

(i) **Chairperson** - Chief Secretary

(ii) **Members (Official)**

- (a) Secretary (Forests)
- (b) Secretaries in-charge of Forests, Environment, Rural Development, Revenue, Tribal Development, Irrigation, Panchayat, Public Health & Engineering, and Education Departments.
- (c) PCCF
- (d) Chairpersons of six FDAs to be nominated by the PCCF.

(iii) **Members (Non Official)**

Six non-official representatives from six FDAs (one each) by rotation for a period of two years and to be nominated by Member Secretary, State Level Coordination Committee.

(iv) **Member-Secretary** - Chief Conservator of Forests (in-charge).

10. **Use of Remote Sensing and Geographic Information Systems for planning and subsequent project monitoring:**

10.1 The feasibility of adopting the Integrated Mission for Sustainable Development (IMSD) approach devised by the National Remote Sensing Agency, Hyderabad, which has

been adopted by several States for project formulation and prioritisation of target areas for the Drought-Prone Area Programme (DPAP), may be examined for its potential application for division/district level planning and to provide inputs for village level microplans. IMSD is being used for the preparation of thematic maps relating to present land use, soil condition, availability of ground water, drainage pattern, etc using satellite remote sensing data, at the district level, and to prepare a suggested approach to development on the basis of land suitability analysis by overlay of the individual spatial datasets using GIS. The indicative plan, which is prepared in consultation with the people, prescribes areas in the division/district that would be suitable for different land use, e.g. for afforestation, fuelwood/ fodder plantations, agriculture, horticulture, development of grasslands etc. Species suitable for plantation in the area are also suggested as part of the indicative plan. Village level microplans can then be prepared on the basis of the district/division-level indicative plan. A major feature of IMSD output is the suggestions for location of water conservation and harvesting features, such as check dams, on the basis of drainage pattern of the micro-watershed under consideration. Such maps along with relevant land use data have already been prepared by the National Remote Sensing Agency, Hyderabad for several districts and watersheds in the country. FDAs may consider the possibility of adopting this approach for planning purposes in the area under their jurisdiction. The expenditure incurred in this regard may be met from the budget provided under the projects for “microplanning” and/or “concomitant monitoring and evaluation”

11 The projects, depending upon site characteristics, would include activities such as those illustrated in Annexure “H”.

**12 Component of grant, loan and subsidy:**

12.1 There is no loan component. The Central financial assistance to be provided under the scheme will be entirely in the form of grant to the implementing State Governments.

**13. Number of posts:**

13.1 No staff is to be provided specifically for the scheme.

**14. Establishment of FDAs and JFMCs:**

14.1 No establishment or any other administrative costs towards setting up and functioning of FDAs and JFMCs will be permitted under the scheme, except as provided under the overheads.

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**ANNEXURE 'A'**

**STRUCTURE, COMPOSITION, FUNCTIONS AND ACTIVITIES OF  
FOREST DEVELOPMENT AGENCIES**

**Forest Development Agencies (FDAs):** FDAs are to be registered as Federation of all Joint Forest Management Committees (JFMCs) within a territorial/wildlife forest divisions under the Societies' Registration Act, with the following structure:

<b><i>General Body</i></b>	<b><i>Executive Body</i></b>
Chairperson- Conservator of Forests	Chairperson- Conservator of Forests
Members:	Member Secretary cum Chief Executive Officer – Divisional Forest Officer
Presidents of JFMC General Bodies, not more than 50 at any time, to be nominated by Chairperson on rotational basis for a period of one year <sup>2</sup> , of which 20 would be women representatives. In the event adequate number of women chairpersons are not available, the women representatives will be drawn from the members of the General Bodies of JFMCs.	Members
One non-official representative to be nominated by the apex institutional framework of Panchayats.	Ex-officio Members (without voting rights) –  District Development Officer, District level Officers of Agriculture, Rural Development, Animal husbandry, Soil Conservation, Tribal Welfare, Industries, Public Health & Engineering, and Education Departments <sup>3</sup> .
Range Forest Officers, ACFs/ SDFOs.	ADM/AC to be nominated by DC/DM <sup>3</sup> .  One non-official representative to be nominated by the apex institutional framework of Panchayats.  Fifteen nominees from the JFMCs, to include minimum of 7 women <sup>4</sup> .

<sup>2</sup> A person who has served on the General Body would be eligible for re-nomination after two years of the expiry of his previous tenure.

<sup>3</sup> In case the forest division falls in more than one district, representatives of all concerned districts will be nominated to function on the Executive Body.

<sup>4</sup> A member who does not attend three consecutive meetings of the Executive Body shall be disqualified from the Executive Body.

**Note 1:** FDAs for the Wildlife Divisions shall be confined to the territorial jurisdiction of protected area network under their control.

**Note 2:** Executive Body of the FDA will co-opt the experts (without voting rights) in such disciplines as are not represented to advise on the preparation of microplans and for implementing specific components of the projects.

**Note 3:** . In case the situations so warrant, the respective State Governments may also include participation of other Divisional Forest Officers –in- charge of Social Forestry/ Minor Forest Produce/ IWDP/ Soil Conservation, etc Divisions in the Executive Body of the FDA as ordinary members. However, the concerned Territorial/ Wildlife DFO shall continue to be the Member Secretary/ Chief Executive Officer of the FDA.

The General Body will meet at least once in a year, while the Executive Body will meet at least once in three months.

### **Activities of FDAs**

- (i) Implementation of centrally sponsored afforestation schemes.
- (ii) Other beneficiaries oriented activities like agro forestry, avenue plantations.
- (iii) Take steps for value addition and marketing of produce.
- (iv) Inventorisation of land and other natural resources.
- (v) Environmental education.
- (vi) Awareness and active association in protection against poaching and illicit felling of timber.
- (vii) Establishment and management of decentralised nurseries with marketing arrangements.
- (viii) Assist in management of CPRs.
- (ix) Address socio-economic needs of people.
- (x) Management of existing captive water resources in the villages.
- (xi) Active involvement in forest fire fighting operations.
- (xii) Monitoring of activities of local NGOs.

### **Functions of FDAs**

- (i) Approve plans for all afforestation related activities in forest fringe villages, including the microplans.
- (ii) Provide support and assistance to JFMCs for micro planning.
- (iii) Organise training and awareness programmes.
- (iv) Implementation of water harvesting and soil conservation measures with appropriate approvals.
- (v) *Inter se* prioritisation for scheme- and activity-wise financial outlays.
- (vi) Decide entry point activities.

- (vii) Formulate guidelines for utilisation and sharing of usufruct.
- (viii) Evolve rules for use of funds created.
- (ix) Improvise technological improvements.
- (x) Develop Guidelines for employment generation opportunities.
- (xi) Establish and maintain decentralised nurseries.
- (xii) Coordinate and Monitor the activities of their constituent JFMCs.
- (xiii) Conceptualise innovative schemes, viz. establishment of botanical gardens, sacred groves etc.
- (xiv) Deal with contingencies such as drought, flood and forest fires.
- (xv)** Coordinate with DRDAs and other relevant government departments to dovetail their schemes and programmes with afforestation schemes so that watersheds can be developed in a holistic manner.

