

# **Operational Manual For Nagaland Forest Management Project**

(Funded by Japan International Cooperation Agency)



Nagaland Forest Management Project Society

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TEMJEN TOY, IAS  
CHIEF SECRETARY



GOVERNMENT OF NAGALAND  
NAGALAND: KOHIMA

### MESSAGE

I am happy to learn that the Nagaland Forest Management Project (NFMP) is publishing the Operational Manual containing operational guidelines including administrative and financial procedures to be followed. As the Project is being implemented in 'Society Mode', the working and procedures have been prepared in such a manner as to facilitate implementation. Completion of the Operational Manual, therefore, marks an important step forward as it will immensely assist in the day to day working and expedite decision making which will speed up seamless implementation of the Project.

At a time when sustainable use of natural resources is becoming a challenge, I implore the team to work with commitment and extend my best wishes to the NFMP for successful implementation of the Project.

( Temjen Toy)

Chief Secretary, and Chairman,  
High Power Committee (HPC)

**Dated : 23<sup>rd</sup> August, 2018.**



**Principal Secretary to Government of Nagaland  
Department of Environment, Forest & Climate Change.  
Nagaland, Kohima**

### **Message**

I am happy to learn that the Japan International Cooperation Agency (JICA) assisted Nagaland Forest Management Project (NFMP) is going to publish “Operational Manual” (OM) for the project. The NFMP, an externally aided project aims for management of forests and rehabilitation of the jhumland in a sustainable manner and also to provide livelihood to the dependent population in the State.

The Operational Manual (OM) will contain guidelines for management and implementation of the project. I call upon all concerned stakeholders to strictly observe various standards and procedures as prescribed in the Operational Manual. I believe that the Nagaland Forest Management Project will be able to contribute effectively to sustain the initiatives taken by our people and communities for conservation through this manual.

I wish all success to the Nagaland Forest Management Project.

  
( LHOUBEILATUO KIRE)

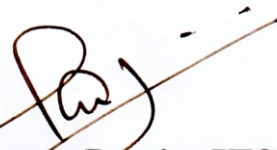


## FOREWORD

The State of Nagaland has rich and diverse flora and fauna. Due to immense anthropogenic pressures on these natural resources, conservation has become a big challenge. Considering the task ahead, the project at hand i.e. Nagaland Forest Management Project is the first externally aided project of its kind being implemented in the State by Nagaland Forest management Project Society. This Society is an autonomous non-profit organization of the Department of Environment, Forests and Climate Change, Government of Nagaland. The whole process from conceptualization to formulation and thereafter field visits and discussion with all concerned has taken considerable time. It envisages the involvement of various stakeholders viz many Govt. Departments, NGOs, Communities etc.

I am happy that the NFMPS has prepared the Operational Manual to guide the Officers and Staff in efficient and timely implementation of the Project activities. This will also help our people working in JFMCs to follow a set of guidelines as envisaged in OM.

We look forward for constructive comments and suggestions from all concerned for improvement in the Manual during the course of implementation of the Project. I wish the best to each one associated with the Project for its successful execution.



**I. Panger Jamir, IFS**

Principal Chief Conservator of Forests & HOFF and  
Chairperson, Nagaland Forest Management Project Society

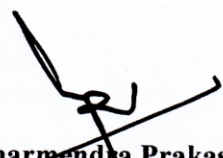
## PREFACE

Nagaland Forest Management Project (NFMP) assisted by the Japan International Cooperation Agency (JICA), aims at improving forest ecosystems through rehabilitation of Jhum areas and supporting income generation for the communities, thereby contributing to sustainable forest and environmental conservation and livelihood improvement in the identified villages in Nagaland State. Activities under the project are to focus on the 185 villages selected in four batches, spread over 22 Forest Ranges covering all the Districts in the State.

The project is being implemented by the Nagaland Forest Management Project Society (NFMPS) constituted by the State Government as an autonomous non-profit organization registered under the Societies Registration Act, 1860. One of the important requirements for the effective and successful execution of the Project by NFMPS, is the Operational Manual prescribing administrative and accounting procedures pertaining to the Society for implementation of the Project, defining the roles and responsibilities of the various bodies viz High Power Committee (HPC), Governing Body (GB), Project Management Unit (PMU), Project Review Committees (PRCs), District Advisory Committees (DACs), Divisional Management Units (DMUs), Field Management Units (FMUs), Joint Forest Management Committees (JFMCs), Self Help Groups, and partner NGOs.

A short term Consultant was engaged for drafting the Operational Manual for the NFMP. A draft manual was prepared after referring to the relevant laws, rules and regulations and detailed consultations with key stakeholders including Senior Government officials. The draft OM underwent improvements through several rounds of discussions within the Project Management Unit and after vetting by the State Government, has been approved by the High Power Committee of the NFMP.

I am thankful to all the Government officials, and other stakeholders who have contributed in the preparation and finalization of the Operational manual.



**Dharmendra Prakash, IFS**  
Additional Principal Chief Conservator of Forests &  
Chief Project Director-cum-CEO  
Nagaland Forest Management Project



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**ABBREVIATIONS**

AAO	Administration and Account Officer
ACF	Assistant Conservator of Forests
ACR	Annual Confidential Report
AWP	Annual Work Plan
BCC	Block Coordination Committee
CB	Capacity Building
CCA	Community Conserved/Conservation Area
CEO	Chief Executive Officer
CPD	Chief Project Director
DCA	District Advisory Committee
DMU	Divisional Management Unit
Dy. PD	Deputy Project Director
EA/B	Executing Authority/Body
EPA	Entry Point Activity
FMU	Field Management Unit
FSI	Forest Survey of India
GB	Governing Body
GIS	Geographic Information System
GOI	Government of India
GON	Government of Nagaland
GST	Goods and Services Tax
Ha.	Hectare
HPC	High Power Committee
IEC	Information, Education and Communication
IGA	Income Generation Activity
JAF	Jhum Agro forestry
JCF	Jhum Conversion to Forestry
JFG	Jhum Farmers' Group
JFF	Jhum Farm Forestry
JFM	Joint Forest Management
JFMC	Joint Forest Management Committee
JICA	Japan International Cooperation Agency
MIS	Management Information System
MoD	Minutes of Discussion
NGO	Non Governmental Organization
NFMP	Nagaland Forest Management Project
NFMPS	Nagaland Forest Management Project Society
PD	Project Director
PMC	Project Management Consultants
PMU	Project Management Unit
RC	Responsibility Center
RO	Resource Organization
ROJB	Resource Organization for Jhum & Biodiversity
SFD	State Forest Department
SHG	Self Help Group
SOE	Statement of Expenditure
TA	Traveling Allowance

## **Chapter 1**

### **THE PROJECT**

#### **1.0 Introduction**

Nagaland is one of the North Eastern States of India situated on the eastern border with Myanmar, having a population of about 1.9 million (2011) and is rich in forest resources within the Indo-Burma biodiversity hotspot. Almost 60% of the State's population is engaged in Jhum (slash and burn) cultivation - a form of traditional cultivation practice that has evolved over generations and has become a core tradition of the Nagas. Jhum cultivation meets approximately 60% of food demand in the State. Under Jhum, cropping cycle of one or two years is supported by long fallow period to ensure fertility and nutrient cycling to maintain land productivity. The climate of the state is humid tropical and sub-tropical with steep terrain and Jhum cultivation results in depletion of micro-nutrients from the soil. It is also reported that Jhum cycle has been reduced particularly in the Eastern part of the State. The short rotation cycle of Jhum leads to lower productivity due to shorter fallow period. The state has lowest yield per hectare from Jhum Cultivation among the North Eastern States. Average productivity in Nagaland is estimated at 702 kg/hectare while that in other North Eastern States it is approx. 1,193 kg/hectare.

As a consequence, there is an increasing pressure on the forests for commercial exploitation to augment income of rural population. This pressure results in degradation of the forest resources and the biodiversity. According to the latest India State of Forest Report (FSI, 2017) Forest cover in the state was 12,489 sq.km. which is more than 75.33 % of its total geographical area, but more than half of it is in open forest category (having canopy density less than 0.40). Moreover, according to this report forest cover has been decreased by 450 sq.km, between 2015 and 2017, the fourth highest loss of the forest cover across the states in the country. Jhum cultivation is one of the reasons cited for the forest degradation. According to FSI report on Forest carbon in India's Forests (FSI, 2012) per ha. Carbon in the above ground biomass pool in the state was been estimated to be 12.08 tons which is very low compared to the national average of 31 tons per ha.

The biodiversity of the state is not only valuable for its intrinsic value, but also provides critical ecosystem services such as food sources, water sources, soil formation, nutrient cycling and primary production. Thus, sustainable restoration and rejuvenation of Jhum area is essential for restoration of forests and conservation of biodiversity in the state.

#### **1.1 The Project objective**

Nagaland Forest Management Project - NFMP (hereinafter referred to as the Project) was started during 2017-18 with the above background and assistance from Japan International Cooperation Agency. The main objective of the Project is to improve the forest ecosystem and support income generation by rehabilitation of Jhum areas and provision of livelihood support, thereby contributing to sustainable forest and environmental conservation and livelihood improvement in the targeted villages in the State.

## 1.2 Project costs & components

With a total estimated cost of Rs.533 Crores, the Project is to be implemented in 185 villages in 22 selected Forest Ranges and in 11 Forest Divisions namely Mon, Mokokchung, Tuensang, Wokha, Dimapur, Zunheboto, Phek, Kohima, Peren, Kiphire & Longleng, covering all the districts of the State. The main approach is to undertake need based and village specific interventions in the Joint Forest Management (JFM) mode through the JFM committees (JFMCs).

Ranges/Independent Beats will be selected by applying the criteria of Jhum intensity, forest cover and security situation, and villages within selected ranges/independent beats shall be selected batch-wise spanning over a period of 4 years, (30: 60: 60: 35 villages in batch 1, 2, 3 & 4 respectively) based on the criteria as given in Detailed Project Report read with the Minutes of Discussion (MoD) of 30<sup>th</sup> January, 2017 between the Dept of Environment Forest & Climate Change, GoN and JICA. Selection of the target villages should be in a cluster based approach i.e. a group of villages sharing the same geographical and vegetation landscape requiring similar forestry interventions, with a view to enhance project impacts in a tangible manner and to reduce administration cost and facilitate cohesive management. While making selection of villages, following types of areas will be avoided:

