

OPERATIONAL GUIDELINES FOR THE TENTH FIVE-YEAR PLAN

The scheme titled National Afforestation Programme (NAP) has been formulated by merger of four 9th 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 10th Plan period: The two-tier set up namely the Forest Development Agencies (FDAs) and Joint Forest Management Committees (JFMCs).

Maintenance of 9th Plan projects during 10th 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 9th Plan (no new projects shall be sanctioned under the constituent AOFFP scheme component during the 10th 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 Samridhi 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 9th 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 Regeneration. (1100 ** plants/hectare)	17100	2565	1710	1710	4000	27085
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 ¹ (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.

** 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

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

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 micro-planning 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 4th 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 “P”**.

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.