**STRUCTURE, COMPOSITION AND FUNCTIONS OF  
JOINT FOREST MANAGEMENT COMMITTEES**

**Composition of Joint Forest Management Committees (JFMCs)/ EDCs**

(i) **General Body:** All adult members of the village subject to their willingness. The meetings of the General body will be chaired by the President who would be elected by consensus/majority vote and will hold this position for a period of one year. It will be ensured that a woman member is elected as President at least once in three year. Member Secretaries of the Executive Body shall be *ex officio* member the General Body.

(ii) **Executive Body:** The President of the General Body shall also function as President of the Executive Body. The respective forester/block forest officers shall be the Member Secretary of this body. Treasurer would be appointed from the members of the respective JFMC by the member secretary in consultation with the President. The bank account of the JFMC shall be jointly operated by the treasurer and the Member Secretary. One member representing the Panchayat of the area in which JFMC falls will be nominated by the Member Secretary. There shall be 6 other members drawn from the General Body who would be nominated by the Member Secretary in consultation with the President, of whom three shall be women.

**Functions of JFMCs/ EDCs:** To assist in:

- (i) Preparation of microplans.
- (ii) Choice of species to be planted.
- (iii) Suggesting physical and financial targets.
- (iv) To propose entry point activities.
- (v) Awareness programmes and usufruct sharing mechanisms.
- (vi) Fund Creation Activities.

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**ANNEXURE 'C'**

**SUGGESTED TRAINING PACKAGE ON JOINT FOREST MANAGEMENT FOR FDAs  
and JFMCs/ EDCs**

<b>Item</b>	<b>Broad Contents</b>
Introduction	Rationale for decentralised structure. Role of FDAs and JFMCs Historical perspective on growth of JFM in India. What is JFM? Why JFM? Evaluation of JFM in India. Status of JFM in the State : <ul style="list-style-type: none"> <li>- State Government Policy and orders on the subject.</li> <li>- Briefly about JFM Projects being implemented/planned in the State.</li> </ul>
Significance of sustainable natural resource management	Linkages between sustainable natural resources management, biodiversity, living conditions of the rural communities and their income levels.  Linkage between food security and degradation of natural resources.
Presentation of two success stories through audio-visuals	
Analysis of success stories	Ingredients for success : <ul style="list-style-type: none"> <li>- Involvement of people.</li> <li>- Attitudinal changes in the style of functioning of forest departments.</li> <li>- Building rapport with people to win their trust and confidence.</li> <li>- Setting up and functioning of Village Level Institutions (JFMCs).</li> <li>- Benefit sharing: short term and long term.</li> </ul>
Identification of problems in implementing	The participants should be encouraged to identify individually and through discussions in groups of two or three the problem areas perceived by them in implementing JFM.

Item	Broad Contents
JFM in their own respective domains by the participants	The problem areas should be grouped logically.
Problem solutions by Group	<p>Divide the group in four-five parts and assign one set of perceived problems to each group for discussion and suggesting solutions.</p> <p>Consolidate and present the set of emerging solutions.</p>
Traditional rights and obligations of local communities, and conflict resolution	<ul style="list-style-type: none"> <li>- Discussion on traditional right that the local communities may continue to enjoy in the JFM Context.</li> <li>- Other conflicting scenarios that may emerge before JFM approach is adopted (the topic should focus on village dynamics, and, therefore, its content and conduct would vary considerable depending on the local socio economic condition and processes).</li> <li>- Conflict resolution to arrive on consensual base for promoting JFM.</li> </ul>
Understanding communities and community institutions	<ul style="list-style-type: none"> <li>- Who are the people (community profile)?</li> <li>- Differentiated need, access, power and control.</li> <li>- Equity and other guiding principles for developing effective community institutions.</li> </ul>
Steps in planning, initiating and implementing a JFM project in the framework prescribed by the State Government (brief description and discussion of the relevant activities) Organising village communities into JFMCs	<ul style="list-style-type: none"> <li>- Motivation</li> <li>- Group discussions</li> <li>- Entry point activities</li> <li>- Registration of JFMCs</li> <li>- MoU between FDAs and JFMs including the salient features covered (as per the model provided by the GO), viz. composition, rights and responsibilities of JFMCs, and the forest department, quorum and frequency of meetings, membership and fines to be imposed on defaulters, etc.</li> <li>- Legal status, usufruct rights,</li> <li>- Creation of village fund, its objectives and utilisation.</li> <li>- Project formulation and commencement.</li> <li>- Record keeping and financial management by JFMCs.</li> <li>- Project monitoring.</li> </ul>

Item	Broad Contents
Role of NGOs in JFM	<ul style="list-style-type: none"> <li>- As motivators.</li> <li>- As agents of change.</li> <li>- Raising awareness.</li> <li>- Financial assistance? (Big NGOs)</li> <li>- Encouraging tree planting on Community/degraded lands.</li> </ul>
Participatory Rural Appraisal and Planning with People (for developing effective JFMCs and participatory micro-planning)	<ul style="list-style-type: none"> <li>- Why is it important to involve people in the planning process? (Villagers have intimate knowledge and understanding of the local resources (e.g. forest, water, tree species etc) Respect and use people's knowledge in planning).</li> <li>- PRA is a methodology for obtaining people's knowledge in planning).</li> <li>- PRA is a methodology for obtaining people's input and views for the planning process.</li> <li>- Involve different cross-section of village communities as they may have different perceptions of village resources.</li> <li>- How to prepare maps of the village and its resources.</li> <li>- Seasonal calendar of activities.</li> <li>- Labour calendar.</li> <li>- Developing a species check list/matrix and its use.</li> <li>- Divide the participants into groups and assign villages and activities to be carried out during practical session on PRA.</li> </ul>
Field Visit to conduct PRA	
Presentation after PRA practical	<ul style="list-style-type: none"> <li>- Ask each group and sub-group to put together information gathered during PRA e.g. village data (demographic).</li> <li>- Forest data: extent, state of forest land, species in use, soil type etc.</li> <li>- Specific problem of the village.</li> <li>- Possible solutions.</li> <li>- Each group should present the above information with the help of maps prepared, labour calendar, species matrix, charts, tables, etc.</li> <li>- Issues highlighted during PRA and their possible</li> </ul>

Item	Broad Contents
	<p>solutions.</p> <ul style="list-style-type: none"> <li>- Dependency of people on forests.</li> <li>- Identifying potential leaders/ facilitators.</li> <li>- Consolidation of the major recommendation.</li> <li>- Usefulness of PRA as an information gathering tool for planning purpose.</li> <li>- Outline of an effective JFMC for the village(s) covered by PRA.</li> </ul>
Conclusion	<p>Issues in JFM</p> <ul style="list-style-type: none"> <li>- Summarising the issues discussed/taken up during the training programme including legal issues, implementing of joint responsibility, etc.</li> <li>- Taking feedback from the participants for future courses.</li> </ul>

## ANNEXURE 'D'

### FORMAT FOR PROJECT PREPARATION

1. Name of the FDA, JFMC/ EDC and their detailed composition.
2. Location of the project
  - Name of the State, District, Forest Division with head quarters, Block and Villages.
  - Map of the project area (s).
  - Extent and description of the watershed including their standard identification number as per National Watershed Atlas of India.
  - Extent of forestland, community land, panchayat land etc.
  - Total treatable area to be taken up under the project.
3. General description of the forest covered by the Territorial/ Wildlife Division

4. Extent and Distribution of Forest Area:-
  - Dense, open and scrub forest
  - Composition of forests
  
5. Socio-Economic Profile of the villages to be included in the project area. (To be furnished for each project village.)
  - Total Population – SC/ST/OBC and others.
  - Number of households.
  - Land holding and distribution.
  - Total Livestock population.
  - Number and category of livestock.
  - Total estimated fodder requirement and its present availability indicating the source of supply.
  - Total estimated fuelwood requirement and its present availability indicating the source of supply.
  - Gap in supply and demand of fuelwood and fodder.
  - Existence of JFMCs and activities undertaken in the past in protection and development of forests.
  