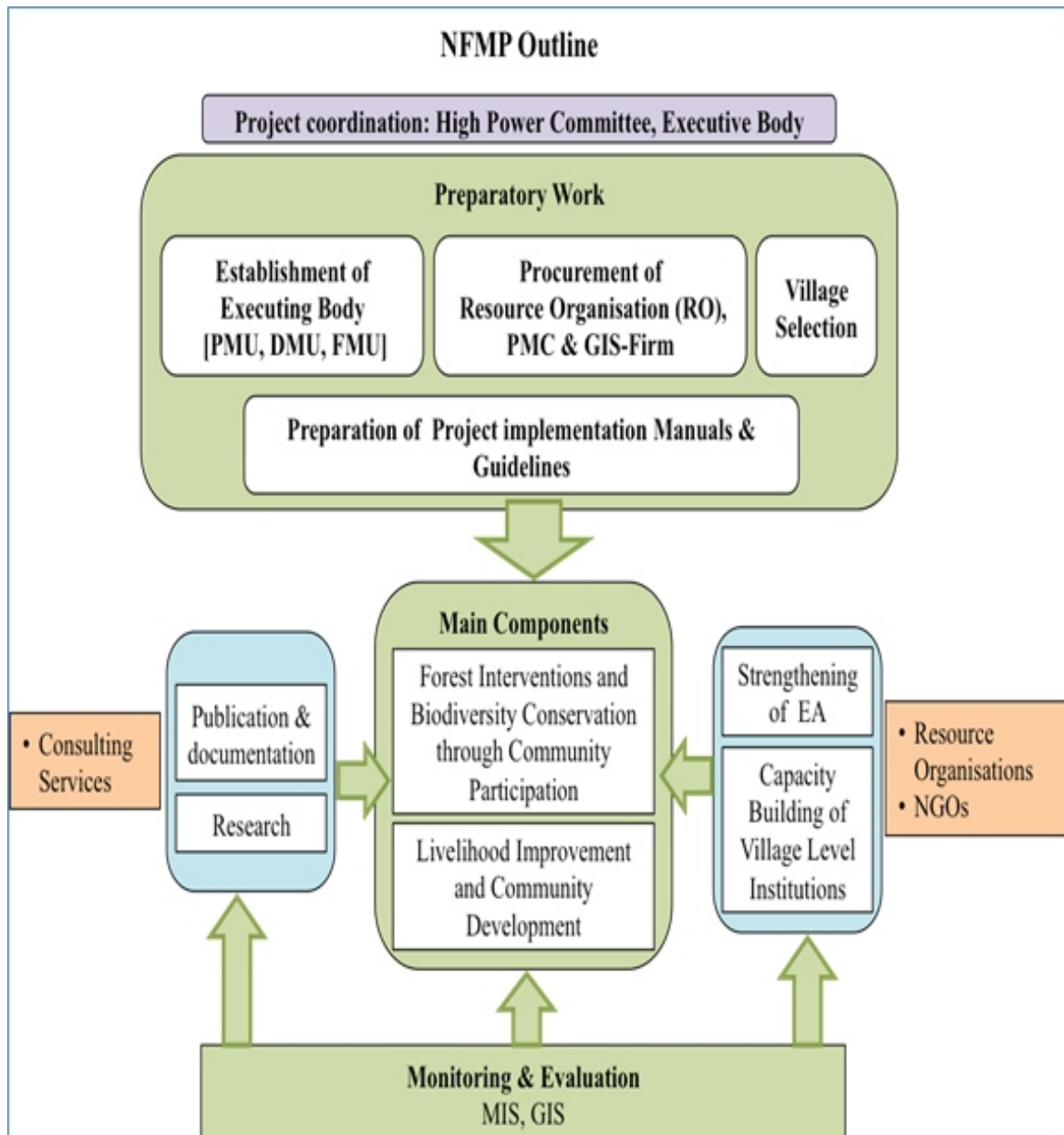
- a) Areas where there are any land disputes or community disputes
- b) The areas with any security and political risks (
- c) Isolated villages which cannot be included in a cluster
- d) Villages which have been supported by other external (foreign) donors in the recent past
- e) Protected areas (eco awareness activities shall be implemented outside Protected Area)

Forest Division wise number of ranges/independent beats and villages to be selected under the Project		
Name of the Forest Division	Number of Ranges / Independent Beats	Number of Villages
Dimapur	2	7
Peren	2	13
Mokokchung	2	18
Wokha	2	20
Kohima	2	16
Zunheboto	2	20
Phek	2	20
Tuensang	3	25
Kiphire	1	18
Longleng	2	9
Mon	2	19
<b>Total</b>	<b>22</b>	<b>185</b>

With the aforementioned goal, the Project has four main components, namely:

- i) Forestry Interventions and Biodiversity Conservation,
- ii) Livelihood Improvement and Community Development,
- iii) Institutional Strengthening, and
- iv) Support activities

The following is the schematic representation of the Project:



The components and their sub-components and activities are given in the table below:

	Component	Details
1.	Forestry Interventions and Biodiversity Conservation through Community Participation	1. Forestry Interventions in Villages Landscape <ul style="list-style-type: none"> <li>i. Jhum Agro forestry 10,325 ha.</li> <li>ii. Jhum Fallow Forestry 4,594 ha.</li> <li>iii. Jhum Conversion to Forestry 4,594 ha.</li> <li>iv. Jhum Conversion to CCA 3,697 ha.</li> <li>v. Protection and Expansion of CCA 55,886 ha.</li> <li>vi. Creation of Nursery 185 nos.</li> </ul> 2. Monitoring and Evaluation <ul style="list-style-type: none"> <li>i. GIS mapping (Outsourcing)</li> <li>ii. Mid- Term Evaluation (Physical)</li> <li>iii. End-Term Evaluation (Socio Economic &amp; Physical)</li> <li>iv. Project Impact Assessment (Socio Economic &amp; Physical)</li> <li>v. Designing and establishment of MIS/</li> <li>vi. procurement of financial/management software</li> <li>vii. Annual Review at Division Level</li> <li>viii. Annual Review at State Level</li> <li>ix. Concurrent Physical Survey</li> </ul>
2	Livelihood Improvement and Community Development in 185 project villages, average 3 SHGs per village	<ul style="list-style-type: none"> <li>i. Micro Planning Preparation</li> <li>ii. Strengthening of JFMCs</li> <li>iii. Community Development Activities (Entry Point Activities (EPA))</li> <li>iv. Water harvesting Structure for Community</li> <li>v. Support for Income Generation Activities (IGAs)</li> <li>vi. Day-Visit Destinations</li> </ul>
3	Institutional strengthening	Strengthening of PMU, Strengthening of 11 DMUs and Strengthening of 22 FMUs
4	Project Management Consultancy	International : 9 Man Months National : 204 Man Months

Total forestry intervention area under the project is 79,096 ha. through five models viz. Jhum Agro-forestry (JAF), Jhum Fallow Forestry (JFF), Jhum Conversion to Forestry (JCF), Jhum Conversion to Community Conservation Area (JCC), and Protection and Expansion of CCA (PEC).

In JAF and JFF models, agro-forestry during cultivation and fallow period is to be promoted respectively to improve Jhum areas through augmentation of tree density, which improves soil through better nutrient recycling, increase production of fuel wood, fruits and NTFP, providing growth advantage during fallow period and enhance ecological sustainability. These improvements would enhance productivity of Jhum Cultivation and bring additional income sources to the people who are engaged in Jhum Cultivation. In this way, agro-forestry will provide the people with additional and supplementary income, and reduce the extent of dependency of the people on Jhum Cultivation.



Due to the new income sources generated by agro-forestry, Jhum Cultivation area required per season will be reduced and its fallow period is expected to become longer. In JCF and JCC, it shall be attempted to increase canopy density & NTFPs and expand conservation area with minimal thrust on economic return from forestry and conservation area, respectively. PEC model aims at expanding existing conservation area primarily to reinforce ecological systems.

A Resource Organization on Jhum and Biodiversity (ROJB) shall be established under the NFMP as an autonomous entity which shall engage/collaborate with state, national and international institutions to undertake knowledge collation, research and documentation on jhum and biodiversity in the state. Overall, it shall have an institutional arrangement to have adequate interface with Government Departments/Projects, Academic Institutions and NGOs involved in similar work, for working on the problems/challenge faced by Jhum cultivators, and Village Councils and to provide them with right information and innovative options to address the problems/challenges. The autonomous entity shall work more closely with project institutions and be associated with the project processes to supplement knowledge gaps and augment innovations.

**The component wise cost breakdown is as mentioned below:**

**(Crore Rs.)**

<b>Component/Item</b>	<b>Total Cost</b>	<b>JICA Loan Portion</b>	<b>State Share</b>
Forestry Interventions and Biodiversity Conservation	141.3	141.3	
Livelihood Improvement and Community Development	76.1	76.1	
Institutional strengthening	80.2	80.2	
Project Management Consultancy	15.8	15.8	
Price Escalation	57.9	57.9	
Physical Contingency	17.8	17.8	
Interest during Construction	6.8	6.8	
Front End Fee	0.8	0.8	
Administrative Costs	76.2		76.2
Taxes	60.5		60.5
<b>Total</b>	<b>533.0</b>	<b>396.3</b>	<b>136.7</b>

### **1.3 Institutional arrangement**

The State Government has constituted the Nagaland Forest Management Project Society (NFMPS), an autonomous non-profit charitable organization. NFMPS is registered under the Societies Registration Act 1860 as amended vide Societies Registration (Nagaland Third Amendment Act, 2008) and bears registration number Home/SRC-7616 dated 4.4.2017, which is valid for a period of two years and is to be renewed within three month from the date of the validity period. The Project Executing Body comprises a High Power Committee (HPC) headed by the Chief Secretary as the highest decision making body, Governing Body (GB) with PCCF & HOFF as the Chairman, Project Management Unit (PMU) at state level headed by the Chief Project Director cum-CEO, Divisional Management Units (DMUs) at the Forest Division level, and Field Management Units (FMUs) at the Forest Range level. The works in the field are to be facilitated by the existing field organization of the State Forest Department with strengthening under the Project.

This Operational Manual prescribes rules and procedures of NFMPS pertaining and relevant to implementation of the Project, and roles & responsibilities of the executing bodies HPC, GB, PMU, DMUs, and FMUs, JFMC office bearers and members, Self Help Groups, and partner NGOs. It shall act as the operational guide for the implementation of the Project.

## **CHAPTER - 2 ADMINISTRATION**

### **2.0 INTRODUCTION**

The Nagaland Forest Management Project Society, under the Department of Environment, Forest & Climate Change, Government of Nagaland, has been constituted for the implementation of the Nagaland Forest Management Project. It is registered under Registration of Societies Act (No XXI of 1860) bearing registration No. Home/SRC-7616 dated 4.4.2017 has the following office Bearers:

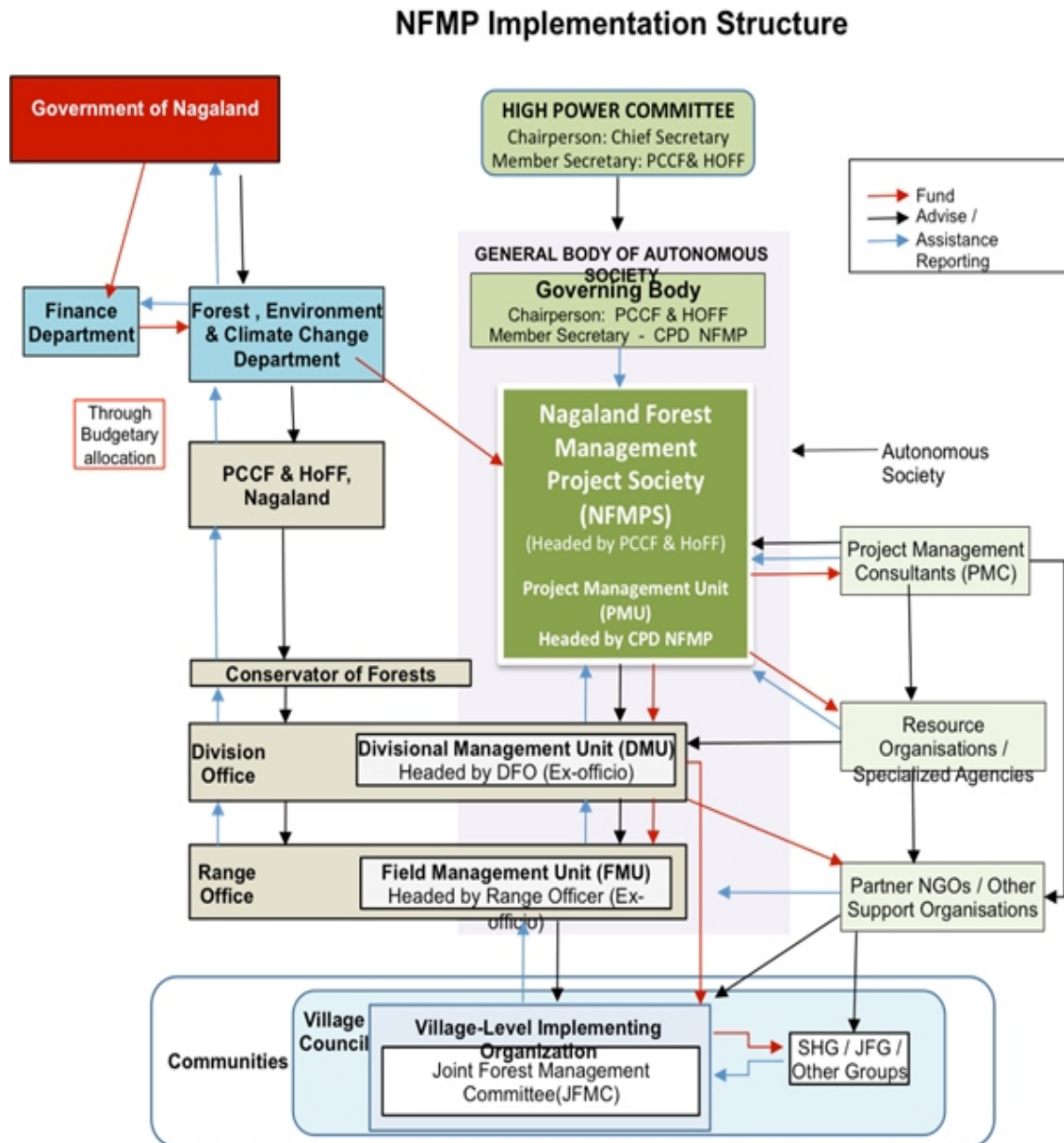
- |      |                         |   |   |
|------|-------------------------|---|---|
| i.   | PCCF & HoFF.            | - | Chairperson   |
| ii.  | PCCF O/o PCCF & HoFF    | - | Technical Advisor.  |
| iii. | Chief Executive Officer | - | Chief Project Director of the Project shall be the ex-officio Chief Executive Officer of the Society. |
| iv.  | Finance Controller      | - | Project Director looking after Finance in PMU.  |

The Subscribers to Memorandum of Association of the Society, members of the Governing Body, Heads of DMUs are members of the Society. In addition, the State Government may nominate any other official of the Government from time to time as member of the Society.

This Chapter of the Operation Manual encompasses the Project Organogram, various Responsibility Centers, their functions, relevant and necessary for effective execution of the Project towards achieving its objectives and goals. It covers critical components of the organization structure at various levels, roles and responsibilities of various functionaries, recruitment procedures, service conditions, delegation of powers, responsibility centers, office systems and procedures etc.

## 2.1 ORGANOGRAM

The Executing Body of the Project comprises an external (outside the NFMPs) High Power Committee as the highest decision making body, the Governing Body, Project Management Unit, Divisional Management Units, Field Management Units, and JFMCs with the following organogram:



### 2.2.1 High Power Committee (HPC)

The HPC constituted vide Notification No. FOR/NFMP/39-2/17/439 dated 21<sup>st</sup> June 2017 of the Department of Environment, Forest & Climate Change, Government of Nagaland, shall be the highest decision making body of the NFMPs, subject to compliance of the provisions laid down in the Nagaland Rules of Executive Business 2016 and the conduct and disposal of business elucidated in Office Memorandum No. FOR/GEN-56/2007, Dated Kohima, the 31<sup>st</sup> March 2017<sup>1</sup>, the HPC has following powers and functions:

- i. Approval of Operational Manual of the Society
- ii. Approval of Annual Work Plan of the Society
- iii. Approval of Annual Budget & Accounts of the Society
- iv. Facilitate convergence with other Departments & Schemes to achieve the objectives of the society.
- v. Approval of such Programs and Plans for furtherance of the objectives of the Society.
- vi. Any other functions that may be added at a later stage by the HPC.

“Project” agreement has been signed with JICA after due vetting from the State Government, and the Government of India implementation of the Project activities as per the Agreement is a routine matter to be looked after by the NFPMs. The annual requirement of funds for the implementation of the Project will be intimated to the Department of Environment, Forests and Climate Change, GoN well in time. All communication regarding “reimbursement claims” to be sent to JICA will be handled by CPD-cum CEO or the Concerned PD duly authorized by the CPD-cum-CEO, under intimation to Department of Environment, Forests and Climate Change.

The HPC shall meet at least 2 times in a year - once in every six months. A minimum of four members, excluding the Chairman, shall form the quorum for the HPC meetings. Ordinarily seven days’ notice shall be given before a meeting of the HPC. In case of urgency the meeting may be held at a shorter notice.

(Footnotes)

Composition of the High Power Committee (HPC)	
Chairperson	Chief Secretary
Member	Additional Chief Secretary and Development Commissioner
Member	Finance Commissioner
Member	Principal Secretary EF & CC
Member	Agriculture Production Commissioner
Member Secretary	Principal CCF & HoFF
Member	CPD-cum-CEO NFMP
Member (2 Nos.)	Civil Society/Academia/Research/any other department deemed required.

Representatives of JICA and MOEF&CC should be requested to attend HPC meetings as special invitee.



**2.2.2 Governing Body (GB):**

The Governing Body of the Society NFMPs has been constituted vide Notification No. FOR/NFMP/39-2/17/438 dated Kohima, 21<sup>st</sup> June 2017 of the Department of Environment, Forest & Climate Change, Government of Nagaland headed by the PCCF & HoFF. The GB has the following composition:

Composition of the Governing Body	
PCCF & HoFF, Nagaland	Chairman
Chief Wildlife Warden, Nagaland	Member
PCCF O/o PCCF & HoFF	Member
APCCF (Territorial)	Member
Chief Project Director	Member Secretary
Secretary (EF&CC)	Member
Project Director (Implementation ,M&E)	Member
Project Director (HRD, Research & Extension)	Member
Project Director (Admin, Finance & Procurement)	Member
CF (Southern Territorial Circle)	Member
CF (Northern Territorial Circle)	Member
CF (Research, Planning & Utilization Circle)	Member
CF (Wildlife)	Member
N.G.O. Representative (CPD-cum-CEO Nominee)	Special Invitee
JFMC Member (CPD-cum-CEO Nominee)	Special Invitee
Any Department deemed required (Chairman Nominee)	Special Invitee

Subject to compliance of the provisions laid down in the Nagaland Rules of Executive Business 2016 and the conduct and disposal of business elucidated in Office Memorandum No. FOR/GEN-56/2007, Dated Kohima, the 31<sup>st</sup> March 2017, the GB shall have the following functions:

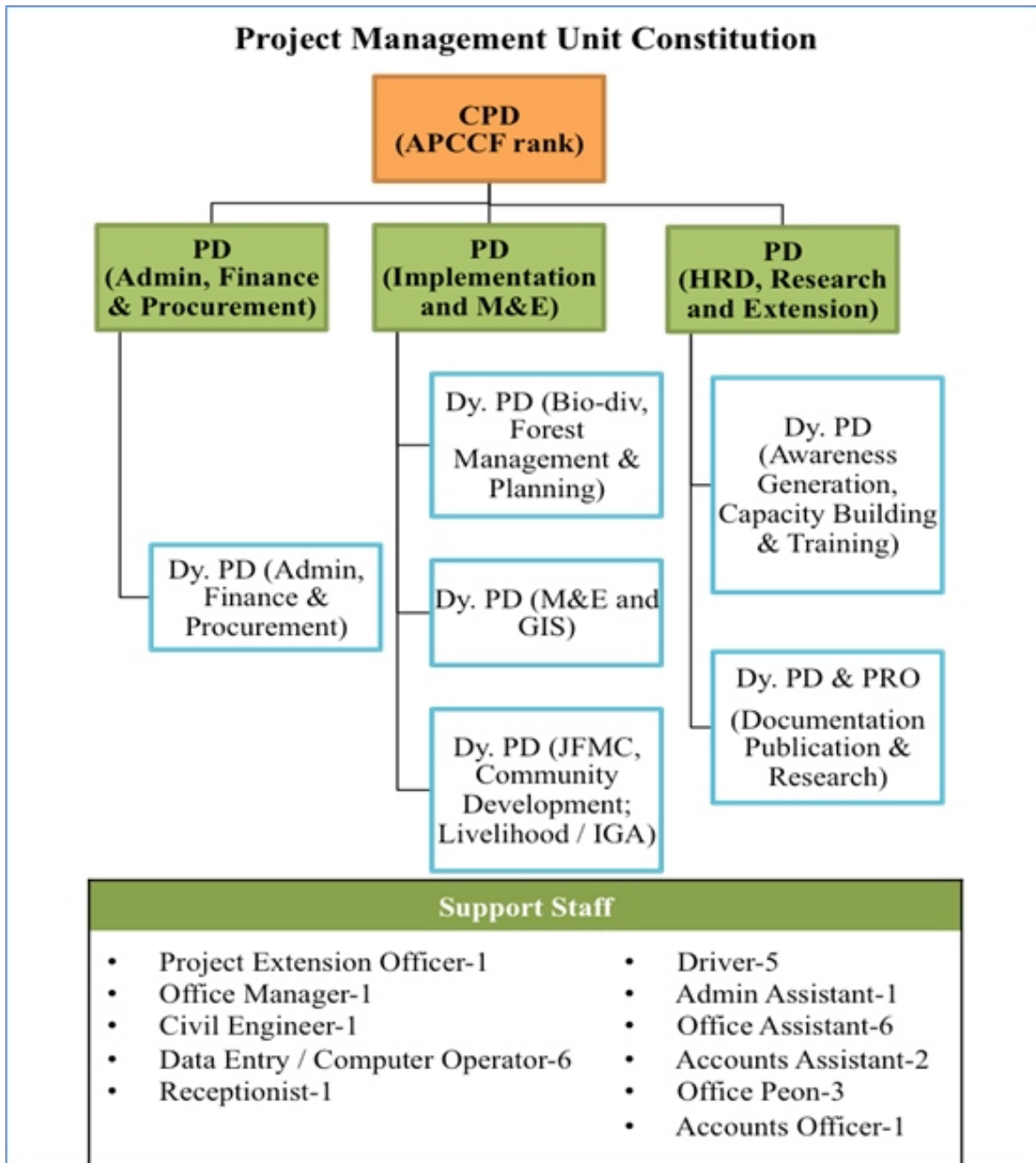
- a) To monitor the financial and physical progress of the programs of the Society
- b) Provide guidance to the PMU in preparation of the Operational Manual.
- c) Provide guidance to the PMU in preparation of annual plans and proposals to be placed before HPC for approval.
- d) Guidance and initiatives for changes in Forest Policy and rules based on the basis of lessons learned from the Project.
- e) Overall supervision for timely and effective implementation of the Project Activities.

