



National Dairy
Development Board
Anand

Compendium of Documents on Dairy Development and Animal Husbandry Schemes being implemented by different departments of Government of India



Compendium of Documents
On
Dairy Development and Animal Husbandry
Schemes being implemented by different
departments of Government of India

August 2017
National Dairy Development Board

Foreword

Dairying is a major source of livelihood for a large number of people in rural India, particularly landless, small and marginal farmers. Currently, various Government Schemes related to Dairy Development and Animal Husbandry are being implemented. Many of these schemes provide for funding and technical support for various components of dairying as an economic activity. The schemes are:

- Department of Animal Husbandry Dairying & Fisheries
 - National Dairy Plan Phase I (NDP I)
 - National Programme on Bovine Breeding and Dairy Development (NPBBDD)
 - Rashtriya Gokul Mission (RGM)
 - National Mission on Bovine Productivity (NMBP)
 - National Livestock Mission (NLM)
 - Livestock Health & Disease Control (LH&DC)
 - Dairy Entrepreneurship Development Scheme (DEDS)
- Department of Agriculture & Cooperation
 - Rashtriya Krishi Vikas Yojana (RKVY)
- Ministry of Food Processing Industries (MoFPI)
 - Scheme for Agro - Marine Processing and Development of Agro - Processing Clusters (SAMPADA)
- Ministry of Rural Development
 - National Rural Livelihood Mission (NRLM)
- Central Sector Integrated Scheme on Agricultural Cooperation (National Cooperative Development Corporation Scheme)
- Ministry of Women & Child Development
 - Support to Training and Employment Programme for Women (STEP)
- Ministry of Tribal Affairs
 - Special Central Assistance (SCA) to Tribal Sub Plan (TSP)
 - Programmes/ Activities under provision to Article 275 (1) of the Constitution of India

However, convergence of these schemes at the implementation level i.e., State and District levels, is necessary to ensure effective growth of the sector and social & economic progress of dairy farmers.

On request of NDDB, various States have constituted State Level Monitoring Committees (SLMC) for effective coordination and monitoring of Animal Husbandry and Dairy Development schemes and their convergence in the state.

A compilation of the guidelines of various Government schemes was prepared and shared in 2014, 2015 and 2016. I have pleasure in enclosing the updated compilation of the guidelines of the important schemes based on various administrative approvals for 2017-18. A gist of different dairying related components being funded under important schemes has also been included in the compendium for easy reference.

I hope the States and State Milk Federations will take a lead in ensuring that these Schemes are optimally utilized for effective growth in dairy sector, ensuring social and economic development of milk producers.



Chairman

Date: 08 August 2017

National Dairy Development Board

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PS: The page numbers in bold and larger font size appearing in the **bottom (centre)** of every page is the page number used for this compendium.

Components related to dairying under various Animal Husbandry and Dairy Development schemes being funded by Government of India

Various Dairy Development and Animal Husbandry schemes are being implemented by Government of India which provides funding for various components of dairying. The Schemes are:

1. National Programme on Bovine Breeding and Dairy Development (NPBBDD)
2. National Mission on Bovine Productivity (NMBP)
3. National Dairy Plan Phase I (NDP I)
4. Dairy Entrepreneurship Development Scheme (DEDS)
5. Scheme for Agro - Marine Processing and Development of Agro - Processing Clusters (SAMPADA)
6. National Livestock Mission (NLM)
7. Livestock Health & Disease Control (LH&DC)
8. Rashtriya Krishi Vikas Yojana (RKVY)
9. Central Sector Integrated Scheme on Agricultural Cooperation (National Cooperative Development Corporation Scheme)
10. National Rural Livelihood Mission (NRLM)
11. Support to Training and Employment Programme for Women (STEP), Ministry of Women & Child Development, GoI
12. Schemes of Ministry of Tribal Affairs:
 - Special Central Assistance (SCA) to Tribal Sub Plan (TSP), Ministry of Tribal affairs
 - Programmes/ Activities under provision to Article 275 (1) of the Constitution of India, Ministry of Tribal affairs

An illustrative list of dairying related components being funded under the above listed schemes are as follow:

1. National Programme for Bovine Breeding and Dairy Development (NPBBDD)

A. National Programme for Bovine Breeding (NPBB)

Eligible Institutions:

State Implementing Agencies (SIAs)	State Livestock Development Boards
End Implementing Agencies (EIAs)	State Livestock Development Boards
	State Animal Husbandry Department
	State Milk Federation
Participating Implementing Agencies (PIAs)	CFSP&TI, CCBFs, ICAR, Universities, Colleges, NGOs

Components being funded:

- i. Extension of Field AI network
- ii. Strengthening of existing AI centres
- iii. Monitoring of AI program
- iv. Development & conservation of indigenous breeds
- v. Managerial grants to SIA and grant linked to activities
- vi. Manpower development
- vii. Strengthening LN transport and distribution system
- viii. Procurement of bulls under NS and AI
- ix. Control of Infertility & Reduction of Inter-calving Period

B. National Programme for Dairy Development (NPDD)

Eligible Institutions:

State Implementing Agencies (SIAs)	State Dairy Federations (of enlisted states), MUs of other states and UT's
End Implementing Agencies (EIAs)	District Milk Unions, Producer companies(functional for 1 full FY), DRDA, Zila Parishad
	District Mission Management Unit
Participating Implementing Agencies (PIAs)	Other agencies associated or affiliated to above SIAs, EIAs (NGOs, SHGs, Universities , Colleges, ICAR institutes

Components being funded:

- i. Milk Chilling facilities at village, block, district level
- ii. Civil works
- iii. Equipment for BMC, chilling Centres
- iv. Milk processing and marketing
- v. Milk procurement
- vi. Cattle shed
- vii. Cattle induction
- viii. Construction/Establishment of Milk & milk product testing laboratories (at DCS level, BMC Centres, Dist. Level, State level etc.)
- ix. Clean Milk Production kit (for beneficiaries)
- x. Technical Input Services (FMD & other vaccines, FA box, AH & Breeding camps, Fodder development, Cattle feed development)
- xi. Information and Communication Technology networking
- xii. Manpower and skill development
- xiii. Working capital
- xiv. Rehabilitation of defunct/sick milk unions/federations
- xv. Planning & monitoring
- xvi. Centralized MIS facility for DADF

C. Rashtriya Gokul Mission (RGM)**Eligible Institutions:**

State Implementing Agencies (SIAs)	State Livestock Development Boards
End Implementing Agencies (EIAs)	State Livestock Development Boards, State Animal Husbandry Department and State Milk Federation, CFSP&TI, CCBFs
Participating Implementing Agencies (PIAs)	ICAR, Universities, Colleges, NGOs