6. Degree of pressure on forest resources:
  - Fuelwood
  - Fodder
  - Grazing
  - Small Timber
  - NTFP
  - Others
  
7. Interventions Required:
  - Aided Natural Regeneration.
  - Artificial Regeneration.
  - Pasture Development.
  - Coastal shelterbelt Plantations.
  - Bamboo Plantation.
  - Plantation of Canes.
  - Mixed plantation of trees having MFP and Medicinal values.
  - Regeneration of perennial herbs and shrubs of Medicinal values.

8. Work Schedule as per the micro plan showing phasing and costing of Individual Activities (give physical and financial figures for each intervention, year-wise, for the project duration.
9. The approved prevailing wage rates in the project area (s)/ District. (Copy of the relevant order to be enclosed)
10. Mutual obligations, responsibilities which villages are willing to undertake and indicators of success.
11. Sharing of usufructs as per the provisions made in the JFM Resolution of the State.
12. Capacity Building through training of project personnel.
13. Monitoring, Evaluation and Reporting Schedule.
14. Fund flow mechanism. Undertaking to the effect that the procedure laid down by the NAREB, MoEF in this regard shall be followed by the Chairperson and the Member Secretary of the FDA.

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## Annexure- E

### Checklist of documents/information to be provided along with the project proposal of National Afforestation Programme (NAP) for implementation by the FDA.

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1. Formal communication from the State Government accepting the operation of the National Afforestation Programme (NAP) for implementation by the Forest Development Agency (FDA) through the respective Joint Forest Management Committees (JFMCs)/ Eco-Development Committees (EDCs). However, the States that have already communicated their acceptance for implementation of the Samanvit Gram Vanikaran Samridhi Yojna (SGVSY) adopting FDA approach in the pilot phase during the Ninth Plan period need not convey the same afresh.
2. Attested copy of the registration document of the FDA and its bylaws. The FDA is required to be registered under the Societies Registration Act, 1860.
3. Attested copies of registration documents of JFMCs/ EDCs. These have to be registered with the respective Territorial/ Wildlife Conservator of Forests.
4. Proposal should be signed by the respective Chairperson and Member Secretary-cum-Chief Executive Officer of the concerned FDA and submitted to the NAEB, MoEF through the respective Principal Chief Conservator of Forests.
5. Composition of the FDA (Executive and General Body) and JFMCs/ EDCs.
6. Project proposal to be formulated as per the existing model/ component wise cost norms of the Schemes (NAP).
7. Copy of the approved labour rate prevailing in the Project Area/ District/ State (as may be applicable) wherein the project area(s) falls.
8. Details of the watershed (s) of the project area(s).
9. JFMC/ EDC-wise project area to be treated under the project.
10. Land ownership details of the project land area(s).
11. Model/ component wise proposed plantation density (number of plants per hectare) and list of species to be planted.

12. Certificate from the FDA to the effect that while preparing the project due regard has been given to the agro-climatic factors and to the Thrust areas of Bamboo Plantations and Medicinal Plants.
13. Status of existing tree crop in the project areas.
14. Details of fund-flow mechanism from FDAs to JFMCs/ EDCs in the light of scheme guidelines. Broad parameters pertaining to the fund flow mechanism for mandatory adoption by the FDAs are also enclosed for incorporation in the proposal.
15. Monitoring and evaluation mechanism.
16. Time frame for preparation of project wise Microplans.
17. Map of the project area(s).

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**BROAD PRAMETERS PERTAINING TO FUND FLOW MECHANISM AND FINANCIAL PROCEDURES FOR ADOPTION BY FDAs.**

- (a) The funds received by the FDA from NAEB shall be deposited in their exclusive and separate current account in a Nationalised Bank, which would be operated jointly by its Chairperson and the Member Secretary.
- (b) The FDA shall release the amount earmarked for all JFMCs/ EDCs by demand draft within 15 days of receipt of funds from the NAEB, MoEF based on the fund requirement, progress of implementation and utilisation of earlier releases.
- (c) The respective JFMCs/ EDCs shall deposit the funds thus received from the FDA in their exclusive and separate account in a Nationalised Bank/ a Cooperative Bank or a Post Office, which would be singly operated by its Member Secretary, i.e., the concerned Forest Block Forest Officer/ Forester.
- (d) Each JFMC/ EDC shall submit a quarterly statement of accounts and progress of works carried out by them to the FDA.
- (e) The FDA shall submit a comprehensive annual report on the progress of works and utilisation of funds in respect of all JFMCs/ EDCs to the respective State Forest Department and the NAEB, MoEF. However, these details have to be furnished by the FDA each time they seek for release of the next instalment of funds under the project.
- (f) The Project shall be implemented in the areas as indicated in the project proposal and approved by the NAEB, MoEF.
- (g) The interest amount accrued on the deposits of these funds shall be treated as part of the FDA's additional resources and would be adjusted towards further instalments of the grant.
- (h) The funds released under the scheme shall be subject to audit by the Comptroller and Auditor General of India or his nominated officer. Any other agency/ officer (s) authorised by NAEB shall have the right of access to the books and accounts of the FDA/ JFMCs and EDCs for the funds received under the project.
- (i) The FDA shall be responsible for guidance, coordination, supervision, periodical reporting and monitoring the implementation of the project by their constituent JFMCs/ EDCs.
- (j) The project shall be monitored periodically by the respective State Forest Department and the officials of NAEB, MoEF and all assistance for this purpose will be rendered by the FDA.
- (k) The project should be completed within the approved project period. The FDA shall furnish 2 copies of detailed report through the PCCF to NAEB as per the format prescribed by NAEB within two months of completion of the project.