The GB shall meet once in three months or more frequently if required. Ordinarily seven days' notice shall be given before a meeting of the GB. In case of urgency the meeting may be held at a shorter notice. A minimum of five members, excluding the Chairman, shall form the quorum for the meeting of the GB.

### 2.3 PROJECT MANAGEMENT UNIT (PMU)

Government of Nagaland vide Notification No. FOR/NFMP/39-2/17 dated 11<sup>th</sup> August 2017 of the Department of Environment, Forest & Climate Change has constituted the Project Management Unit for the NFMP under JICA funding.

The PMU headed by the Chief Project Director (CPD)–cum-Chief Executive Officer (CEO) in the rank of Additional Principal and Chief Conservator of Forests (APCCF) or above, has three Project Directors (PDs) and Six Deputy PDs (Dy.PDs), and support staff.



The PDs shall be in the rank of Chief Conservator of Forests/Conservator of Forests and their designation and responsibilities shall be as given:

- 1) PD (A, F & P) : Administration, Finance and Procurement;
- 2) PD (I, M & E) : Implementation, Monitoring & Evaluation;
- 3) PD (HRD, R & E) : Human Resource Development, Research and Extension.

CPD-cum-CEO&PDs will be assisted by Six Deputy PDs designated as given:

- 1) Dy.PD (Administration, Finance and procurement),
- 2) Dy. PD (Biodiversity, Forest Management and Planning),
- 3) Dy.PD (JFMC, Community Development, Livelihood and IGA),
- 4) Dy. PD (M&E and GIS),
- 5) Dy. PD (Awareness generation, Capacity building and Training),
- 6) Dy.PD (Documentation, Publication and Research). Dy. PD (A, F & P).

The Dy. PD (A, F & P) for shall either be a serving officer/retired officer from DEFCC having experience of handling such matters. Other five Dy. PDs shall be in the rank of Deputy Conservator of Forests (DCF)/Assistant Conservator of Forests. In case there is requirement to assign the work regarding security/safety, CPD-cum-CEO may rope in an officer in the rank of Inspector General of Police/Deputy Inspector of General of Police as special invitee with the approval of HPC for discussing and advising on security related issues, if any.

PMU shall set up a camp office at Delhi, preferably in the premises of Nagaland House, for effective coordination with Government of India and JICA.

The DMUs shall be headed by the concerned Divisional Forest Officer (DFO) and a DMU Assistant Head shall be appointed to assist the DFO in implementation of project activities. An Assistant Conservator of Forests (ACF), if available, shall be assigned as the DMU Assistant Head.

Each range selected for intervention under the project along with its existing institutional structure shall be treated as FMU and shall be headed by the concerned Range Officer or ACF as the case may be.

At the village level, the Joint Forest Management Committee (JFMC) shall be the project implementing agency for all project activities including Community Conservation Areas (CCAs), and shall be under the supervision and guidance of the Village Council (VC). In project villages where there is no JFMC, new JFMC shall be constituted. The Jhum Farmers' Groups (JFG), Women Self Help Groups (SHGs), Youth Groups and other local institutions shall operate under the supervision of the JFMC. While the Jhum-based forestry interventions shall be implemented through the JFG, IGA shall be implemented through SHGs. Similarly, Youth Group shall be engaged with eco awareness activities, in selected sites.

A District Advisory Committee (DAC) shall be constituted for each DMU to advise project implementation at division level and to ensure convergence with other ongoing programs as per the decision of the HPC. The DACs shall be headed by the concerned Deputy Commissioner and will have members from various line departments and the FMU heads associated with the Project, and the concerned DFO-cum-DMU head as the member secretary. The DAC will meet once in every three months, or more frequently if required.

In addition, there shall be a Project Review Committee (PRC) for each forest circle for concurrent review of the project activities and provide feedback to the PMU. The PRC shall be headed by the concerned Territorial Conservator of Forests and all the DFOs in the circle as the members, and one of the DFO-cum-DMU head in the circle (to be decided by the CPD-cum-CEO) as the Member Secretary. The PRC shall meet once every month on a pre-decided date.

**2.3.1 Chief Project Director:** The Chief Project Director, Nagaland Forest Management Project and Ex-Officio Chief Executive Officer of the Nagaland Forest Management Project Society (NFMPS) shall be the head of the PMU. The primary responsibility of the Chief Project Director shall be to manage, control and supervise effective and efficient implementation of the Project. Among other works, he shall ensure:

1. Timely action to recruit PMU, DMUs and FMU staff members as approved by the GB/HPC.
2. Preparation of Annual Action Plans with budget requirements and implementation/time schedules, and get the same approved by the GB and HPC
3. Prepare plan for sourcing the required budget/funds, and ensure requirement release of funds for various activities under the Project
4. Submission of Reimbursement Claims.
5. Issuance of technical, administrative and financial guidelines, instructions and approvals in connection with the Project.
6. Supervision and periodic review the progress of all activities under the Project.

Preparation of various technical and administrative manuals including JFMC Operational Manual, NGO Operational/ Management Manual, Micro Planning Manual, IGA and livelihood Security manual, Handbook on SHG Formulation and Strengthening, Handbooks for Business Process Development and Management Manual, Technical manual for construction activities, Monitoring Framework etc. will be very important to ensure that project is implemented effectively and efficiently in a mission mode, and to ensure high quality of works to achieve intended results.

The CPD-cum-CEO shall exercise such other powers (including facilitating) as may be necessary, including assignment of works to various officers of the PMU, for achieving the Project objectives/goals/targets.

The PMU shall have three responsibility centers (RCs) each headed by a PD who will monitor and supervise the functions and works of the Dy. PDs, and other personnel working in the respective units, as also the relevant project activities in the field. CPD-cum-CEO, if required, may reallocate the subject/works amongst the officers of the PMU. The three responsibility centers are:

- i) Administration, Finance and Procurement;
- ii) Implementation and Monitoring & Evaluation; and
- iii) Human Resource Development, Research and Extension.

All files, notes, memorandum etc. are to be initiated by the concerned Dy. PD and routed through the concerned PD to the CPD-cum-CEO for approval, unless otherwise authorized by the CPD-cum-CEO. However, in routine monitoring and supervision matters, not in the nature of generic guidelines or laying policy for any aspect of project implementation, approval will be given by the concerned PD keeping the CPD informed by marking a copy of the letter/communication to the CPD-cum-CEO. CPD-cum-CEO can however call for any file(s) directly. In order to maintain proper supervisory control, any guideline/ instruction directly issued by the CPD-cum-CEO to any Dy.PD(s) will be brought to the notice of respective PD by the Dy.PD(s).

### **2.3.2 Administration, Finance and Procurement**

This responsibility center will cater to needs of the Project in respect of selection, deployment, deputation, transfer, engagement/recruitment of personnel etc., finances and accounts including Audit functions, and all procurements under of the Project.

The primary functions of this unit shall be to establish standard recruitment processes, develop rules relating to service conduct and discipline for staff and employees, maintain records of all Project assets, handle all legal matters of the society, define job responsibilities, rewards and punishment, develop annual performance appraisal methods, maintain ACRs of the officers, staff and employees; prepare long term and annual budget/financial plans and sourcing of funds, monitoring of funds flow, scrutiny of financial reports and returns, preparation of accounts, and reimbursement claims, , establishing procedures and guidelines for finance, reviewing SOEs, and utilization certificates from field, examining commercial aspects of collaboration agreements with various agencies, attending to audit, and preparing procurement plans and ensure timely procurement of goods as per approved plan.

The RC shall prepare and maintain a list of law firms of repute or advocates of standing who may be engaged seeking legal advice and also to represent/defend NFMPs in legal matters with the approval of the CPD-cum-CEO.



The responsibility center will be headed by PD (Administration, Finance and Procurement) in the rank of Chief Conservator of Forests or above on deputation from SFD. There will be one Dy.PD (Administration, Finance and procurement) under him.

**2.3.2.1 Deputy PD (Administration, Finance and Procurement):** The post will be filled by either be a serving officer on deputation basis or retired officer on contractual basis from DEFCC having experience of handling such matters. He shall be primarily responsible to manage administrative matters relating PMU, DMUs and FMUs, Consolidate annual budget requirement and timely release of funds for implementation of the Project activities as per approved Annual Plan of Operations, Control fund disbursement, Consolidated Statement of Expenditures (SOEs) including review of progress of expenditure, review fund request and transaction for DMU and FMU, prepare reimbursement claims, supervise and undertake necessary procurements following procedure as per operational manual and as sanctioned under the project, facilitate internal, and statutory audits, and attend to audit queries. There will be one Office Manager, one Account Manager and other support staff to assist the Dy.PD (AF & P).

### **2.3.3. Implementation, Monitoring and Evaluation:**

The activities and process under this responsibility center shall include:

- (i) Preparation of various project implementation manuals, review and advice from technical view point on the proposed annual work plan submitted by DMUs, review and consolidate annual work plan and action plans submitted by DMUs, feedback on approved annual work plan, annual budget plan and annual action plan to DMU, scrutinize and assess the financial and technical feasibility of IGA proposed by SHGs through DMUs, collect and disseminate information of resource based IGAs to DMUs and FMUs;
- (ii) Preparation of Monitoring and Evaluation guidelines and disseminate the guideline to DMUs and FMUs consolidate progress report (physical and financial) submitted by DMUs, establish GIS, develop data base for project planning and project monitoring and develop thematic maps required for project planning and monitoring.

The responsibility center will be headed by PD (Implementation, Monitoring and Evaluation) an officer in the rank of Chief Conservator of Forests or above on deputation from the SFD, and will primarily be responsible to put all systems in place for effective implementation and monitoring of various project activities at different stages of implementation so as to achieve intended results. He will be assisted by three Dy.PDs viz. Dy.PD (Biodiversity, Forest Management and Planning), Dy.PD (JFMC, Community Development, Livelihood and IGA), Dy.PD (M&E and GIS).

**2.3.3.1 Dy.PD (Biodiversity, Forest Management and Planning)** shall be an officer in the rank of Deputy Conservator of Forest/Assistant Conservator of Forests on deputation from the SFD, and his primary responsibility shall include - to prepare required project implementation manuals/guidelines, review and advice on the proposed.

Annual Work Plan submitted by DMUs for biodiversity and forest management activities from technical view point, Review and consolidate Annual Work Plan and requirement of funds submitted by DMUs, supervise Micro planning activities, consolidate feedback on approved annual work/action plan received from DMUs.

**2.3.3.2 Dy.PD (JFMC, Community Development, Livelihood and IGA)** shall be an officer in the rank of Deputy Conservator of Forest/ Assistant Conservator of Forests on deputation from the SFD, and his primary responsibility shall include - to prepare various project implementation manuals (including JFMC management manual, Micro-planning manual, IGA and livelihood security manual, Handbook on SHG Formulation and Strengthening, Handbooks for Business Process Development) and to develop/ refine guidelines for (i) JFMC constitution and functioning, (ii) different types of community development activities, (iii) convergence with other departments/ agencies and convergence mechanism, Plan and design of community development, livelihood and IGA activities and to scrutinize and assess the financial and technical feasibility of IGAs proposed by DMUs, Guide DMU, FMU and other partner organization on community development, livelihood and IGA activities, and Coordinate with Resource Organizations for facilitating IGAs including guidance on promotion of small business/ enterprise, value chain and market analysis, facilitate cluster development etc.