Components being funded:

- i. Establishment of bull mother farms for conservation of HGM indigenous bovine breeds.
- ii. Assistance to institutions/institutes which are repositories of best germplasm.
- iii. Implementation of PS programme for indigenous breeds with large population.
- iv. Induction of disease free HGM bulls of Indigenous breeds for natural service.
- v. Establishment of Breeder's Societies (Gopalan Sangh).
- vi. Heifer rearing programme.
- vii. Establishment of Field Performance Recording (FPR) in the breeding tract.
- viii. Incentives to farmers maintaining elite animals of indigenous bovine breeds.
- ix. Organization of milk yield competitions.
- x. Award to Breeders societies (Kamdhenu).
- xi. Establishment of a village level integrated indigenous cattle Centres viz., "Gokul Gram" will be covered under the component "any other activity" related to cattle and buffalo development.
- xii. Organization of training program for technical and non-technical personnel working at the institutions engaged in cattle development.

2. National Mission on Bovine Productivity (NMBP)

Eligible Institutions:

State Livestock Development Boards, State Animal Husbandry Departments, ICAR Institutes, Milk Federations and NDDB.

Components being funded:

- a) Pashu Sanjivni: An Animal Wellness Programme comprising funding for Tags, Tag applicators, Health cards and tablets/computerization
- b) Advanced Reproductive Technique:
 - i. Establishment cost of machines for introduction of sex sorted semen production technology at 10 semen stations
 - ii. Cost of sex sorted semen production
 - iii. Research & Development activities
 - iv. Establishment of IVF/MOET labs
- c) E-Pashu Haat (An e-market portal for bovine germplasm for connecting breeders & farmers)
- d) National Bovine Genomic Centre for Indigenous Breeds

3. National Dairy Plan I (NDP I)

Eligible Institutions:

State Livestock Boards, State Cooperative Dairy Federations, District Cooperative Milk Producers' Unions, cooperative forms of enterprises such as Producer Companies, trusts (NGO's Section 25 companies), subsidiaries of statutory bodies, ICAR institutes and Veterinary/ Dairy Institutes/ Universities and any other entity as may be decided by National Steering Committee set up under NDP I.

Components being funded:

A. Productivity Enhancement

- a.** Production of high genetic merit (HGM) cattle and buffalo bulls and import of Jersey/ HF bulls for semen production.
 - i.** Progeny Testing
 - ii.** Pedigree Selection
 - iii.** Import of bulls (equivalent embryos)
- b.** Strengthening existing semen stations for producing high quality disease free semen doses.
- c.** Setting up a pilot model for viable doorstep AI delivery services (based on Standard Operating Procedures (SOPs) through a professional service provider including animal tagging and performance recording.
 - Support to Mobile AI Technicians
 - Supervisory and distribution support
 - Technical support
 - Animal identification, Data management
 - Extension and Rural communication
 - Training
- d.** Improving nutrition of milch animals to produce milk commensurate with their genetic potential and for reducing methane emission,
 - i.** Ration Balancing Programme
 - Support to Local Resource Person
 - Supervisory support
 - Technical support
 - Animal identification, Data management
 - Extension and Rural communication
 - Training
 - ii.** Fodder Development
 - Fodder seed production
 - Straw densification
 - Silage making & fodder conservation demonstrations

B. Village Based Milk Procurement System

- i.** Support for creating institutional structure
- ii.** Milk weighing, testing and collection (AMCU/ DPMCU)
- iii.** Bulk Milk cooler
- iv.** Training

4. Dairy Entrepreneurship Development Scheme (DEDS)

Eligible Institutions:

Farmers, Individual Entrepreneurs and Groups of Unorganised and Organised Sector are eligible under DEDS. Group of Organised sector, includes Self-Help Groups on behalf of their members, Dairy Cooperative Societies, Milk Unions on behalf of their members, Milk Federation, Panchayati Raj Institutions (PRIs) etc.

Components being funded:

- i. Establishment of small dairy units with crossbred cows/ indigenous descript milch cows like Sahiwal, Red Sindhi, gir, Rathi etc./ graded buffaloes upto 10 animals. (for SHGs, Cooperatives societies, Producer Companies unit size will be 2-10 animals per member).
- ii. Rearing of heifer calves – cross bred, indigenous descript milch breeds of cattle and of graded buffaloes – upto 20 calves.
- iii. Vermi compost with milch animal unit (to be considered with milch animals/ small dairy farm and not separately).
- iv. Purchase of milking machines/ milko-testers/ bulk milk cooling units (upto 5000 lit capacity)
- v. Purchase of dairy processing equipment for manufacture of indigenous milk products.
- vi. Establishment of dairy product transportation facilities and cold chain.
- vii. Cold storage facilities for milk & milk products.
- viii. Establishment of private veterinary clinics.
- ix. Dairy marketing outlet/ Dairy parlour

5. Scheme for Agro - Marine Processing and Development of Agro - Processing Clusters (SAMPADA)

SAMPADA is an umbrella scheme incorporating following schemes:

1. Mega Food Parks **(Ongoing)**
2. Integrated Cold Chain and Value Addition Infrastructure **(Ongoing)**
3. Creation/Expansion of Food Processing & Preservation Capacities **(new)**
4. Infrastructure for Agro-processing Clusters **(new)**
5. Creation of Backward and Forward Linkages **(new)**
6. Food Safety and Quality Assurance Infrastructure **(Ongoing)**
7. Human Resources and Institutions **(Ongoing)**

Eligible institutions and an illustrative list of components being funded under these schemes:

No.	Schemes	Implementing Agency	Components funded
1.	Mega Food Parks	Special Purpose Vehicle (SPV) registered under the Companies Act. However, State Govt & its entities and Cooperatives are not required to form a separate SPV.	Establishment of food processing industry backed by an efficient supply chain, which includes Collection Centres, Primary Processing Centres, Central Processing Centre & Cold Chain infrastructure.
2.	Integrated Cold Chain and Value Addition Infrastructure	Partnership/Proprietorship Firms, Companies, Corporations, Cooperatives, Self Help Groups (SHGs), Farmer Producer Organizations (FPOs), NGOs, Central/State PSUs, etc.	A. Farm level infrastructure - Processing centre situated in the catchment area of the targeted produce. B. Distribution hub - This shall have a modern multi-product, multi-temperature cold storage C. Refrigerated vans/ refrigerated trucks/ insulated vans/mobile insulated tankers. D. Irradiation facility.
3.	Creation/ Expansion of Food Processing & Preservation Capacities	Central & State PSUs/ Joint Ventures/ FPOs/ NGOs/ Cooperatives/ SHG's/ Pvt. Ltd. Companies/ individuals proprietorship firms	Creation/ expansion and/ or modernization of processing / preservation capacities along with transport and storage facilities etc.