- (l) NAEB reserve the right to terminate the grant at any stage if it is convinced that the grant has not been properly utilised or appropriate progress has not been made.
- (m) In case the FDA fails to execute the project within the stipulated time, including such extensions as may be granted by NAEB, NAEB may, in its discretion, require the FDA to refund the grant in whole or in such part along with interest thereon as NAEB may specify.
- (n) There will be no diversion of funds from one JFMC/ EDC to another save in exceptional circumstances and with the prior approval of NAEB.
- (o) The FDA will submit non-diversion and non-embezzlement certificate each time a request for release of grant is made to NAEB.
- (p) The auditing of accounts of the FDA will have to be carried out through a reputed Chartered Accountant who is also on the panel of C&AG.
- (q) The FDA also submit a certificate to the effect that all conditions laid down in the guidelines and the sanction order are being followed each time a request for release of grant is made to NAEB.
- (r) FDA/ JFMCs will maintain a record of all assets created under the project as per GFR 151.
- (s) Contractors / middlemen/ intermediate agencies are not permitted to be engaged for execution of any of the works under the scheme so that full benefit of wages to be paid reach the workers.
- (t) Except for supervening impossibilities, the Chairperson and the Member Secretary of the FDA shall be solely responsible and accountable for successful implementation of the project.

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### **Microplanning**

Any forestry programme with people's participation as an integral component is to be based on the needs and resources at the local level. To meet these needs, a micro plan should be in operation. This micro plan should:

- a) village would be the unit for microplanning.
- b) be prepared with active participation of people.
- c) target existing stake holders/common interest group.
- d) aim to link local resources to local needs and programme objectives.
- e) be a simple document which the villagers can understand.
- f) require not more than 20-25 man-days to prepare.
- g) not be a miniature version of the project proposal.

### **Plan preparation through Participatory/ Rapid Rural Appraisal**

Microplans are to be prepared based on PRA/RRA. This would include:

1. Feedback from the people: Meetings with common interest groups or the whole village collectively must be done right at the beginning. The objectives of the Scheme must be made clear to the people before eliciting their opinion as to their needs and expectations.
3. Collection of relevant Baseline data for the micro plan, i.e., both for the Entry point activities and rehabilitation plan. This data will cover:-
  - a) Physical and financial resources of the area.
  - b) Extent and type of existing land degradation
  - c) Human and cattle populations with relevant details.
  - d) Socio-economic profile.
  - e) Specific information relating to the forest area/extraction there from etc.
3. Based on this information technical plans are to be prepared so that they
  - are area-specific.
  - specify the activities with timeframes.
  - specify duties and obligations of participants.
  - specify rights and benefits to participants.
  - specify type and manner of record management.

Suitable Treatment sketch maps for each area should be mandatory.

4. Discussion and finalisation of Microplans: The plans prepared should be presented to the concerned villagers/interest groups. These plans should be discussed openly and advice of all interested parties heard and debated. The plans should incorporate changes, if any, and finalised with approval of the village community.

**Guidelines for Entry Point Activities for JFM**

Whereas involvement of local communities in forestry programmes is a desirable objective, it is often difficult to achieve because of the following reasons:-

- (a) Forest activities have long gestation periods and are, therefore, accorded low priority by the local community;
- (b) Forestry programmes are considered to be 'government' programmes; where implementation and protection is seen as the responsibility of the forest department;
- (c) Most of the forestry/plantation programmes entail 'closure' of the area, which increases hardship to the local people;
- (d) Co-operation of almost all stakeholders is necessary for successful protection of plantations.

2. Entry point and other relevant promotional activities may help overcome these hurdles. The objectives of these activities should be:

- (a) To mobilise all stakeholders/the community;
- (b) To compensate the community for the loss due to 'closure' (in particular those enjoying traditional rights to forest produce).

3 The community should collectively identify entry point activities. Entry Point Activities should include creation of community assets to be maintained by them, for example:

- Water harvesting structures like check dams for irrigation, drinking water requirements and amelioration of soil moisture regime;
- Digging of wells for supply of drinking water;
- Creation of roads and culverts;
- Construction of sheds for school and community use assets;
- Installation of energy saving and energy alternative devices;
- Rural electrification through the use of solar power;

4. The above is an illustrative list, and other activities as may be necessary as per the local conditions and requirements may also be taken up commensurate with the approved microplan.

5. The main objective of the entry point and other promotional activities is to elicit the willing participation of the communities in JFM. The former would be useful in 'breaking the ice' and to win the trust and confidence of the people. They should normally cease or taper off with formation of the Village Development Fund (VDF), since the Fund provides a more formal, larger and endurable financial basis for initiating and maintaining developmental activities as may be decided by the community as a whole.

6. Keeping in view the crucial motivational role of entry point activities in the afforestation projects, it is proposed to allow upto Rs. 4000/- per ha. for these purposes in the projects to be sanctioned to FDAs/JFMCs during the Tenth Plan as against 25% of the plantation cost permitted in the Ninth Plan.

**IMPROVED TECHNOLOGIES**

Improved technologies or practices can be employed at the following two stages:-

- (i) Nursery stage to improve the planting stock;
- (ii) Pre-planting and planting stages to improve establishment and survival of seedlings;

2. During the nursery stage the following improved technologies/practices can be employed:

- Use of quality seeds and clonal planting material
- Root trainers
- Rhizobium inoculation
- Mycorrhizal inoculation
- Hormonal treatment
- Bio-fertilizers
- Integrated pest control management

3. Root trainers have shown excellent results in development of better root system which helps in better establishment of seedlings. Application of rhizobium and mycorrhiza results in sturdy plants, vigorous growth, better establishment and tolerance to moisture stress. Hormonal treatment is normally used in hardwood cuttings to promote rooting.

4. Creation of irrigation networks (e.g. sprinkler/drip irrigation) and facilities like temporary mist chambers in nurseries will help in improving the quality of the seedlings. However, these facilities should be cost effective and temporary in nature.

5. During pre-planting and planting stages improved technologies/practices can be employed for treating special problem lands such as saline lands, alkaline lands, water logged areas, mined lands, sand dunes, ravines and gullied areas. Different technology packages are available for treatment of such problem lands. These packages include chemical treatment of soil, elaborate soil and moisture conservation works and special planting techniques.

6. The use of improved technologies/practices in nurseries and treatment of problem lands may require extra expenditure. Additional funds upto a maximum of 25% of the cost norms may be sanctioned for these works.

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**Sample List of Project Activities**

- (i) *In situ* soil and moisture conservation measures like contour furrows, staggered trenches, mulching, box trenches, bench terracing, and vegetative barriers, etc.
- (ii) Soil and moisture conservation by construction of small scale engineering structures like gully plugging, check dams, retaining and breast walls, toe walls, spurs and torrent control measures, small water harvesting structures including ponds, tanks and such vegetative measures as may be necessary. In the case of projects implemented in the periphery of national parks and sanctuaries, augmentation of water supply, facilities for bunds, dams, wells and for transporting and/or pumping of water may be permitted.
- (iii) Planting and sowing of multi-purpose trees, shrubs, grasses, and legumes, as well as non-timber species.
- (iv) Fuelwood & fodder plantations including pasture development for meeting biomass needs of the rural communities.
- (v) Conservation in situ of medicinal plant species and augmenting their plant population by undertaking plantation in the watershed.
- (vi) Raising of Bamboo, cane plantations and medicinal plants.
- (vii) Raising of coastal shelterbelts in the problem areas.
- (viii) Cultural operations like cutting back of existing root-stocks, tending, coppicing/pollarding, climber cutting, weed removal, soil working to encourage natural regeneration.
- (ix) Promotion of agro-forestry and sericulture etc., as appropriate.
- (x) Wood substitution and fuelwood conservation measures such as distribution of fuel-efficient stoves.
- (xi) Measures needed to disseminate new technology such as use of root trainers for raising seedling in nurseries, mycorrhizal treatment of soils, clonal propagation of plants, etc.