**2.3.3.3 Dy.PD (M&E and GIS)** shall be an officer in the rank of Deputy Conservator of Forest/Assistant Conservator of Forests on deputation from the SFD, and his primary responsibility shall be to prepare M&E framework and guidelines for the project, Setup MIS/GIS system for the project along with templates/ guidelines and manuals to DMUs and FMUs related to monitoring & reporting, and ensure training of DMUs and FMUs on the Project MIS and M&E system, Creating baseline for project, develop data base for project planning and monitoring, develop thematic maps required for project planning and monitoring, Consolidate progress report (physical and financial) submitted by DMUs Produce regular periodic (quarterly, half yearly and annual) progress reports for submitting to the HPC, State/Central Government, and JICA, Plan and manage periodic assessments and evaluation including assessment of various initiatives taken under project including Biodiversity in Jhum lands, fallows, forest reserves and CCA across agro-ecological zones, district and communities; impact of IGA and livelihood initiatives etc.

#### **2.3.3.4 GIS-MIS Cell:**

A GIS-MIS cell shall be created within the PMU with an in-house expert trained in modern survey methods, remote sensing analysis, GIS database development and the operation of GIS facilities. A state of the art computer center comprising of wireless LAN, computers, printers etc. would be established at the PMU and the existing GIS facilities shall be augmented with the procurement of additional hardware and software. Appropriate capacity and infrastructure including GPS equipment, smart phones and tablets etc. shall be developed at DMUs/FMUs for use of modern technology in planning and monitoring project interventions.

A resource organization with proven relevant “expertise and working experience” will be engaged by the PMU on contract basis for designing and developing the MIS software and preparation of GIS compatible natural resource and land use maps, DGPS boundaries for forestry and biodiversity intervention areas– under JAF, JFF, JCF, CCA, JCC and Protection and Expansion of CCA - in the selected villages, and for developing, updating and maintaining geo-spatial knowledge repository for access of baseline data and intervention data on need-to-know basis and provide necessary handholding support for internal capacity building within the forest department. The contracted resource organization may also assist the PMU in selection of candidate villages based on scientific data (forest cover maps, SOI maps, demographic particulars, etc.), preparation of base resource maps of the treatment areas (including existing vegetation, details of topography, soil, terrain, drainage, etc. based on DGPS survey and collection and compilation of socio-economic data; and establishing state of the spatial database comprising interpreted natural resource and land use maps, village locations and stock maps to serve as a base line for the project, and provide required maps for micro- planning.

#### **2.3.4 Human Resource Development, Research and extension**

The activities and process under this responsibility center shall include (i) formulation of Capacity Building programs for project officials at all ranks and positions, organization of exposure trips for DMUs, FMUs and JFMCS, (ii) formulation and monitoring of research in the field of forestry - ecology, biodiversity, and agro forestry for reducing adverse impacts of jhum cultivation, develop new technologies applicable at field level concerning Silviculture, and socio-cultural aspects - study on inherent culture, habitual lifestyle, and livelihood for different types of communities depending on their main livelihood on forest resources; REDD plus policy and strategy consistent with the national plus policy and strategy, work plan for REDD plus readiness including identification of gaps in the Project monitoring system, guidelines for assessment of carbon and biodiversity in project areas, creation of system to ensure environmental and social safeguards provided under various applicable laws, rules, and regulations, and (iii) to ensure timely and effective aspects dissemination information about project activities through newsletters, website, workshops, seminars etc.

The responsibility center will be headed by PD (HRD, R & PR) an officer in the rank of Chief Conservator of Forests or above on deputation from the SFD. He will be assisted by two Dy.PDs, viz. Dy.PD (Awareness generation, Capacity building and Training), Dy.PD (Documentation, Publication and Research).

**2.3.4.1 Dy.PD (Awareness generation, Capacity building and Training)** shall be an officer in the rank of Deputy Conservator of Forest/ Assistant Conservator of Forests on deputation from the SFD, and his primary responsibility shall include to prepare and

implement IEC plan for the project, Conduct awareness building campaign for the project in and around the Project area, Conduct Training Need Assessment Forest department staff to be involved in the project activities, JFMCs, VCs and other community institutions involved in the project implementation with a view to enhance their skills, knowledge and attitude, Organize necessary trainings for DMUs, FMUs, JFMCs and SHGs/ IGA/ user groups, and conduct post training evaluations.

**2.3.4.2 Dy. PD (Documentation, Publication and Research)** shall be an officer in the rank of Deputy Conservator of Forest/ Assistant Conservator of Forests on deputation from the SFD, and his/her primary responsibility shall include to plan various research/studies feeding to inform and improve project implementation, set up and maintain project website of the Project, publication of quarterly project newsletter, preparation of process document containing various innovations / processes best practices evolved under the project and rigorous field documentation of traditional practices and knowledge system around forest management, biodiversity, conservation and development of protocols for fallow-forestry, local tree silviculture etc.

**2.3.4.3 Resource Organization for Jhum and Biodiversity (ROJB):**

The Resource Organization for Jhum and Biodiversity, to be established as an autonomous organization under the Project, will be provided human Resource Support, technical support - five experts one in each in the field of Forestry/ Biodiversity, Community Mobilization, Livelihoods, Livestock and Communication, Administrative support - Accountant, Administrative/Logistic Assistant, Driver, Office Assistant, Office set up (in existing building of PMU/Partner Institution) and Financial Support including Funds for incurring research expenses. From third year, onwards, ROJB shall mobilize funds for collaborative research and revenue through capacity building and sponsored projects. Detailed roadmap and deliverables by ROJB will be developed by the PMU with support from PMC.

**2.3.5 Support Staff**

The PMU will have 40 support staff viz. one Accounts Officer, one Office Manager, ten Data Entry/Computer Operators, one Civil Engineer, one Administrative Assistant, two Accounts Assistants, one Receptionist, ten Drivers, twelve Office Assistants and three office peons. They will be engaged on contractual basis for the project period.

The duties and responsibilities of the different categories of support staff will be as mentioned below:

**Accounts officer/Manager** shall be a full time person engaged on contract basis and his primary responsibility shall be to assist Dy. PD (A, F&P) (i) to ensure timely budget/releases, utilization and SOEs / claims; reconciliation of funds and supervise Accountants, and (ii) all matters relating to Audits etc.

**Office Manager** shall be a full time person engaged on contract basis and his primary responsibility shall be to assist Dy. PD (A, F&P) in logistics and protocols; procurement under the project, O&M of vehicles, office equipment, security, store; organizing meetings & events etc.

Five positions of Data Entry Operators of the total 10 will be used as mentioned below to provide required secretarial support to the CPD-cum-CEO, and three PDs.

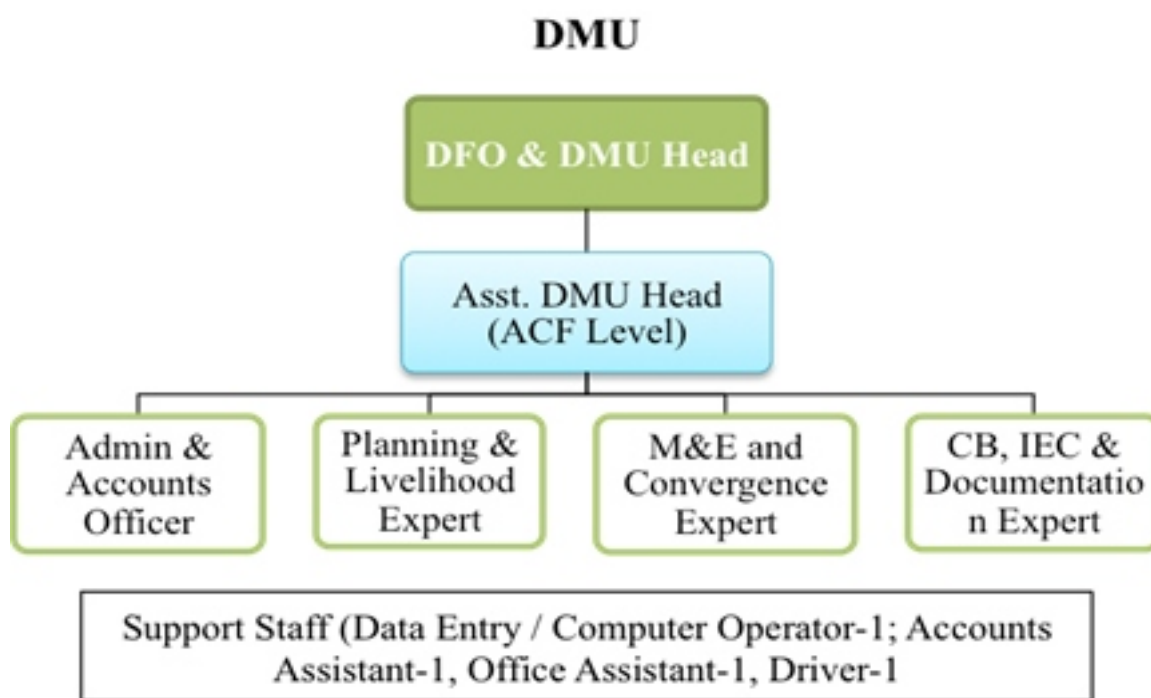
**Private Secretary (1):** will be attached to the CPD-cum-CEO and will attend to all confidential and important matters of the CPD-cum-CEO including custody of ACRs.

**Personal Assistant (4):** will be attached one each with the CPD-cum-CEO and one each to the three Project Directors and will be custodian all the files of the Project Director including movement of the files. He / She will handle all confidential matters of PDs.

The CPD-cum-CEO will decide and order the placement of other support staff.

## 2.4 DIVISIONAL MANAGEMENT UNIT (DMU)

Each of the 11 Divisional Management Units will be headed by the concerned Divisional Forest Officers who will be the ex-officio DMU heads. Following is the general structure of a DMU.



An officer in the rank of ACF will be ex-officio Asst. DMU Head. In each DMU four experts shall be placed, namely; Administration and Accounts Officer (AAO); Planning and Livelihood Expert; M&E and Convergence Expert; and Capacity Building, Information Education Communication and Documentation Expert. The AAO shall be a serving or retired person deputed/ contracted for the said position. Other three experts shall be hired on a contractual basis for the project period.

**2.4.1 Roles and responsibilities of DMU personnel:** Roles and responsibilities of DMU head, Assistant DMU head and the 4 experts in DMU are given in the table below:

DFO/ DMU Head	Manage, control and supervise implementation of the Project at division level Prepare Annual Work Plan at DMU level Facilitate reporting, information flow, financial transactions regarding the Project Provide technical assistances to FMUs Selection, recruitment and coordination with NGOs
Assistant DMU Head	Assist the DFO/ DMU Head in managing and supervising implementation of the Project at division level
Admin and Accounts Officer	Manage administrative matters relating to DMU Assist in fund management and accounting at DMU level Assist and guide FMUs in administration, fund management and accounting procedures Consolidate accounting documents submitted by FMUs Prepare financial and physical progress report Other works as may be assigned by the DMU Head
Planning and Livelihood Expert	Plan and assist in implementation of AWP for livelihood and income generation, Assist and guide FMUs in capacity building with respect to micro planning, livelihood and IGA activities Review Micro Plans compiled at FMUs Prepare livelihood and IGA plan for Division Consolidate detailed annual work plan for all the JFMCs concerned
M&E and Convergence Expert	Assist and guide FMUs in M&E Assist and guide FMUs in coordination and convergence with other departments/ agencies activities Consolidate progress report (physical and financial) submitted by FMUs Produce regular progress reports for submitting to PMU Assist and guide FMUs in conducting baseline survey Other works as may be assigned by the DMU Head
CB, IEC & Documentation Expert	Organize necessary trainings as suggested by PMU at FMUs, JFMCs, SHGs/ IGA/ user groups Conduct post training evaluations Assist and guide FMUs in monitoring Document best practices Assist and guide FMUs process documentation Other works as may be assigned by the DMU Head



**2.4.2 Support staff at DMU:**

At each DMU support staff such as one Computer Operator, one Accounts Assistant, one Office Assistant, and one driver shall be hired on contract basis for the project period.