No.	Schemes	Implementing Agency	Components funded
4.	Infrastructure for Agro-processing Clusters	Govt./ PSUs/ Joint Ventures /NGOs/ Cooperatives /SHGs/FPOs/ Private Sector/ individuals etc.	Basic enabling infrastructure like boundary wall, roads, water supply etc. Core infrastructure like testing laboratory, grading, sorting and packing facilities, cold storage, pre-cooling chambers, specialized packaging etc.
5.	Creation of Backward and Forward Linkages	Govt./ PSUs/ Joint Ventures/NGOs/ Cooperatives/SHGs/FPOs/ Private Sector/ individuals etc.	i. Processing Facilities at the farm level: facilities for weighing, cleaning, sorting, grading, packing, precooling, Cold Storage etc. ii. Distribution hub and retail outlets. iii. Mobile Pre-cooling trucks and reefer trucks.
6.	Food Safety and Quality Assurance Infrastructure	Central/State Govt & their organizations/ Govt universities (including deemed universities) private sector organizations/ universities.	i. Setting up or Up gradation of Food Testing Laboratory
		Central/State Govt. Organization, IITs, Universities and private sector for implementation of HACCP/ ISO Standards/Food safety/Quality Safety Management Systems.	ii. Hazard Analysis & Critical Control Points (HACCP)/ ISO Standards/ food Safety/ Quality Management Systems
7.	Human Resources and Institutions	All Universities, IITs, Central/ State Government Institutions, Government Funded Organizations, R&D laboratories and CSIR recognized R&D Units in private sector.	i. Research & Development in Food Processing Sector
		Ministry, Apex Industrial/ Trade Bodies/ Associations.	ii. Promotional Activities, Advertisement, Publicity, Studies & Surveys.

6. National Livestock Mission (NLM)

Eligible Institutions:

State/ Union Territory Governments, Department of Animal Husbandry Dairying & Fisheries, Agriculture Department, State Livestock Development Board/Agency, KVKs, Dairy Cooperatives, ICAR Institutions and Research & Development.

Sub Mission and components being funded:

- 1. Sub-Mission on Livestock Development** – The Sub-Mission on Livestock Development includes activities to address the concerns for development of livestock species, other than cattle and buffalo, with a holistic approach covering poultry as well.

Risk Management (Livestock Insurance) component of the Sub-Mission covers the indigenous/ crossbred milch animals, pack animals (Horses, Donkey, Mules, Camels, Ponies and Cattle and Buffalo males) and other livestock (Goat, sheep, Pigs, Rabbit, Yak and Mithun). The objective of the scheme is to management of risk and uncertainties by providing protection mechanism to the farmers against any eventual loss of their animals due to death and to demonstrate the benefit of the insurance of livestock to the people. Benefit of subsidy is to be restricted to 5 animals per beneficiary per household for the milch animals.

- 2. Sub-Mission on Pig Development in North-Eastern Region -**

There has been persistent demand from the North Eastern States seeking support for all round development of piggery in the region. The Sub-Mission will stride to forge synergies of research and development organisations through appropriate interventions.

- 3. Sub-Mission on Feed and Fodder Development** – The Sub Mission focusses on increasing both production and productivity through adoption of improved and appropriate technologies best suited to specific agro-climatic region in both arable and non-

arable land. Funding may be availed for following components of the Sub Mission:

- i. Fodder production from Non-forest wasteland /rangeland/ non-arable land
- ii. Fodder Seed Production/ Procurement & Distribution
- iii. Assistance for distribution of hand driven chaff cutters
- iv. Assistance for Introduction of Power Driven Chaff Cutter
- v. Establishment of high capacity Fodder Block Making units
- vi. Distribution of low capacity, tractor mountable Fodder Block Making units, hay baling machines/reapers/ forage harvesters
- vii. Establishment of Silage making units
- viii. Establishment of Bypass protein making units
- ix. Establishment of Area Specific Mineral Mixture/ Feed Pelleting/ Feed Manufacturing Unit
- x. Establishment/ modernisation of Feed testing laboratories
- xi. Operating specific Training and Capacity Building Interventions related to Feed and Fodder Development.

4. Sub-Mission on Skill Development, Technology Transfer and

Extension – The Sub Mission provides a platform to develop or adapt the knowledge in collaboration with farmers, researchers and extension workers. The implementing agencies for the Sub Mission will be Department of Animal Husbandry Dairying & Fisheries, Agriculture Department, KVKs, ICAR Institutions and Research & Development. However, funds will be released through the concerned State Governments. Following components may be taken under this mission:

- i. IEC Support for Livestock Extension
- ii. Training and capacity Building
- iii. Livestock Farmers Groups/Breeder's Association
- iv. Organization of Livestock Mela / Show
- v. Regional Livestock fair
- vi. Operationalization of Farmers Field Schools
- vii. Exposure Visit for livestock Extension facilitators
- viii. Exposure Visit of farmer
- ix. Staff component of livestock Extension

7. Livestock Health and Disease Control (LH&DC)

Components being funded:

- 1.** Assistance to states for Control of Animal diseases (ASCAD)
 - v. Immunization against economically important diseases of livestock and poultry.
 - vi. Strengthening/ modernising of Biological production units/ Disease diagnostic laboratories.
 - vii. Training Programme Seminars/ Workshop
- 2.** National Project on Rinderpest Surveillance and Monitoring (NPRSM)
 - i. General surveillance of various animal diseases.
 - ii. Focused surveillance.
- 3.** National Animal Disease Reporting System (NADRS)
- 4.** Foot and Mouth Disease Control Programme (in existing States/ UTs and proposed expansion in States/ UTs)
- 5.** 'Peste des Petits Ruminants – Control Programme' (PPR-CP)
- 6.** Brucellosis Control Programme (Brucellosis-CP)
- 7.** Establishment and Strengthening of existing Veterinary Hospitals and Dispensaries (ESVHD)
- 8.** Professional Efficiency Development (PED)
- 9.** Classical Swine Fever Control Programme (CFP-CP)

8. Rashtriya Krishi Vikas Yojana (RKVY)

An illustrative list of dairying related components being funded:

- i. Semen collection and Artificial Insemination Units/
Production centre
- ii. Breeding Farms
- iii. Dispensaries/ Hospitals for treatment of animals
- iv. Vaccine Production Unit
- v. Diagnosis Labs, including Mobile Units
- vi. Animal Ambulance
- vii. Cold Chain for storing and transportation of frozen Semen
- viii. Tractor fitted with Fodder Block Machine
- ix. Carcass rendering Plant to collect the fallen animals for
processing/utilization in scientific manner
- x. Modernization of animal slaughter houses and markets for
Livestock/ Livestock products

Milk Collection Centres and Infrastructure:

- xi. Purchase of milking machines (single/double bucket)
- xii. Setting up of milk chilling/bulk milk cooling centres (BMC)
along with automatic milk collection units (AMC)
- xiii. Setting up/modernization/strengthening of milk processing
units Strengthening /expansion of cold storage facility for
milk and milk products
- xiv. Purchase of insulated/refrigerated transport vehicles
- xv. Setting up of milk parlor/milk booth
- xvi. Strengthening of lab facility in milk chilling/milk processing
unit
- xvii. Establishment of cattle feed storage godown
- xviii. Establishment/strengthening of cattle feed plant
- xix. Establishment of cattle shed for milch animals
- xx. Setting/strengthening of ETP at milk chilling/ milk
processing unit

9. National Cooperative Development Corporation (NCDC)

Eligible Institutions:

Cooperatives.

Dairying related components being funded:

- i. Purchase, rearing and breeding of milch animals
- ii. Installation of milking machines
- iii. Establishment of Testing Laboratories
- iv. Establishment/ expansion/ renovation of milk collection centres and chilling plants
- v. Purchase of equipments and bulk milk coolers
- vi. Milk Chilling Plants and Processing units
- vii. Purchase of transport vehicles
- viii. Setting up of small feed mixing/ manufacturing units
- ix. Establishment of Integrated Dairy Projects with provisions for technical inputs for farmers' organisation, mobile veterinary care, artificial insemination and fodder development programme
- x. UHT Milk Processing and Packaging units
- xi. Margin money / working capital assistance for increasing business turnover

10. National Rural Livelihood Mission (NRLM)

An illustrative list of components being funded:

- i. Social inclusion and institutions for the poor like milk producers' cooperatives
- ii. Promotion and setting up institutions of the poor at various levels.
- iii. Training, Capacity building and skill building
- iv. Revolving Fund and Capital Subsidy
- v. Universal Financial Inclusion
- vi. Provision of Interest Subsidy
- vii. Stabilizing and enhancing the existing livelihoods like cattle rearing, forest produce, fishing, and traditional non-farm occupations and subsequently diversifying their livelihoods
- viii. Infrastructure creation and Marketing support
- ix. Convergence with other programmes of the Ministry of Rural Development and other Central Ministries and programmes of state governments for developing synergies directly and through the institutions of the poor.

11. Support to Training and Employment Programme for Women (STEP), Ministry of Women & Child Development

Eligible Institutions:

- a. Institutions or organizations set up as Autonomous Organization under a specific statute or as a Society registered under the Societies Registration Act, 1860 or Indian Trusts Act, 1882 (Not for profit) or other statutes.
- b. Voluntary Organizations or Non-Government Organizations registered under the Societies Registration Act, Indian Trust Act carrying out activities which promote the objectives of the STEP programme, with adequate financial and other resources, credibility and experience of the type of activities to be undertaken.
- c. Co-operative Societies.

Target Group: The scheme is intended to benefit women who are in the age group of 16 years and above.

Components being funded:

1. Assistance under the STEP Scheme will be available in any sector for imparting skills related to employability and entrepreneurship as identified by the Ministry of Skill Development & Entrepreneurship (MSDE) including but not limited to the following :

- Agriculture
- Horticulture
- Food Processing
- Handlooms
- Traditional crafts like Embroidery, Zari etc.
- Handicrafts
- Gems & Jewellery
- Travel & Tourism, Hospitality

In case any other specific course is conducted in any trade which is not included in the list given in Schedule II of MSDE's notification dated 08.08.2015 and amendments thereto,

consultation with the industry and thereafter approval of Common Norms Committee will be required for giving approval to it.

- 2.** Soft skills (which would include computer literacy, language and workplace inter-personal skills relevant for the sector/trade) would be an integral part of the skills training process and must be suitably integrated into the course modules.
- 3.** All Skill Development courses offered under the scheme framework must conform to the National Skill Qualification Framework (NSQF) notified on 27.12.2013. Government funding would not be available for any training or educational programme/course if it is not NSQF compliant.

12. Schemes of Ministry of Tribal Affairs

A. Special Central Assistance (SCA) to Tribal Sub Plan (TSP)

The SCA is provided by the Ministry of Tribal Affairs to the State Government as an additive to the State TSP. SCA is primarily meant for family-oriented income-generation schemes in sectors of agriculture, horticulture, sericulture and animal husbandry cooperation.

B. Programmes/ Activities under provision to Article 275 (1) of the Constitution of India

Grants are also given to States/UTs, under the first provision to article 275(1) of the Constitution to meet the costs of projects for tribal development and for raising the level of administration of Scheduled Area therein on par with the rest of the State/UT.

An illustrative list of dairying related components being funded:

- i. Cooperative based (or other) dairy development including processing and chilling infrastructure.
- ii. Veterinary services including building infrastructure and equipment.
- iii. Improvement of local breed for high yield output through Artificial Insemination.
- iv. Providing training and assistance with forward and backward linkages for self-development.

F. No.1-1/2012-DP
Government of India
Ministry of Agriculture & Farmers Welfare
Department of Animal Husbandry, Dairying and Fisheries

Krishi Bhawan New Delhi

Dated: 6th April, 2017

Subject: Administrative approval for implementation of Central Sector Scheme "National Programme for Bovine Breeding and Dairy Development" and "Indigenous Breeds" during 2017-2018.

The undersigned is directed to convey the Administrative Approval towards implementation of "National Programme for Bovine Breeding and Dairy Development" and "Indigenous Breed" with an Budget allocation of Rs 300.00 crore (Rs. 50 crore for National Programme for Bovine Breeding , Rs.170 crore for National Programme for Dairy Development and Rs.80 crore for Indigenous Breeds) during 2017-18.