Depending upon the edaphic and climatic conditions and also upon the needs of the rural population identified by FDAs and JFMCs, any or all of the above elements of physical works could be included in a specific project. The project proposals should be submitted to the NAEB in the prescribed proforma (**see Annexures “D, E & F”**).

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**NATIONAL AFFORESTATION & ECO-DEVELOPMENT BOARD  
7TH FLOOR, PARYAVARAN BHAVAN, CGO COMPLEX,  
LODHI ROAD, NEW DELHI 110003.**

**GRANTS-IN-AID SCHEME FOR VOLUNTARY AGENCIES**

**GUIDELINES FOR FINANCIAL ASSISTANCE DURING 10<sup>th</sup> PLAN PERIOD**

In tune with the philosophy of eliciting and nurturing people's participation, the National Afforestation & Eco-Development Board (NAEB) provides financial assistance to Non-Governmental Organisations (NGOs)/ Voluntary Agencies (VAs) for afforestation, tree planting and eco-development activities under a Central Sector (100%) Grants-in-Aid scheme.

**TYPE OF AGENCIES THAT CAN BE SUPPORTED:**

1. The project proposals for financial assistance under the Grants-in-aid Scheme of the National Afforestation & Eco-Development Board (NAEB), hereinafter referred to as the Board, shall be entertained from voluntary agencies and non-governmental organizations, hereinafter referred to as Agency, of the following categories:

- Registered Non-profit Organisations;
- Registered Societies, Cooperatives, Companies or Trusts; and,
- Recognised Schools, Colleges, and Universities.

2. Those Agencies which have worked in the field of environment or related social service sectors at least for three years (duly supported by audited statements of accounts for last three years) will be considered for funding under the Scheme.

3. The Agency should have a properly constituted Managing Body with its powers, duties and responsibilities clearly defined and laid down in a written constitution/ by-laws.

4. The financial position of the Agency should be sound for the type of project to be taken up. It should not be run for profit of any individual or body of individuals. It should

have the facilities, resources, experience and personnel for successful implementation of the proposed project.

### **PEOPLES' PARTICIPATION**

5. The proposal should have the full involvement of the beneficiaries. The Agency may work as a catalyst and motivator to facilitate peoples' participation in the programme.

6. The beneficiaries under the programme should preferably be chosen in consultation with the Village Panchayat/ Gram Sabha/ JFMC/ Local Body concerned. The species for planting on project land and mechanism for sharing of usufruct and benefits from plantation should be decided in consultation with the Village Panchayat/ Gram Sabha/ JFMC/ Local Body concerned.

### **ACTIVITIES CONSIDERED FOR SUPPORT**

7. The activities qualifying for grant of financial assistance under the scheme would broadly be as under:

- Raising of seedlings;
- Planting;
- Soil and moisture conservation works;
- Awareness, training and extension;
- Grass and fodder development including silvi-pasture; and,
- Regeneration of degraded forests in the context of the guidelines issued by the Ministry of Environment and Forests on 1st June 1990.

Assistance may also be considered for small water harvesting works/ structures including wells etc., depending on the site conditions provided adequate justification is provided by the agency for proposing such works.

8. Preference will be given to those projects where the established NGOs take on the role of facilitators, innovators and/or motivators rather than implementers of projects with NAEB assistance. Thus NGOs are expected to motivate people to form into groups at the grass-roots level (such as Yuvak Dals, Mahila Mandals, Joint Forest Management Committees, Eco-development Committees, etc.), help them to formulate technically sound and viable plantation/ wastelands development proposals, assist in periodically monitoring and reporting on their performance to the NAEB. Normally in every project upto 10% of the nursery, planting and soil and moisture conservation costs admissible may be provided for overheads, and upto 5% may be sanctioned for awareness raising activities. In case of such projects, this budget will be made available to the promoting NGO for project formulation, technical guidance, motivation/ facilitation and

implementation of the project at the grass-roots level including the costs involved in setting up of peoples' groups. It is expected that the projects will provide for some contribution from the proponents towards the project cost. This contribution could be financial or in the form of voluntary labour by the beneficiaries.

### **IDENTIFICATION OF PROJECT LAND**

9. The land on which activities are proposed should be properly and fully identified. Details of the land such as survey numbers, area, and names of owners should be given location-wise along with totals for the project. These details should be verified and authenticated by the concerned landowner or land owning body/ authority.

10. Project land identified should be suitable for the tree plantation activity and could be located anywhere. While selecting the project area, preference may be given to lands adjacent to forest areas.

### **PROPORTION OF SPECIES**

11. For planting, the type (species) of plants and their proportion should be carefully decided in consultation with the beneficiaries and local representatives or persons who have knowledge about the subject. The number of plants per hectare will depend on the growing space required for each type of plant and should be decided in consultation with persons who have technical knowledge of the subject. Species covered under planting / afforestation should include fuelwood, fodder, small timber, fruit, and other species, which provide food and income to the local people while also improving the status of the land, e.g. agave, arjun, mulberry, etc.

### **PROJECT SIZE AND PLAN**

12. The project should be location specific. Projects should normally not be spread over a large area covering several Districts.

13. The agency should plan out the physical and financial targets for each activity and the time schedule for the various operations included in the project for which financial support is required.

14. Microplan should be prepared for the project area in consultation with the local community/ beneficiaries as far as possible. Microplan should include:

- Site demarcation and management map preparation;
- The planting programme;
- Site Preparation;

- Choice of species and method of establishment; the techniques for raising seedlings and planting, maintenance etc. should be explicitly given;
- Harvesting of fodder, fuelwood etc;
- Protection; the village community should work out a mechanism best suited to the local conditions;
- Benefit sharing mechanism.

The micro-plans are not required to be submitted to the NAEB, but may be available to the evaluator by the Agency.

## **DOCUMENTATION**

15. The following documents shall be submitted with the application form (Details may be seen in the enclosed Checklist of documents):

- (i) Attested copy of registration certificate and articles and memorandum of association of the agency.
- (ii) Attested copies of audited statements of accounts for last three successive years.
- (iii) A note on past activities, especially those related to forestry or related social service sectors development.
- (iv) A list of beneficiaries giving details of land for nursery raising/tree planting viz. survey/khasra numbers, area in ha. and names of owners, village-wise.
- (v) Written consent of owners of land that they have no objection to nursery/afforestation activities being taken up on their lands. In case of private lands, the details at (iv) above will suffice. These details should be verified and authenticated by the concerned Revenue officials/ Village Councils (for N.E. region) and countersigned by the Member-Secretary of the concerned JFMC/ EDC or the concerned Forester/ Block Forest Officer. However, the Agency will have to certify on the list of beneficiaries that the Agency has obtained the consent of the beneficiaries concerned for nursery, planting and maintenance/ after care activities and the same is available in the Agency's office for verification.
- (vi) A certificate from the agency that at least 50% of the beneficiaries are SC/ST or from disadvantaged sections of society. This may not be insisted upon where the SC/ST population is not sufficient to fulfill this stipulation. However, at least 50% of the total beneficiaries should be women. This should be countersigned by the concerned village panchayat/ village council/ local body.
- (vii) A detailed note on the Agency's plan for nursery raising as well as tree planting and also the details of its organisational structure to implement the project at the field level.