**2.5 FIELD MANAGEMENT UNITS (FMU)**

Each forest range selected under will serve Project FMUs headed by the concerned Range Officer who will also be the ex-officio FMU Head. Following will be the general structure of a FMU:



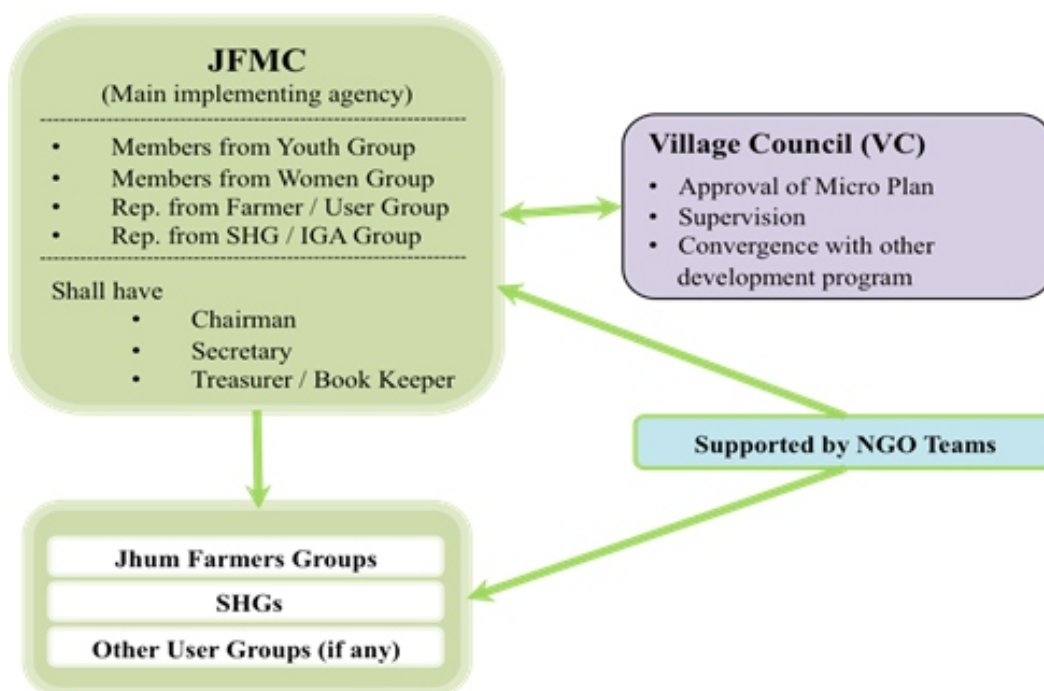
Each FMU will be provided support of an NGO to assist the FMU in preparation of micro plans, and planning and execution of EPAs and livelihood improvement works. The roles and responsibilities of FMU head and other range/FMU staff involved in implementation of the project are given in the following table.

FMU Head/ Range Officer	Manage, control and supervise implementation of the Project at Range level Prepare Annual Work Plan at FMU level Provide technical assistances to JFMCs and JFMC federations Coordinate with Range level NGO support teams Assist and guide field staff in JFMC/ JFG/SHG/ IGA formations Assist and guide field staff in conducting baseline Assist and guide field staff in Microplanning Assist and guide field staff in project implementation Prepare periodic physical and financial progress report Any other works that may be assigned by the DMU Head
Field Staff Forester I & II Forest Guard/ Beat Guard	Implement the Project activities Conduct baseline survey Prepare Micro-plans Assist and guide JFMC/ JFG/SHG in project implementation Any other works that may be assigned by the FMU Head

## 2.6 Community Participation in project Implementation

The project activities in the selected villages shall be undertaken by the communities themselves (JFMCs) as per the approved micro plan prepared by the communities with facilitation from the FMU and the NGO Teams. No work shall be taken up at the JFMCs unless the micro plan has been prepared and approved following the prescribed procedure, unless specifically directed by the PMU.

### Community level Implementation Structure



## 2.7 Project Management Consultancy

A Project Management Consultant firm will be engaged on contractual basis, spread over a total period of nine years, to provide techno-managerial assistance to the NFMPS - PMU and to bring in the national perspective to the execution of various project activities and project outcomes as per the requirement under the NFMP. The team of experts (comprising of National experts - Team Leader cum Community Development Expert, Capacity Building Expert, Livelihood Expert, M&E and MIS cum Documentation Expert, Forest Management cum Biodiversity Expert, GIS Expert, and Procurement Expert; and an international forestry expert) provided by the contracted firm for varying periods as per project requirements, will work from an office established at Kohima in close coordination with the Executing Body under the overall supervision of the CPD-cum-CEO.

The selection of PMC will be done following the Guidelines for Employment of Consultants under Japanese ODA Loans, April 2012 adopting QCBS (Quality and Cost Based Selection) method, and standard allocation of weights to be given to the quality and cost (80% and 20% respectively).

The PMU shall work out exact scope of works for PMC as per the project document and requirement in consultation with DMUs and will be included in the ToR for engagement of PMC including assisting the PMU in:

1. Preparation and review of various Project Procurement and Implementation Manuals including MIS manual and guidelines, JFMC Management Manual, SHG formation and functional guideline, IGA implementation guidelines,
2. Procurement of contractors, individual experts and resource organizations,
3. Areas of biodiversity conservation, forestry interventions in shifting cultivation areas and forest management and supervision and management of implementation of related work/activities.
4. Monitoring and management of JFMC, JFG, SHGs/IGA groups and other field level project institutions by assisting in designing project monitoring and management framework, indicators and manuals.
5. Preparation of capacity building strategy and implementation of strategy by PMU and DMUs, including planning of State/National and International training for PMU/DMU/FMU staffs in consultation and with approval of PMU.
6. Preparation of annual planning of activities and budgeting based on the assessment of requirements at FMUs, DMUs and PMU.
7. Support PMU in financial management and reporting
8. Developing strategy for sustainability of project.
9. Assist PMU, DMUs, and FMUs in:
  - a) Periodical evaluation and reviews of implementation activities.
  - b) Establishing baseline data and GIS base data.
  - c) Providing technical assistance in survey and mapping, MIS and other related activities.
  - d) In village selection through the analysis of data collected vis-a-vis the pre-determined selection criteria and indicators.
  - e) Planning and implementation of Community development and Income Generation Activities.
  - f) Monitoring the performance of NGOs and resource organisations.

## 2.8 Non-Government Organizations (NGOs)

To achieve the desired results NGOs shall be engaged to assist in planning and implementation of project activities at village level including community mobilization, preparation of micro-plans, EPAs, and livelihood improvement - formation and strengthening of SHGs, capacity building, handholding support for thrift and credit, facilitating bank linkages, grading of SHGs, etc.

For each of the target division, a local NGO shall be contracted to provide (i) DMU level team comprising of a Team Leader (a Community/ Institutional Development Professional) and two support staffs, and (ii) one team for each FMU in the division consisting of one supervisor and three community mobilizers having at least one women team member.

**Eligibility criteria for engaging local NGOs include** at least 5 years of demonstrable experience in working in the target districts on issues of jhum rehabilitation, community based biodiversity conservation, rural livelihoods, and community mobilization; mandatorily good financial standing demonstrated by audited balance sheets for last 3 years, not been blacklisted by any agency. The selection process would follow the JICA Guidelines of Procurement of Consultants.

NGOs shall be selected for maximum eight years during the Project period depending on the need assessed by the PMU. The contracts shall be issued for a period of two years initially, and extended for two year at a time based on performance assessment as per the NGO operational/management manual.

The selected NGOs shall participate in the project as partner organization for achieving project objectives, and their responsibilities shall be defined in the ToR for NGO and they will function and activities monitored as described in the NGO Operational Manual.

The PMU shall work out exact scope of works as per the project document and requirement in consultation with DMUs and will be included in the ToR for engagement. As far as possible NGOs will be engaged in more than one DMUs. PMU shall prepare a NGO operational/management manual comprising recruitment procedures, and performance appraisal and continuance of NGOs.

From amongst the NGOs engaged under the Project at the DMU level CPD-cum-CEO will nominate one NGO as a member of the Governing Body. Nomination will be done for a period of not more than 2 years at a time. NGO working at the DMU will be PMU/CPD-cum-CEO's nominee on the District Advisory Committee of the Division/District.

## 2.9 RECRUITMENT/ENGAGEMENT/DEPLOYMENT of PERSONNEL

NFMPS is an Autonomous Organization of the Government of Nagaland, having no permanent personnel of its own. Personnel engaged exclusively for the Project shall either be on deputation from the Government of Nagaland or recruited from open market on contract basis.

### 2.9.1 *Recruitment of Personnel*

#### A. Personnel on Deputation from the State Government:

The posts of Chief Project Director, PDs, and Dy. PDs shall be filled by appointment of forest officers in relevant ranks by the Forest, Environment and Climate Change Department, Government of Nagaland on deputation basis. The deputation will be ordered for a minimum period of three years at a time and can be further extended. The officers on deputation to NFMPS from the State Government / PSUs shall be governed by the service conditions of their parent departments, and will continue to draw the salary, which they were drawing prior to such deputation or in accordance with the terms and conditions of deputation sanctioned by the State Government. They will be eligible for other benefits as admissible to them unless otherwise directed by the Government through the terms and condition of deputation. They will have the option to choose to draw TA/DA and other allowances applicable in the NFMPS or corresponding amount as applicable to him/her in his/her parent department.

#### B. *Contractual Employees:*

Personnel engaged by the NFMPS at PMU or at DMUs/FMUs on contract basis will be paid consolidated emoluments, commensurate with their qualifications and professional experience and overall capability, and will be decided by the Chief Project Director within the overall approval of the Governing Body. The consolidated monthly remuneration shall in no case be less than the applicable minimum rates of wages. Contractual engagement will be for a period of one year at a time and can be renewed annually. Extension beyond fifth year shall be done after careful performance evaluation, keeping in mind the applicability of Gratuity Act and other similar regulations.

Superannuated Government Servants can be employed by the Society on contractual basis with the approval of the Governing Body, and shall be paid consolidated remuneration subject to the relevant Rules/Guidelines regarding re-employment of superannuated/retired Government Servants. They will have the same entitlement of the Traveling Allowance and Daily Allowance, as applicable to the other personnel engaged by the NFMPS of equivalent rank.