2. National Programme for Bovine Breeding and Dairy Development (NPBBDD) have three components namely "National Programme for Bovine Breeding (NPBB)" and "National Programme for Dairy Development (NPDD)" and "Rashtriya Gokul Mission". The component-wise objective of the scheme is given below:-

2.1. National Programme for Bovine Breeding:

- a) To arrange quality Artificial Insemination services at farmers' doorstep;
- b) To bring all breedable females under organized breeding through Artificial Insemination or natural service using germplasm of high genetic merits;
- c) To conserve, develop and proliferate selected indigenous bovine breeds of high socio-economic importance;
- d) To provide quality breeding inputs in breeding tracts of important indigenous breeds so as to prevent the breeds from deterioration and extinction;

2.2. National Programme for Dairy Development:

- a) To create and strengthen infrastructure for production of quality milk including cold chain infrastructure linking the farmer to the consumer;
- b) To create and strengthen infrastructure for procurement, processing and marketing of milk and milk products;
- c) To create training infrastructure for training of dairy farmers;
- d) To strengthen dairy cooperative societies/Producers Companies at village level;
- e) To increase milk production by providing technical input services like cattle-feed, and mineral mixture etc;
- f) To assist in rehabilitation of potentially viable milk federations/unions;


(के. सी. पात्रा)
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पशु पालन, डेयरी और मत्स्य पालन विभाग
D/o Animal Husbandry Dairying & Fisheries
कृषि मंत्रालय/Ministry of Agriculture
कृषि भवन, नई दिल्ली
Krishi Bhawan, New Delhi

2.3 Rashtriya Gokul Mission

- a) To undertake breed improvement programme for indigenous cattle breeds so as to improve the genetic makeup and increase the stock.
- b) To enhance milk production and productivity of indigenous bovines.
- c) To upgrade nondescript cattle using elite indigenous breeds like Gir, Sahiwal, Rathi, Deoni, Tharparkar, Red Sindhi.
- d) To distribute disease free high genetic merit bulls of indigenous breeds for natural service.

3. A copy of the guidelines and brief description of activities to be taken up is enclosed herewith. It is requested that a comprehensive proposal for National Programme for Bovine Breeding and Dairy Development may be prepared as per the guidelines of the scheme and submitted to the Department of Animal Husbandry, Dairying & Fisheries. However, under NPDD compoennet priority is to be given to 100% coverage of village level dairy cooperative society (DCS) for installation of Bulk Milk Coolers (BMC) and Automatic Milk Collection Unit (AMCU)/Data Processing and Milk Collection Unit (DPMCU) besides laboratory and ICT network.

4. The State proposals will be scrutinized by the Department of Animal Husbandry Dairying & Fisheries and sanctions will be issued with the approval of the competent authority.

5. Participating States/State Implementing Agency will supply information on number of people belonging to **Schedule Castes, Scheduled Tribes and Women** benefited from the scheme on quarterly basis. It may be ensured that 16.2% and 8% of the funds are targeted for SC and ST farmers/beneficiaries respectively under Scheduled Castes Special Plan (SCSP) and Tribal Sub Plan (TSP) as per directives of Niti Ayog.

6. Participating States/State Implementing Agencies will submit quarterly progress reports (QPR), annual report, audit reports etc along with utilization certificate in the prescribed formats. The funds released under the project will be subjected to AG Audit of the concerned State.

7. This issues with the approval of Joint Secretary(C&DD) vide diary No.746/JS (CDD) dated 05.04.2017.

Yours faithfully,

(के. सी. पात्रा)
(K. C. PATRA)

Under Secretary
Ministry of Agriculture, Govt. of India

(K. C. Patra)

Under Secretary to the Government of India

मत्स्य पालन विभाग
D/o Animal Husbandry Dairying & Fisheries
कृषि मंत्रालय/Ministry of Agriculture
कृषि भवन, नई दिल्ली
Krishi Bhawan, New Delhi

Distribution:

1. Principal Secretary/Secretary, Department of Animal Husbandry/Dairy Development, All States and UT's (speed post)

2. Niti Ayog, Agriculture Division, Yojana Bhawan, New Delhi
3. Principal Accounts Officer, Ministry of Agriculture, Department of Animal Husbandry Dairying and Fisheries, 16-A, Akbar Road Hutments, New Delhi-110011.
4. Accountant General, AGCR Building, New Delhi-110002.
5. Chief controller of accounts, DAC, Krishi Bhavan New Delhi.
6. Managing Director, Milk Federation, All States (Speed post)
7. Director of Animal Husbandry of all States and UT's
8. Chief executive officers of the concerned State Livestock Development Boards.

Copy for kind information to:

PS to Hon'ble AM, PS to Hon'ble MOS (Agri), PPS to Secretary (AD&F), PPS to AHC, PPS to AS & FA, PS to JS(C&DD)/Dir (DD)/ JC(AH)/ AC(BT)/AC(DD), US(Fin)/AO(budget)/Guard File.


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OPERATIONAL GUIDELINES FOR IMPLEMENTATION OF NATIONAL PROGRAMME FOR BOVINE BREEDING AND DAIRY DEVELOPMENT (NPBBDD)

National Programme for Bovine Breeding and Dairy Development (NPBBDD) will have two components namely "National Programme for Bovine Breeding (NPBB)" and "National Programme for Dairy Development (NPDD)".

OBJECTIVES :

National Programme for Bovine Breeding:

- a) To arrange quality Artificial Insemination services at farmers' doorstep;
- b) To bring all breedable females under organised breeding through Artificial Insemination or natural service using germplasm of high genetic merits;
- c) To conserve, develop and proliferate selected indigenous bovine breeds of high socio-economic importance;
- d) To provide quality breeding inputs in breeding tracts of important indigenous breeds so as to prevent the breeds from deterioration and extinction;

National Programme for Dairy Development:

- to create and strengthen infrastructure for production of quality milk including cold chain infrastructure linking the farmer to the consumer;
- to create and strengthen infrastructure for procurement, processing and marketing of milk;
- to create training infrastructure for training of dairy farmers;
- to strengthen dairy cooperative societies/Producers Companies at village level;
- to increase milk production by providing technical input services like cattle-feed, and mineral mixture etc;
- to assist in rehabilitation of potentially viable milk federations/unions;

• DURATION OF THE PROJECT:

National Programme for Bovine Breeding and Dairy Development (NPBBDD) will be implemented throughout the country during 12th Five Year Plan (2013-2017) Spill over activities of the projects will be continued during the 13th Five Year Plan.

• AREA OF OPERATION:

3.1 NPBBDD will be implemented throughout the country.

3.2 NPBBDD will finance all components in those States where National Dairy Plan, Phase I is not being implemented i.e in the following States and regions:

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Delhi, Uttarakhand, Goa, Puducherry, Chhattisgarh, Jharkhand, Himachal Pradesh, Arunachal Pradesh, Assam, Meghalaya, Manipur, Mizoram, Nagaland, Sikkim, Tripura, Jammu & Kashmir, UT of Chandigarh, Daman & Diu, Lakshadweep, Andaman and Nicobar.