16. Projects for raising of seedlings and their distribution need to be accompanied by documents clearly identifying the land proposed for nursery activity and consent of the concerned landowner(s) for nursery activity.

### **QUANTUM OF GRANT**

17. Assistance for nursery costs will be limited to Rs. 1.40 per surviving seedling including 20% extra seedlings for casualty replacement. This includes cost of polythene bags, site development, weeding, watering, fertilizer, wages, etc.

18. Assistance for planting (including land development, pit digging, planting, weeding, fertilizer, wages etc.) and maintenance over a period of 3 years (including casualty replacement) will not exceed Rs. 9,120 per hectare or Rs. 5.70 per plant, whichever is less. This is for a maximum planting density of 1600 plants per hectare. If an agency proposes to take up planting at a higher density (which must be technically feasible), the assistance for nursery and planting will be restricted to the above norms.

19. Assistance towards the administrative costs of the project (including operation of vehicles and staff salaries) essential for the project will not exceed 10% of the nursery, planting and soil and moisture conservation costs admissible.

20. For awareness raising activities essential for the project, the cost will not exceed 5% of the nursery, planting and soil and moisture conservation costs admissible.

21. The Board will not normally support the use of barbed wire fencing for protection of plantations. However, it may consider requests for other methods of protection such as cattle proof trench-cum-mound, live fencing, local watchmen/guards, etc. Assistance for this purpose, if sanctioned, will be limited to Rs. 1100 per hectare (over a period of 3 years) subject to the agency furnishing adequate details of and justification for the items and costs involved and verification thereof.

22. Supplementary efforts to include soil and moisture conservation measures and/or watering may be considered. In case of soil conservation measures, such as contour bunding, contour trenching, gully plugging etc. and/or arrangements for watering, an additional amount of Rs. 1800 per hectare or Rs. 1.15 per plant, whichever is less, over the project duration may be allowed subject to the agency furnishing sufficient justification and details about the items of expenditure and associated costs.

23. For afforestation projects in the hills and desert areas, transportation assistance limited to Rs.200 per hectare, may be allowed subject to the agency furnishing adequate justification.

24. The above norms will apply to afforestation projects on public lands, i.e. panchayat lands and government lands. In case of projects covering private lands, the Board's assistance, subject to the above specifications, will be restricted to:

- (i) Nursery costs as above;
- (ii) Advance work, planting and maintenance over a period of 3 years subject to a limit of Rs. 5,360 per hectare or Rs. 3.35 per plant, whichever is less;
- (iii) Soil and moisture conservation measures subject to limit of Rs. 900 per hectare on Rs. 0.56 per plant, whichever is less;
- (iv) Administrative costs of the project subject to a limit of 10% of the nursery, planting and soil and moisture conservation costs admissible.
- (v) Cost of awareness-raising activities, subject to a limit of 5% of the nursery, planting and soil and moisture conservation costs admissible; and,
- (vi) Transportation costs as given above.

25. In case of agro-forestry projects or projects for longitudinal planting along the boundaries of farms, road sides, canal sides, river sides, urban areas, etc. or where the area to be planted has not been clearly and properly stated, area in hectares for purposes of working out the quantum of overheads and protection assistance will be calculated nominally by using a conversion factor of 1600 plants to one hectare.

26. Activities like grass and fodder development can also be undertaken in combination with afforestation activities (Silvipasture) within the norms of assistance.

27. The Board's assistance for projects involving activities to promote training and extension in isolation shall not be considered.

28. The consideration of the proposal for sanction and quantum of grant for financial assistance will depend upon the strength of the proposal, its pre-appraisal, capability of the Agency, regional distribution and the priority assigned to the proposal by State Forest Department and the Board.

### **APPLICATION FOR GRANTS-IN-AID**

29. The project proposal, complete in all respects, should be submitted in duplicate in the prescribed format directly to the Principal Chief Conservator of Forests of the concerned State Government/ UT Administration. The completed proposals as per the scheme guidelines shall be received by the State/ UT Forest



**Departments from 1<sup>st</sup> July to 31<sup>st</sup> August of each calendar year.** The NAEB shall not receive/ entertain any proposal under the scheme sent directly by the Agency.

### ***SCRUTINY OF APPLICATIONS***

30. The proposals received by the PCCFs shall be screened and scrutinized for their suitability, technical feasibility and credibility of information/ documents pertaining to the proposals before recommending 10-15 proposals in order of merit to the NAEB for further consideration along with their pre-appraisal report in the prescribed format. The respective PCCFs may decide on the modality/ mechanism for screening and scrutiny of the proposals. The following criteria may be adopted for selection of projects for recommendation to the Board:

- **To ensure appropriate regional distribution across the State.**
- **Projects tackling high proportion of community/government revenue lands may be given preference.**
- **Status of Project area in terms of:**
  - **land degradation, soil erosion, drought conditions, human development indices, availability of waste lands, extention of forest/ tree cover.**
- **Past performance and credibility of the Agency including their financial soundness and non-involvement in the anti-social or anti-national activities.**

31. While forwarding the recommendations, the PCCFs should also give a summary of the total proposals received and considered for recommendation to the Board. The recommendations received from the PCCF in respect of prioritized proposals shall be valid for the relevant financial year only and shall not be carried forward to the next financial year automatically.

### **SANCTION OF PROJECTS**

32. On receipt of the recommendations from the respective PCCFs, the Board shall consider them for further processing for sanction. The following shall be the determinant factors for sanction of new projects in the 10<sup>th</sup> Plan period under the scheme:

- distributional equity across the country,
- availability of funds under the Scheme,
- relative priorities based on national perspective/ contingencies,
- any other criterion adopted by the Board.



## **EVALUATION OF PROJECTS**

33. The Board will arrange for periodic monitoring and evaluation of the projects supported by it through its officials, State Forest Departments, Regional Centres of NAEB and/or independent consultants as and when required.

## **TERMS AND CONDITIONS**

34. The grantee should execute a bond under the General Financial Rules in the prescribed format and submit it to the Board with a copy to the respective PCCF before the release of grant once the proposal is approved by the NAEB for grant of financial assistance under the Scheme.

35. The grantee will be required to submit detailed half-yearly reports on the expenditure incurred and progress achieved to the NAEB with a copy to the respective PCCF.

36. An utilisation certificate to the effect that the grant has been actually spent for the purpose for which it has been sanctioned should be sent to the Board annually with a copy to the respective PCCF.

37. The grantee shall also send annual report to the Board along with audited statement of accounts.

38. Mid-term appraisal/ final evaluation of the projects shall be caused to be carried out by the Board.

39. The accounts of the grantee organisation will be open to test check by the Comptroller and Auditor General of India.

40. The unspent balance, if any, out of the grant released along with accrued interest will be refunded to the Board.

41. After completion of the project, a duly audited accounts report for the total expenditure will also be submitted to the Board with a copy to the respective PCCF.