### 2.9.1.1 Recruitment Procedure

Recruitment of contractual employees will be done following the guidelines of the Government of Nagaland in this regard, as mentioned below:

At PMU:

- For contractual engagement by the PMU, an advertisement is to be published in at least one regional and one local English newspapers inviting applications indicating the post(s) along with remuneration, essential educational qualifications, required experience etc. and other relevant conditions.
- Persons already under employment in a Government Department/Organizations/PSU should apply through proper channel/under intimation to the concerned controlling officer.
- The applications will be scrutinized by a committee constituted by the Chief Project Director for the purpose, followed by interview of the shortlisted candidates by the Committee.
- Knowledge of local language, topography of the area, and local cultural background may be given specific importance in selection process.
- Selection will be finalized by the CPD-cum-CEO based on the recommendations of the Committee.
- Offer letters are to be sent thereafter to the selected candidates through e-mail followed by Speed Post/Courier.
- The candidates, offered appointment should be subjected to general health checkup before joining.

At DMUs and FMUs:

- For contractual engagement at DMUs/FMUs an advertisement is to be published by the DMUs in at least in two English newspapers inviting applications indicating the post(s) along with remuneration, essential educational qualifications, required experience etc. and other relevant conditions.
- Persons already under employment in any Government Department/Organizations/PSU should apply through proper channel/under intimation to the concerned controlling officer.
- The applications will be scrutinized by a committee headed by the DMU Head, followed by interview of the shortlisted candidates. For uniformity the broad composition of committees to be constituted by the DMUs shall be decided by the CPD-cum-CEO.
- Knowledge of local language, topography of the area and local cultural background may be given specific importance in selection process.
- For engagement of support staff at DMU & FMUs decision will be made by the DMU Head based on the recommendations of the Committee.
- For experts at DMU, based on the recommendations of the Committee the DMU will prepare a ranked short list and send to CF for final approval
- Offer letters are to be sent thereafter to the selected candidates through e-mail followed by Speed Post/Courier.
- The candidates, offered appointment should be subjected to general health checkup before joining.



### **2.9.1.2 Terms and Conditions of staff on contractual deployment:**

- a. Appointment will be done on provisional basis for a period of one year subject to verification of:
  - i. Medical Certificate issued by an officer not below the rank of Assistant Surgeon in support of physical fitness.
  - ii. Character certificate issued by two Group A or B officers.
  - iii. Relieve order, clearance certificate from previous employer, if any.
- b. The police verification will be done within a period of two months.
- c. The appointment will be on consolidated emoluments per month, which will comprise consolidated salary, inclusive of all allowances like HRA, Conveyance allowance, etc.
- d. Contractual employees will be allowed monthly Medical Allowance amounting Rs. 400/- towards meeting day-to-day medical expenses. In addition, the Project will provide/take medical insurance from a recognized insurance company for indoor treatment of a contractual employee or his/her dependents subject to a maximum of premium Rs. 4000/- per year.
- e. Women contractual employees will be entitled to Maternity Leave as per State Government regulations/guidelines in the matter vide GoN OM no. AR-3/GEN-190/2000 dated 3<sup>rd</sup> April 2017.
- f. Contractual employees shall be allowed an enhancement up to 10% at the time of renewal of the contract.
- g. The engagement shall not confer any right to a regular appointment at any time in the NFMPS or any other State Government organizations. The engagement will be purely temporary in nature and shall not invite any legal recourse now or in the future.
- h. That in the event of unauthorized absence during the contract period or any other misconduct shall render the employee liable for immediate disengagement. The expression misconduct would mean improper or unprofessional behavior, bad management, misbehavior etc. whether an act is misconduct or not would be decided by the Appointing Authority whose decision will be final and binding.

### **2.9.2 LEAVE RULES**

The employees on deputation from State Government/PSUs will be regulated by the leave rules applicable to them in their parent service/organization or as per the terms and conditions of the deputation.

The contractual employees will be allowed a maximum of 15 days leave in a year with prior approval of the Chief Project Director or an officer authorized by him. Any unauthorized absence shall attract proportionate deduction from the consolidated monthly remuneration.

If a contractual employee is admitted to hospital as indoor patient for more than 24 hours in a Government Hospital or a private hospital empanelled/notified by the state government for treatment of its employees he may be granted paid leave on medical ground subject to a maximum of 15 days in a year.

Women contractual employees will be additionally entitled to maternity leave as per State Government regulations/guidelines in the matter GON OM No. AR-3/GEN-190/2000 dated 3<sup>rd</sup> April 2017.

## 2.10 ENTITLEMENT DURING TOURS

All the personnel engaged under the NFMPS will be classified as given below for the purpose of entitlement on tours (TA/DA/Accommodation).

Classification of employees for the purpose of TA/DA/Accommodation during tours:

Group	Employees on deputation as per VII CPC & Nagaland Services (Revision of Pay) Rules 2017	Contractual Employees on consolidated salary
A	Officers drawing pay under level 13 to level 17	
B	Officers drawing pay under levels 11 to level 12	= / > 70000/- and above
C	Officers drawing pay under level 3 to level 10	= / > Rs. 25,000 to < Rs. 70,000

NGO Team Leaders/ members for journey outside their area of operation, NGO Chief Functionaries and NGO nominees to DAC/GB to attend meetings will be entitled to TA/DA at following rates:

NGO nominee to GB	Group - B
NGO nominee to DLAC	Group - B
NGO Chief Functionaries	Group - B
NGO Team Leaders/Members	Group - C

### **2.10.1 Travelling allowance and Daily Allowance**

Travelling allowance and daily allowance for tour performed within the State will be as per the Nagaland Services (Revision of Pay), Rules 2017.

#### **NOTE:**

- (1) In all instances reservation charges and Travel Agency's booking charges (on production of documentary evidence) for journeys by rail/air will also be reimbursed.
- (2) Where journeys are performed by road between places connected by rail, the reimbursement is restricted to rail fare as per entitlement subject to actual unless otherwise approved by the Competent Authority.
- (3) During exigencies and in the interest of the Project work, air travel (economy class) / higher mode of train travel may be sanctioned by the CPD-cum-CEO.

### **2.10.2 ACCOMMODATION on tours**

- Inside the State: Wherever possible all Officers should utilize Government accommodation. Whenever such accommodation is not available Officers will be entitled to reimbursement of cost of a single-room accommodation in hotels as per the Nagaland Services (Revision of Pay) Rules, 2017.
- Outside the State: CPD-cum-CEO and PDs when traveling outside the state in connection with the affairs of the Society shall be entitled to 4 star hotels. Other PMU Officials will be entitled to accommodation in a three star hotel. However, whenever possible all Officers should utilize Government accommodation and in such cases, officials will be entitled to 125% of the normal Daily Allowance.

### **2.10.3 INTERNATIONAL TOURS**

The travel outside the country in connection with the Project are to be performed following the relevant applicable regulations and the entitlement for travel and daily subsistence allowance will be as per Government of India rules.

### **2.11 MEDICAL ALLOWANCE / REIMBURSEMENT**

All officers and staff on deputation shall be entitled to Medical Reimbursement as per their service rules. Alternatively, they can opt for the medical allowance applicable for contractual employees.

## 2.12 CODE OF PUBLIC BEHAVIOUR

The Society employees are under an obligation to observe confidentiality, impartiality and discipline similar to that required of civil servants. Employees may not, in the performance of their duties, engage in political or religious propaganda. The Project employees are required to observe absolute impartiality, commitment and dedication to the Project goals.

## 2.13 DISCIPLINARY MATTERS

For disciplinary matters, the employees on deputation from State Government will be governed by the Rules as applicable to them. The staff on contract of the Project shall be governed as per the terms and conditions of their appointment. In case of any matter requiring disciplinary action, the matter will be referred to the concerned Government Authority with all relevant and necessary documents/records for initiating departmental proceedings.

## 2.14 PERFORMANCE APPRAISAL SYSTEM

The performance appraisal system (Annual CR) for all employees on deputation from the State Government shall be same as per their respective service rules. The completed book-lets, after three stages of appraisal, shall be forwarded to the concerned officer in the State Government for custody and necessary action.

Post	Self-Appraisal	Reporting Officer	Reviewing Officer	Accepting officer
Chief Project Director	As required.	Chairperson GB	Chairperson HPC	Minister (Forests)
Project Director	As required.	Chief Project Director	Chairperson GB	Chairperson HPC
Dy. PD	As required.	Project Director	Chief Project Director	Chairperson GB
Contractual Employees at PMU	As required.	Dy. PD	Project Director	Chief Project Director
Contractual Employees at DMU	As required	Assistant DMU Head	DMU Chief	DMU Head
Contractual Employees FMU	As required	FMU Head	Assistant DMU Head	DMU Head

In case of any discrepancy in Performance Appraisal System (Annual CR) for officers on deputation to the project, the Personnel and Administration Reforms Departments guidelines shall prevail.

In the case of DFOs and CFs associated with the implementation of NFMP, Chief Project Director will make available his comments relating to project implementation to the concerned reporting officer, the reviewing and accepting officer to take into account in performance appraisal, and also attach a copy of the Comments of the CPD-cum-CEO. The APR forms for the contractual employees shall be prepared by the PD (A,F& P) and approved by the Chief Project Director.

## 2.15 DELEGATION OF ADMINISTRATIVE & FINANCIAL POWERS

The following table gives the delegation of Administrative and Financial powers

Nagaland Forestry Sector Development Society Delegation of Powers			
		CPD-cum-CEO	Chairperson
<b>A</b>	<b>FINANCIAL</b>		
1.	To buy or procure materials, stores or moveable assets required for the Society	Up to Rs. 50 Lakh for a single item subject to budget provision with powers to delegate	Full powers subject to budget provision.
2.	To procure & approve payment for procurement and services availed by the Society	Full powers with powers to delegate	
3.	To pay for feasibility studies or schemes for project reports or any other report undertaken or prepared by any consultancy firm or technical organization	Up to Rs. 20 Lakhs	Full powers
4.	For and on behalf of the Society to draw, endorse and negotiate all such cheques, bills of exchange, promissory notes, hunches, drafts, Government and other securities as shall be necessary in or for carrying on the affairs of the Society.	Full powers with powers to delegate	
5.	To make and give receipts release and other discharge for money received by the Society and the claims and demands of Society.	Full powers with powers to delegate	
6.	To invest surplus funds in call and short term deposits/Fixed Deposits	Full powers with powers to delegate	
7.	To open bank account of the Society and operate or authorize operation thereof.	Full Powers	

8.	To sanction contingent expenditure	Non-recurring Rs. 200,000/- in each item.	Full powers subject to budget provision
9.		Recurring: Full powers subject to budget provision	
10.	To pass claims in respect of Salary/Wages, T.A., Advances, allowances, medical reimbursement and other personal entitlement of all officers and staff working in the Society	Full powers with powers to delegate	
11.	Sanction of advances for carry out the Project activities	Full Powers subject to budget provision	
12.	Authorizing transfer of funds/ signing of cheques	Full powers including powers to delegate	
13.	Award of work, payment of work bills, supplier bills, works advance, suppliers' advance and all other contingent bills.	Full powers with powers to delegate	
14.	To sanction entitlements of Officers/staff working in the Society.	Full Powers	

<b>B</b>	<b>ADMINISTRATIVE</b>		
1.	Appointment to posts created with approval of the GB.	Full powers	
2.	a. Sanction of journey within the state, b. Sanction of journey of officers and staff of the Society within the country c. Sanction of journey outside the country will require the Government approval.	a. Full powers with powers to delegate b. Full powers in respect of the Officers & Staff of the Society	b. Full powers in respect of the Chairperson
3.	Sanction of leave, increment etc. to the officers and staff of the Society	Full powers with powers to delegate	
4.	Permission for medical/treatment in a Hospital/ Institute inside or outside the state		Full powers with powers to delegate
5.	Medical/Surgical treatment in a private Nursing Home		Full Powers
<b>C.</b>	<b>PROCUREMENT MATTERS</b>		
1.	Sanction of Schemes to fulfill the objectives of the Society	Up to Rs. 50 Lakhs under each scheme	Full powers to HPC/ Governing Body
2.	Award of works	Full powers	