3.3 In the case of States covered by National Dairy Plan Phase-I (NDP-I) (i.e., Andhra Pradesh, Bihar, Gujarat, Haryana, Karnataka, Kerala, Madhya Pradesh, Maharashtra, Orissa, Punjab, Rajasthan, Tamil Nadu, Uttar Pradesh, West Bengal), NPBBDD will cover those components that are not covered by NDP.

• **FUNDING PATTERN:**

• **NPBB Funding Pattern:**

- NPBB Component provides for 100% grant-in-aid for all breeding related activities.

• **NPDD Funding Pattern:**

NPDD will be implemented on 100 % grant-in-aid basis for all components, except for the following activities:

- installation of bulk milk coolers;
 - milk processing plants;
 - milk powder plants; and,
 - rehabilitation Milk Unions/ federations
- For the first three components, viz.- installation of bulk milk coolers, milk processing plants and milk powder plants,- the funding pattern will be as under:
 - In NDP States -50% grant in aid.
 - For Milk Unions/Federations of North Eastern States and of hilly areas (more than 1000 meter above sea level) in hilly States of Jammu & Kashmir, Uttarakhand and Himachal Pradesh, central assistance would be 90%
 - For other non-NDP States:
 - For profit making EIAs-i.e. EIAs with accumulated profit of Rs One crore or more in the previous financial year - 75 % grant in aid
 - For other EIAs-i.e. loss making EIAs and EIAs with accumulated profit of less than Rs One crore in the previous year- 90%
 - For the component "Rehabilitation Plan" for assisting Milk Unions/ federations to become more viable- 50 % grant in aid.

• **PROJECT FINANCIAL CEILINGS AND OTHER LIMITATIONS - UNDER NPDD COMPONENT:**

Central assistance ceilings under NPDD component will be as under:

- Central assistance for the project shall be restricted to Rs 15.00 crores per District.
- For milk powder plant, central grant per district shall be limited to Rs.5 crores per district.

NOTE:

(i) For establishing /upgrading milk powder plant of 30 metric tonnes capacity, surplus milk from a milk shed covering a cluster of districts may be pooled to ensure economic viability of the powder plant.

(ii) Central grant for establishing milk powder plant shall be limited to dairy cooperatives only.

- Assistance for "technical input services" shall be subject to a ceiling of 15% of the project cost.
- Assistance for cattle induction shall be allowed only for Scheduled Castes, Scheduled Tribes and BPL families.
- Cattle Induction shall be subjected to a maximum ceiling of 10% of the total project cost.

NOTE: The Cost for this purpose of calculating subsidy shall include: i) cost of cattle, ii) animal insurance and iii) transportation cost.

- The subsidy for Cattle Induction shall be restricted to 50% in all cases except for women farmers.

NOTE: In the case of for women milk producers the subsidy element for cattle induction shall have a maximum ceiling of 75% cost.

- Assistance for manpower and skill development shall be provided for setting up and/or upgrading a Training Centre for skill development in the areas listed at "J" – Annexure B. The total assistance under this component shall not be more than Rs.75 lakh or 5% of the total project cost, whichever is lower.
- Assistance for Information and Communication Technology networking shall be subject to a maximum ceiling of 10% of the project cost.
- Rehabilitation assistance as central grant shall be restricted to a ceiling of Rs.5 Crores.
- Assistance for Working Capital shall be restricted to the total value of "21 days- milk procurement", as projected in the terminal year of the Project, by the End Implementing Agency.
- Planning and Monitoring - limited to 5% of the project cost.

• **IMPLEMENTING AGENCIES:**

• **NPBB:**

- State Implementing Agencies **SIAs** - State Livestock Development Boards
- End Implementing Agencies **EIAs** - State Livestock Development Boards
State Animal Husbandry Departments,
State Milk Federations

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- Participating Implementing Agencies **PIAs**- Other agencies having a role in Bovine Dev.: - CFSP&TI, CCBFs, ICAR, Universities., Colleges, NGOs

- **NPDD:**

- **State Implementing Agencies SIAs –**

State Dairy Federations for States viz Andhra Pradesh, Bihar, Chhattisgarh, Gujarat, Haryana, Jharkhand, Karnataka, Kerala, Madhya Pradesh, Maharashtra Nagaland, Orissa, Punjab, Rajasthan, Tamil Nadu, Uttar Pradesh, West Bengal; and, Milk Unions in remaining States and UTs

- **End Implementing Agencies EIAs -**

District Milk Unions, New Generation Milk Producer Companies (which are functional for at least one full financial year ending on 31st March of the previous financial year –in respect of projects on PPP model), District Rural Development Authority/Zila Parishad/District Mission Management Units (in respect of projects where there is no District Dairy Cooperative Unions).

6.2.3 **Participating Agencies PIAs -**

Other agencies associated or affiliated to above SIAs or EIAs like NGOs, SHGs, Universities, Colleges, ICAR Institutes etc

- **BREEDING POLICY FOR BOVINES AND ATTENTION TO INDIGENOUS BREEDS.**

- NPBBDD will be implemented in the states which have a notified dynamic breeding **policy** and a definite **action plan** to operationalise the policy. **Refer to Annex-C**

- **INSTITUTIONAL SET UP FOR IMPLEMENTATION UNDER NPBBDD:**

- Funds will be released for the **NPBB** component to all SLDBs, being the State Implementing Agencies.
- All States where the process of transfer of breeding related assets – like semen stations, bull mother farms, semen banks and depots- from the Directorate of Animal Husbandry/dairy cooperatives, to the State Livestock Development

Boards has not been done shall complete the same within six months of the issue of these guidelines. .

- The SIAs will receive the project grants and channelize them to the End Implementing Agencies. Organogram for implementation of the scheme is given at **Annexure-D**
- Funds will be released for the NPDD component to all State Milk Federations/Milk Unions, being the State Implementing Agencies.
- Districts where there is no State Milk Federation or District Milk Union, DRDA/Zilla Parishad shall be the end implementing agency. For such districts, DRDA shall take up projects covering backward linking activities, while forward linking activities (i.e, setting up of milk processing plants) shall be on PPP model.
- New Generation Milk Producer Companies shall take up projects on PPP model through SIAs.
- Creation of a District level Implementation and Monitoring Committee under the Chairmanship of the Collector/District Magistrate/District Collector to meet on a regular basis.