42. In case, as a result of assessment/evaluation of the work of a voluntary agency it is found that the financial assistance or any part thereof released by the Board has not been utilised for the purpose for which it was sanctioned, the agency will be required to refund such amount of principal together with the interest accrued thereon in one lump sum.

43. On the conclusion of the project, the Agency shall ensure that the assets created are handed over to the concerned land owner/ land owning authority for further maintenance. This should be incorporated in the final progress report by the Agency to the Board.

44. All the proposals pending with NAEB for consideration under the scheme as on 01.4.2002 shall be referred back to the respective PCCFs for their consideration.

**NATIONAL AFFORESTATION & ECO-DEVELOPMENT BOARD  
7TH FLOOR, PARYAVARAN BHAWAN, CGO COMPLEX,  
LODHI ROAD, NEW DELHI: 110 003**

**APPLICATION FOR GRANTS-IN-AID DURING THE 10<sup>th</sup> PLAN PERIOD**

**GENERAL INSTRUCTIONS**

1. Please fill in all columns.
2. If space under any column seems insufficient, separate sheet may be attached; but gist of what you want to say should be given in the space provided.
3. Along with the application please enclose the requisite documents as stated in the guidelines of the scheme.

**PART I: GENERAL**

- 1.1 Name and postal address of the Agency/ Applicant Organisation:
- 1.2 Name of the Post Office with PIN code:
- 1.3 Name of the Police Station (with reference to the Organisation's address):
2. Telephone No. with STD code: ----- Fax No.: -----
3. Telegraphic Address: -----
- 4.1 Name and designation of Chief Functionary:
- 4.2 Telephone No.with STD code:
- 4.3 Name and designation of other Members of the Executive Body:
5. Status of Organisation (tick): Cooperative, voluntary Agency, Registered Society, Trust,  
Any other (Specify):
- 6.1 Registration number and Date and Place of Registration:
- 6.2 Name of the Registering authority and its address:

7. TITLE OF THE PROJECT FOR WHICH GRANT IS SOUGHT:
8. OBJECTIVES OF THE PROJECT (in brief):
9. IMPLEMENTATION OF THE PROJECT (Explain in brief how the project will be implemented with special reference to the following points. In case any of them is not applicable, please write `N.A.`):
  - 9.1 Identification of Land (Please indicate soil type and the present land use):
  - 9.2 Soil working and Treatment (Please indicate land development measures - leveling, contouring, ploughing, soil treatment with gypsum, etc. - proposed):
    - 9.3.1 Scientific and common names of species proposed to be raised/planted and their number/proportion:
    - 9.3.2 Plan for nursery raising and tree planting (Please indicate rainy season; how long will seedlings be kept in nursery, how and when will these be transported and transplanted, maintenance measures proposed, etc.):
      - 9.3.3 Soil & Moisture Conservation works (Please indicate details of the soil and moisture conservation measures proposed, if any, along with full justification therefor):
      - 9.3.4 Protection measures proposed, with reference to column 13.1 indicating why social fencing will not suffice because the project is supposed to be implemented with people's participation and for their benefit:
  - 9.5 Irrigation sources:
  - 9.6 Extension and Training (Please indicate how the programme participants are proposed to be motivated/trained for various forestry activities/operations).
  - 9.7 Who will provide technical assistance, if required, to the agency?
  - 9.8 Organisation and management of work (Please give details of the organisational structure to implement the project especially at the field level);
  - 9.9 Any other salient features of the project you may wish to highlight:

9.10 Present Bankers of the organization (Name and branch of the Bank along with its postal address, type of account and its identification number):  
 (NAEB may ascertain the financial standing and credibility from the Bank authorities during the processing of the proposal)

**PART II: LAND DATA**

10. STATUS OF LAND

10.1 STATE: \_\_\_\_\_ DISTRICT: \_\_\_\_\_  
 BLOCK: \_\_\_\_\_ TALUKA: \_\_\_\_\_

VILLAGE/ LOCAL BODY (Where work would be undertaken)	AREA (in hectares)	NUMBER OF BENEFICIARIES
1.		
2.		
3.		
4.		
5.		
6.		
7.		
-----		
TOTAL		

- \* Local body/ Village-wise details of beneficiaries should be given separately
- In case the number of locations exceeds 6, please attach a separate sheet of paper giving these details.

**10.2 OWNERSHIP PATTERN:**

	AREA (HA) to be afforested	LOCATION (Name of Village/ local body) (Khasra number etc)	
Private land	-----	-----	-----
Community land	-----	-----	-----

Government Revenue land -----	-----	-----
Forest land -----	-----	-----
Any other (specify) -----	-----	-----
TOTAL -----		

10.3 TYPE OF LAND TO BE TAKEN UP UNDER THE PROJECT;

	AREA (Ha.)
Gullied and/or ravinous land -----	-----
Undulating upland with or within scrub -----	-----
Surface water logged land and marsh -----	-----
Salt affected land -----	-----
Shifting Cultivation Area -----	-----
Degraded forest land -----	-----
Strip lands -----	-----
Sands -----	-----
Mining/industrial wastelands -----	-----
Marginally Cultivated land -----	-----
TOTAL -----	-----

10.4 NUMBER OF BENEFICIARIES AND OTHER CATEGORIES;

A) Total Number of Beneficiaries\* -----

-----

B) CATEGORY NO. OF BENEFICIARIES

-----  
 SCHEDULED CASTE (SC)  
 SCHEDULED TRIBE (ST)  
 MARGINAL FARMERS (MF)  
 SMALL FARMERS (SF)  
 LANDLESS (LL)  
 WOMEN (W)  
 OTHER (SPECIFY) (O)  
 -----

\*Caution - The sum of total of the categories will not be the same as mentioned at 'A' as the categories are overlapping.

**PART III: PHYSICAL / FINANCIAL**

11.1 DURATION OF THE PROJECT FROM ----- TO -----  
**(The period should be at least of 3 year duration)**

**11.2 PHYSICAL TARGETS OF THE PROJECT (YEAR-WISE):**

ACTIVITY	Year-1	Year-2	Year-3	Total
----------	--------	--------	--------	-------

A. NURSERY

Number of Nurseries

Number of Seedling  
to be raised:

B. PLANTING

Seedlings to be planted:  
 Public lands (area in ha)  
 Number of seedlings  
 Private lands (area in ha)  
 Number of seedlings

C. AWARENESS RAISING/EXTENSION/  
 Training etc. activities

Number of camps/ workshops etc.  
Number of persons

D. PROTECTION MEASURES  
Public lands only (area in ha)

E. SOIL & WATER CONSERVATION MEASURES

Public lands (area in ha)

Private Land (area in ha)

Forest lands (area in ha)

F. TRANSPORTATION OF SEEDLINGS  
(Hill and Desert areas only)  
Number of seedlings to be  
Transported

G. ANY OTHER (SPECIFY)

---

## 12.A. PHASING OF FINANCIAL ASSISTANCE SOUGHT

---

AMOUNT IN Rs.