3.	Constitution of Procurement Committee	Full powers	
4.	Award of works without calling for quotations	Up to Rs. 15,000/- with powers to delegate	Up to Rs. 50,000/-
5.	Award of works with limited quotation (with wide circulation, but not publication in newspapers)	Up to Rs. 2 Lakh	Up to Rs. 5.00 Lakh
6.	Powers to invite and decide quotations/tenders for specialized quality items from reputed firms	Up to Rs. 50 Lakh for each work on scrutiny by Procurement Committee	Up to Rs. 500 Lakh for each work on scrutiny by Procurement Committee
7.	Writing off a loss due to theft, fraud; b. loss due depreciation; c. Disposal of unserviceable or surplus store	Full powers up to Rs. 100,000/- in each case.	Full Powers
8.	Approval of Tender Call Notice and bid documents	Full powers with powers to delegate	Approval structural design and drawing
9.	Technical sanction of Estimates	Full powers with powers to delegate	
10.	Power to sanction estimates for purchase of store, machines, tools and plant required for approved works.	Full powers with powers to delegate	
11.	Sanction of extra/substituted items and approval of deviation from contract not exceeding 10% of the original estimate.	Full powers with powers to delegate	
12.	Approval of rates based on analysis	Full powers with powers to delegate	

## 2.16 CAPACITY BUILDING PROGRAM

All the personnel associated with implementation of the NFMP must have clear understanding of the overall project strategies and various project components and implementation approaches. To provide knowledge / skills required for its smooth execution of project activities, regular capacity building programs comprising trainings, exposure visits, and study tours will be organized by the PMU with the required support from the PMC and partner NGOs after conducting a detailed Training Need Analysis and programs envisaged under the capacity building initiatives as outlined in the Project document, and shall also include HRD/TQM interventions.

**2.16.1 Training:** The training programs will be designed based on the assessment done during the Training Needs Analysis by the PMU with duration, course contents and modules so as to meet the needs of the project personnel at various levels – PMU, DMUs, FMUs and Communities. Resource persons will be hired by the PMU for the training sessions. For a certain training modules, the concept of Trainer’s Training (TOT) will be adopted for which a group of specifically trained officers of PMU or DMU will act as resource persons for other officers/staff.

**2.16.2 Exposure Visits for DMU/FMU staff and community leaders:** Exposure visits for selected DMU/FMU staff members and community leaders will also be organized. These tours will be planned and undertaken under the initiatives of PMU and the concerned DMUs. They will have the options to visit other DMU/FMUs/community intervention areas or other schemes relevant to the Project within the state to share experiences for more effective implementation of project activities.

**2.16.3 Study Tours for PMU/DMU Personnel:** Short study tours for the PMU officers and selected DMU officials will be organized to other states where similar forestry projects have been or are being implemented to understand the innovative approaches evolved with a view to adapt the same in the NFMP.

**2.16.4 Overseas tours:** International exposure shall be provided to the staff of the PMU, DMUs and FMUs for building perspectives and for getting exposure to contemporary technologies in forest management strategies, forestry/biodiversity conservation and rural livelihoods sector. For this short duration (10-15 days) training at recognized international forestry institutes imparting specialized training and advanced courses on forestry and project management shall be organized by the PMU with assistance from PMC. In addition, selected farmers, who are directly involved in the Project and members of JFMC in the project area, shall have an opportunity to learn the successful cases of forestry interventions in other countries.

## **2.17 DISTRICT& BLOCK LEVEL COMMITTEES**

District Advisory Committees will be set up in each district/division headed by the Deputy Commissioner with DFO & DMU head as Member Secretary and district level officers of other concerned line department, and one NGO associated with the project as members. DAC will function as an inter-agency and multi-sector coordination body for the Project respectively at the district and its meeting will be held at least once in three months.

Moreover, Block Coordination Committees (BCC) headed by Additional Deputy Commissioner (ADC) / Sub-Divisional Officer (SDO) and the Range officer and FMU head as member Secretary and other concerned Block level officers as members shall be set up at FMU/ Range level. The BCC will facilitate coordination and convergence as directed by the DAC.

## **CHAPTER-3 ACCOUNTING**

### **3.1 INTRODUCTION**

The Accounting Procedure of the Nagaland Forestry Sector Development Society is to be followed as approved by Government of Nagaland.

Some provisions of the Accounts Procedure may need to be elaborated or modified in the light of experience gained in the course of project execution, or on review. To address these aspects, suitable elaborations may be incorporated and put in operation after the approval of the Governing Body. Amendment if any, however, will require High Power Committee.

Detail accounting procedure to be followed by the JFMCs and SHGs will be elaborated in the Joint Forest Management Committee Management Manual.

### **3.1 BUDGET & ANNUAL PLAN**

As provided in Para 19 of the Accounting Procedure Annual Budget and Annual Plan will be prepared by the PMU and placed before the Governing Body for discussion, scrutiny, and approval before final approval by the HPC preferably in January of previous financial year so that necessary provision in the state plan budget may be made for adequate funds for execution of project activities.

Each DMU shall prepare a Perspective Plan based on the data collected through survey and micro-planning exercise. Keeping in view the Perspective Plans of the DMUs, Annual Plan and Budget for the Project will be prepared by the PMU, immediately after the approval of the Annual Plan by the Governing Body. The DMU Annual Work Plan (AWP) will contain all required details of various activities to be undertaken during a year down to the site particulars, and time schedule to facilitate proper and timely implementation and monitoring of the activities along with process documentation.

DMU AWP are needed along with Perspective Plans, firstly because in the Perspective plans it is not possible to chart out details of strategies, and activities, which are to be undertaken each year, and secondly under NFMP there is continuous learning and development of new strategies every year. There is a need each year to take stock of achievements as well as constraints to refine the implementation strategies. It follows that annual planning is a step in the process of continuous assessment of the situation and identification of appropriate strategies and activities for achieving Project goals.

## **3.2 FUND MANAGEMENT**

The success of the project lies on timely disbursement of funds to the project implementers i.e. the DMUs/FMUs and the JFMCs. For this purpose, there should be timely release of funds by the PMU to the DMU & by the DMU to the FMUs and JFMCs under intimation to FMUs.

All payment for works, release of advances from PMU to DMUs and transfer of funds from DMUs to the FMUS and VSSs will be done through electronic transfer or crossed cheque or bank drafts.

Funds of the Society shall not be diverted or re-appropriated to meet any expenditure that has not been sanctioned by the competent authority.

### **3.2.1 HEADS OF ACCOUNTS**

Detailed “Heads of Accounts” to facilitate correct accounting of expenditure will be provided as Annexures .

### **3.2.2 COMPLIANCE OF AUDIT OBJECTIONS**

In order to keep a watch over the settlement of objections/observation of the Internal Auditors or the Accountant General included in the audit report, the Accounts section of the PMU will maintain a register setting apart separate folios for each DDO (Dy. PD Administration, Finance and Procurement), DMUs, PD (Administration, Finance & Procurement) will be responsible for ensuring compliance to audit objections/observations. The CPD-cum-CEO will periodically, at least once every quarter, will review the progress made on the settlement of outstanding audit objections.

### **3.2.3 INTEREST**

The interest accrued on bank deposits is not to be remitted to Government as General Revenue and it will be retained with the Society and utilized for the implementation of the project.

## **3.3 ANNUAL REPORT**

The Annual Report of the Activities of the Society along with audited statement of accounts shall be prepared by the PMU, approved by the Governing Body and adopted by the General Body at the Annual meeting specially convened for the purpose.

The Annual Report along with the audited accounts of the Society and Audit Report shall be furnished to Government of Nagaland within nine months of the close of the financial year. A copy will be widely circulated, and copy kept in the Project Website.

### 3.4 Procurement Method

Procurement of goods and services will be done through the following methods:

- (i) Procurement without quotation can be done with the orders of the Chief Project Director up to an amount of Rs. 15000/- in each item, and up to an amount of Rs. 50,000/- with the orders of the Chairperson.
- (ii) For items of value exceeding Rs. 15000/- but not exceeding Rs. Two Lakh procurement is to be done by inviting limited quotations (without newspaper publication) indicating detailed description of the item required, likely quantity required, when the order would have to be executed, last date for sending in the inquiry, and details/samples to be sent by the party along with their offer. In case of urgency, such quotations can be collected by the Project staff personally or telephonically contacting the parties. Prior approval of the competent authority shall be obtained justifying its necessity and the budgetary provision. The parties to whom the enquiry has to be sent may be decided based on the past contacts, contacts made by the parties through personal approach, Yellow Pages, Websites, etc.
  - a. In the normal course the order for supply shall go in favor of the firm/supplier who has made the lowest offer.
  - b. A formal order shall be issued by the Dy. PD (A, F and P) with a copy to the user/indenting Dy. PD which shall include the name of the supplier, detailed description of the item to be supplied in unambiguous terms including the make and specifications, quantity, unit rate and the total value, applicable taxes and duties, freight and delivery charges if any, place of delivery (PMU), validity period of the order, payment terms, penalty clause, if any, for delay in supply.
- (iii) Procurement of goods and services of value exceeding Rs. Two Lakhs shall be made only through an open competitive bidding process with newspaper advertisement. All such bids shall have two components viz. (a) Technical bid and (b) Financial bid in two separate sealed envelopes submitted together. Scrutiny of offers received shall be done by a Procurement Committee constituted by the Chief Project Director for the purpose. Financial bid of the party found to be technically qualified and ranked first during the technical evaluation by the Procurement Committee would be opened and rates negotiated if considered necessary. Recommendations of the Procurement Committee will be put up for approval of the Competent Authority.
- (iv) Proprietary items can be procured based on single offer basis subject to the prior approval of the Competent Authority. If there are any DGS & D approved rate contract holders, such approved prices of DGS & D may be the basis for finalizing the order value.
- (v) DMU shall also follow the above methods for procurements under the Project.



### 3.5 Miscellaneous

#### Annexure-1

#### 3.5.1. Vehicle Log Book

Maintenance of log books in respect of the project and hired vehicles will be done as below:

- The Driver in-charge of the vehicle should make entries every day in the book as per the columns provided for and obtain attestation of the officer concerned.
- The entry should be legible and written in ink. Overwriting should be avoided; corrections if any should be attested.
- The Driver should record correct quantities of the petrol, diesel, and lubricating oil etc., received with stock receipt Note No. or Bill No., Date etc.
- The Driver should also record the details of periodical servicing / repairs carried out and spares fitted to the vehicle in the appropriate pages provided for the purpose.
- After completion of the each month, the monthly abstract as provided should be prepared by the Driver to obtain the signature of the concerned officer.
- The log book should always be with the vehicle and should be produced before the inspecting officer when called for.
- Excess consumption of POL if any, should immediately be brought to the notice of the officer concerned to get the consumption tested and seek further instructions from the officer concerned.
- Loss of tools, accessories etc., should immediately be brought to the notice of the officer concerned.
- The format for log book and maintenance records may be prescribed by the PM