SUPPLEMENTATION OF FUND-FLOW FROM SOURCES OTHER THAN NPBBDD:

- The States may continue to augment fund flow from their own resources towards recurring and maintenance costs.
- States can also augment fund flow from other sources like RKVY/other schemes having livestock component as well as multidisciplinary schemes of Ministry of Rural Development, Department of Agriculture & Cooperation, Department of Women & Child Development, Department of Biotechnology etc. This aspect is to be kept in view while formulating the proposals for NPBBDD..

INSTITUTIONAL MECHANISM FOR REVIEW AND MONITORING:

Central Level monitoring by DAHDF, GoI

- **NPBB:** Management Information System (MIS) in the form of INAPH will be utilized by the States. The reports MPR, and QPR should be submitted to DADF as per formats within the prescribed time frame such reports shall be discussed by DAHDF.
- **NPDD:** Central Management Information System (CMIS) shall be established. After CMIS is operational, all SIAs and EIAs (wherever applicable) need to obtain their USERID and PASSWORD from the Department. All QPRs and Audited Annual reports shall be submitted to this Department as per formats within the prescribed time frame. Such reports would be evaluated under third party and peer group review/monitoring mechanism.

State Level Monitoring by Technical Management Committee:

- **NPBB:** Meeting of the governing body of the EIAs/TMCs shall be organized after every six months (September and March) to review progress of

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technical, physical and financial parameters and to remove bottlenecks quickly. The activity components proposed to be taken up under the state sub-project should have quantifiable targets and a time frame so that progress can be monitored periodically.

- **NPDD:** Technical Management Committee under the Chairmanship of Secretary in charge of dairy development of the State, shall be constituted with membership from the Departments of planning, finance, Veterinary, dairy development, State Dairy federation/ District Milk Union, Project Director of DRDA of the respective State Govt. There shall be one member from DADF, GoI representing the scheme in TMC. Minimum of five members from the above shall constitute the quorum of TMC. TMC shall be organized after every six months (September and March) to review progress of technical, physical and financial parameters and remove bottlenecks quickly.
- **Annual Workshop for Monitoring** Audit Report and the same shall be discussed in Annual Workshop involving participating agencies and experts.
- Assistance is available under NPBBDD for installation of computers at strategic locations to facilitate close monitoring of the project. The governing body of the EIAs shall keep a close watch on the activities and will ensure that there is no duplication. The EIA shall give an undertaking to this effect while submitting the Project.
- EIA'S shall put in place an effective mechanism to reduce the gestation period of the projects to the barest minimum. This mechanism will be outlined in the Project Proposal.
- All EIA's shall follow the State Procurement Procedures and Guidelines. EIAs should attempt to streamline the process of procurement to develop synergies and cut down delays.
- Audited Annual Progress Report in the prescribed format shall be published by the EIAs within the prescribed time frame and circulated to all concerned.
- **Central Monitoring Units** and State Monitoring Teams will be constituted by the DADF and the SIA's respectively, for continuous monitoring and evaluation of the subprojects being implemented by the EIAs in the State.
- State Implementing Agencies/ End Implementing Agencies of the scheme shall comply with the Statutory guidelines vide Lok Sabha Secretariat's (Committee Branch II) Office Memorandum no. 18/1/2012-2013/CII/CLP dated 19.03.2013, to furnish audited accounts/ annual reports to enable this Department to lay their annual reports as per prescribed procedure for implementation of dairy development projects.
- **COST RECOVERY OF INPUTS & SERVICES TO DEPARTMENTAL AI NETWORKS - BUDGETARY SUPPORT THERE OF:**
- To ensure sustainability and viability of AI services, it is necessary to adopt a policy of recovering cost of inputs and services provided from the beneficiary

farmers. It is essential that the AI fees may be deposited into the account of the EIA for creation of a corpus.

- In case a State Government chooses to subsidise AI fees in the case of Govt./semi Govt. EIAs, then the concerned State Government must provide adequate budgetary support to the EIA .

- **MEASURES TO ENSURE QUALITY OF GOODS AND SERVICES**

- Standards and specifications in the form of MSPs/SOPs formulated by GOI for Semen Stations, Pedigree Selection, Progeny Testing, AI technicians and bulls for Natural Service shall be implemented in letter and spirit.
- States should also formulate standards for the field AI network.
- Standards formulated by BIS for cryocontainers, castrators, AI consumables; feed, machinery, equipments etc shall be followed.

- **ACTIVITY COMPONENTS TO BE FUNDED**

- **The list of the activities which will be funded under NPBB are as follows:**

- **Extension of Field AI Net work**

- Establishment of Private AI centres
- Training of private AI workers
- Equipments
- Tapering grants
- Refresher training of private AI workers (Rs 3000/worker)

- **Strengthening existing AI centres**

- Replacement of cryocontainers
- Refresher training of existing AI workers

- **Monitoring of AI programme**

- 13.1.3.1 Identification of females covered through AI (cost of tag)
- 13.1.3.2 Identification AI born calves

- **Computerization**

- **13.1.4 Development and conservation of indigenous breeds**

- Field performance recording
- Bull production programme (Natural Service)
- Registration of bulls used for natural service
- Reward to best bull keeper
- Establishment of breeders associations
- Assistance to Gaushalas (best germplasm)

- **Managerial grants to SIA and grants linked to activities**

- Managerial grants
- Concurrent evaluation

- **Manpower development**

- Development of training module & accreditation of training centres
- Establishment/Strengthening training centres
- Establishment of regional training centres

- Trainers training programme
- Training of professionals
- Organization of seminars & workshops
- **Strengthening LN transport and distribution system**
 - Bulk LN transport storage & distribution system upto AI centres
 - Replacement of LN plants (in NER, J&K & Ooty)
- **Procurement of bulls for natural service and AI**
 - Procurement of male calves
 - Feeding of male calves Procurement of bulls for AI
- **Any other related items**
Further details of the above activities and mode implementation is given at **Annexure-D**

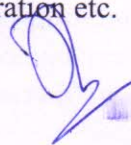
• **The list of the activities which will be funded under NPDD are as follows:**