ACTIVITY	Year-1	Year-2	Year-3	Total
<hr/>				
A. NURSERY				
@ Rs. -----/seedling				
B. PLANTING				
Public lands				
@ Rs. -----/seedling/ha*				
Private lands				
@ Rs. -----/seedling/ha*				
Forest lands				
@ Rs-----/seedlings/ha*				



C. SOIL & WATER CONSERVATION MEASURES

Public lands

@ Rs. -----/seedling/ha\*

Private lands

@ Rs. ....../seedling/ha\*

D. OVERHEADS

Upto 10% of the cost of A+B+C

E. AWARENESS RAISING/EXTENSION/  
TRAINING etc.

Upto 5% of the cost of A+B+C

F. PROTECTION MEASURES

(Public/Forest lands only)

@ Rs. ....../ha

G. TRANSPORTATION OF SEEDLINGS

(Hill and Desert area only)

@ Rs. ....../seedling/ha\*

G. ANY OTHER (SPECIFY)

-----

----

TOTAL

-----

----

\* Strike out whichever is not applicable.

**12.B SOURCE OF FUNDS:**

12.B.1 FINANCIAL ASSISTANCE REQUIRED FROM NAEB:

ACTIVITY		Amount in Rs.
a)	Nursery	-----
b)	Planting	-----
c)	Soil & Water Conservation Measures	-----
d)	Overheads	-----
e)	Awareness raising	-----
f)	Protection Measures	-----
g)	Transportation of seedlings	-----
h)	Any other (specify)	-----

Total

-----

12.B.2 FROM OTHER SOURCES

a) Bank (specify name of the Bank)

-----

b) Any other Govt. Scheme (specify)

-----

c) Own funds of the Applicant Agency

-----

d) Other (specify)

-----

Total

-----  
**TOTAL PROJECT COST (12.B.1+12.B.2)**  
-----

12.C. Please name the nearest place (convenient to the agency) alongwith district, which has a branch of Union Bank of India.

12.D If NAEB have sanctioned a Grant-in-Aid for other project(s) for this applicant agency in the past, details thereof including sanction number(s) and date(s):

PART IV: PROTECTION, USUFRUCT/BENEFITS

13.1 Protection of plantations with special reference to the concept of Social Fencing:

13.2 Maintenance of Nursery and Plantations:

13.3 In case of community plantation, how will the produce be distributed?

13.4 In case of individual farmers, what benefits accrue?

13.5 If any other form of organisation to utilise the produce is being envisaged, please indicate;

## PART V: CERTIFICATES

### CERTIFIED THAT:

1. The above particulars are, to the best of our knowledge and belief, correct.
2. The beneficiaries belong to weaker sections of society / are below poverty line in case of nursery/planting on private lands.
3. We have not applied to/received from any other funding Agency aid for this project, except as at 12.B.2.
4. We shall abide by all the Terms and Conditions of the Grant.
5. We shall furnish such periodical/special reports as may be required by NAEB
6. Our books and records shall be open to inspection at all times to NAEB or their authorised representatives.
7. NAEB may, at their discretion, themselves or through their authorised representatives evaluate the physical progress/utilisation of funds for this project.
8. The undersigned shall be personally responsible for the credibility and authenticity of the information provided and documents attached with the proposal and legally liable for any default in this regard.
9. In the event of any default or deviation from the terms and conditions of sanction of the project, the Board shall have the right to recover the grant from the Agency.

\*Photograph of  
the Chief  
functionary of  
the applicant  
agency duly  
attested by a  
gazetted  
officer

Signatures, Names and Stamp  
of Chief Functionary  
of the Agency

Postal address:  
Telephone Number with STD code:

\* Name, designation and seal of the attesting official.

## **PART VI: CHECKLIST OF DOCUMENTS**

1. Attested copies of the Registration Certificate, Memorandum of Association and Bye- laws of the Agency .
2. Attested copy of the Audited Statement of Accounts for the last three successive years.
3. A note on past activities especially those related to forestry or related social service sectors development.
4. A list of beneficiaries giving details of land for nursery raising/tree planting viz. survey/ khasra numbers, area in ha. and names of owners, Local body/ Village-wise. However, the Agency will have to certify on the list of beneficiaries that the Agency has obtained the consent of the beneficiaries concerned for nursery, planting and maintenance/ after care activities and the same is available in the Agency's office for verification.
5. Written consent of owners of land that they have no objection to nursery/ afforestation activities being taken up on their lands. In case of private lands, the details at (iv) above will suffice. These details should be verified and authenticated by the concerned Revenue officials/ Village Councils (for N.E. region) and countersigned by the Member-Secretary of the concerned JFMC/ EDC or the concerned Forester/ Block Forest Officer.
6. A certificate from the agency that at least 50% of the beneficiaries are SC/ST or from disadvantaged sections of society. This may not be insisted upon where the SC/ST population is not sufficient to fulfill this stipulation. However, at least 50% of the total beneficiaries should be women. This should be countersigned by the concerned village panchayat/ village council/ local body.
7. A detailed note on the Agency's plan for nursery raising, soil & moisture conservation works, tree planting and also the details of its organisational structure to implement the project at the field level.
8. A certificate from the agency that at least 50% of the beneficiaries are SC/ST or from disadvantage section of the Society duly countersigned by the respective village panchayat.
9. Location map of the proposed area.
10. Details of land, Local Body/ Village-wise, indicating Khasra Nos./plot Nos. and area in ha. These details should be verified and authenticated by the concerned Revenue or Local Body officials/ Village Councils (for N.E. region) and countersigned by the Member-Secretary of the concerned

- JFMC/ EDC or the concerned Forester/ Block Forest Officer.
11. List of species proposed to be planted.

**PART – VI: COST NORMS FOR VARIOUS COMPONENTS**

Sl.No	Item of Work	Approved Cost Norms		
		For Govt./ Community land (1600 plants/ha.)	For Private land (1600 plants/ha.)	Pasture Development (400 plants/ha. + grasses)
1.	Nursery raising *	2700	2700	500
2.	Plantation (a) Advance Work	5120	2560	1400
	(b) Plantation	4000	2800	2000
3.	Soil & Moisture Conservation	1800	900	1110
	<b>Sub-total</b>	<b>13620</b>	<b>8960</b>	<b>5010</b>
4.	Overheads (upto 10% of sub-total)	1362	896	501
5,	Awareness raising (upto 5% of sub- total)	681	448	251
6.	Protection	1100	-	-
7.	Transportation (hilly and desert areas only)	200	200	-
	<b>TOTAL</b>	<b>16963</b>	<b>10504</b>	<b>5762</b>

\* - includes the cost of 20% extra seedlings for casualty replacement.

**Note:** Deviation to a maximum of 20% be allowed to the implementing agency to utilise funds within activities relating to nursery raising, plantation, and soil and moisture conservation works with reference to the approved cost norms for an activity, depending on the nature of the project and justification for seeking such variation furnished by the implementing agency. at the project formulation stage. Deviation upto 5% of the indicated cost norms in these activities would be allowed during implementation stage. The total approved outlay for nursery raising, plantation, and soil and moisture conservation works for a project will, however, not be exceeded on account of allowing the above-mentioned variations.

\*\*\*\*\*