- **Milk Chilling facilities at village, block, district level.**
- **Civil works**
- **Equipment for bulk milk coolers, chilling centres.**
- **Milk Processing & Marketing**
 - Processing and Marketing facilities [civil works and equipments for milk processing plants (including boiler and refrigeration system etc), milk powder plants, Milk product plants, transportation tankers, including refrigerated tankers, cold storage etc]
 - Establishment of dairy marketing outlet/parlour (not limited to establishment within the state)
 - Marketing infrastructure for preserving/ maintaining quality of milk i.e, insulated/refrigerated tanks/vans, deep freezer, Visi-coolers, refrigerators etc.
 - Assistance for campaigning to increase awareness about advantages of clean milk production/ consumption of pasteurized milk to milk producers/consumers.
 - Can/Crate Washing facility/system.
 - Effluent Treatment plant (ETP) including civil works.
- **Milk Procurement**
 - Capital Investment for DCS (including DCS - Building construction, Power supply/DG set, water supply system etc.)
 - Collection of Milk through road milk tankers/ truck/van and/ or cans
 - Management grant to DCS (on tapering basis- for 3-years only)
 - Management grant to Union (for federations/unions, which do not have accumulated profit)
 - Transport subsidy on milk transport/ head load charges
 - Transport subsidy on cattle feed transport
 - Incentive for better quality milk
- **Cattle Shed**
 - Cattle Shed Construction (new shed construction/ strengthening for old sheds) (Civil works, fodder block storage godowns, Cattle feed godowns, Water supply system, Power supply system, Vermi-compost unit)
 - Cattle farm mechanization (equipment, mechanization systems, tractor, D.G set)


- **Cattle Induction**
 - Purchase of animals
 - Purchase of Heifer
 - Cattle/heifer insurance
 - Transportation cost of animals
- **Construction/Establishment of Milk and Milk Product Testing Laboratories**
 - At DCS/village level laboratories/ at Bulk Milk Cooler (BMC) centers/At District level laboratories/At State level laboratories including purchase of laboratory equipments as per FSS Act/Codex
 - Purchase of laboratory equipments (for chemical/ microbial (only for union/state level) analysis of milk and milk products)
 - Purchase of laboratory furniture
 - Purchase of vehicle/van/motorcycles for mobile testing laboratory for sample collection/spot testing of milk and milk products)
 - System for quality assurance (HACCP/ISO) including equipment/computer hardware and software etc
 - Accreditation and certification of dairy establishments under HACCP/ISO
- **Clean Milk Production Kit (for beneficiaries)**
 - Detergent and sanitizer kit/ accessories
 - Stainless Steel utensil kit/ accessories
 - Milking machine & other equipments for hygienic milk handling at village/farmer level.
- **Technical Input Services**
 - Fodder Development
 - Pasture Development
 - Fodder Seeds/Mini Kits Distribution
 - Chaff cutter
 - Fodder Storage Go downs
 - Fodder Block making unit
 - Tractor with trolley
 - Cattle Feed Development
 - Cattle Feed Storage
 - Cattle Feed Plant (compounding/ mixing & grinding plant)
 - Vehicle for feed transport (Trucks)
- **Information and Communication Technology Networking**
 - Purchase of Computers/handheld terminals with accessories
 - Purchase of Server System
 - Purchase/installation of Software systems (milk collection/distribution/billing, quality assurance, employee payroll, operating systems, antivirus etc)
 - Facilities for registration with RFID tag (including equipments/hand held devices for animal identification and data recording for Bolus tagging) for animals inducted under the programme
- **Manpower and Skill Development**
 - Co-operative Development Programme
 - Farmer Induction Programme/Training of farmers

- Training of DCS staff/BMC/chilling centre
 - Training of farmers in good hygienic practices/ good manufacturing practices.
 - Training of farmers for animal rearing/husbandry practices
 - Training of Dairy Personnel/milk tester (including Plant and Marketing staff)
 - Training of Management Committee Members & Board of Directors of Union
 - Institutional skill development (by implementing agencies)
 - A.H/ Dairy Extension activities (including ration balancing programme, use of area specific mineral mixture, Azolla cultivation).
- **Working Capital (including purchase of milk powder, packaging material, cattle feed and fodder) - Limited to not more than procurement price for 21 days of the targeted milk procurement.**
- **Rehabilitation of defunct/sick milk unions/federations**
 - Outstanding milk bill payments.
 - Working capital for purchase of milk, cattle feed and packaging material - Equivalent to not more than cost of 21 days of targeted milk procurement
 - Strengthening of plant building and plant & machinery.
- **Planning and Monitoring**
 - **Pre-project Baseline survey** (by independent agency) and preparation of **project report**
 - **Concurrent evaluation** and in-depth independent evaluation of the project and **Post-project impact assessment survey**
- **Centralised MIS facility for DADF, Government of India for improved monitoring and control in implementation of projects under the scheme.**
[Note – All or some of the above Major components as per actual needs of the project areas shall be considered for funding under the project under NPDD. This list provides for major components along with their sub-components.]
- **Maximum project cost will be:**
 - Rs. 25.00 Crore for projects with processing capacity of 1.00 Lakh Litre Per Day, and
 - Rs 15.00 Crores for projects with processing capacity upto 50 Thousand Litre Per Day.
 - Rs. 10 .00 Crore for projects with processing capacity upto 20 Thousand Litre Per Day.

{All above in SN 13.2}
- **PROJECT PREPARATION AND SUBMISSION OF PROPOSAL**
- A Situation Analysis shall be undertaken and shall include: a) Pre project Base line Survey by an independent Agency; b)funding under earlier programmes, c) role and capabilities of different players ; and d)area of operation etc.


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- The Project/subproject Proposals under NPBBDD shall ensure optimal resource utilization and shall discourage avoidable expenditure and duplication/ overlap of activities.
- Special efforts must be made to re-commission idle equipment and equipment that is damaged but repairable. Proposal for fresh procurement shall be made only after making a realistic need assessment.
- The proposal may be prepared by furnishing requisite information as per prescribed Factsheet and Annexure I to Annexure XVII of the guideline. Guideline/ procedure for preparing of a new project proposal along with prescribed annexure I to XVII may be obtained from the DADF website.
- The SIA's shall formulate a single comprehensive proposal for the State covering the requirement of the State and including the Projects/ Sub-Projects of the EIAs .
- Six copies of the Detailed Project Report should be submitted to DAHDF timely, for appraisal and approval by the Project Sanctioning Committee.


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Essentials of State Breeding Policy and Action Plan

- The breeding policy should be dynamic and, inter alia, cover the areas of: demand of milk, requirement of draught animal power for agricultural and transportation purposes, need to conserve breeds and breeding tracts, farming systems, production environments and availability of inputs as well as marketing channels.
- The action plan may include study of areas not covered under AI with a view to obtain a clear picture of natural mating systems so that a programme of phasing out of scrub bulls can be taken up by castration of scrub bulls and their replacement with good quality bulls of a suitable breed or increasing acceptance of AI. An effort may have to be made to propagate the advantages of AI among the farmers.
- The action plan will also have to address the issue of sourcing quality bulls of each category/genetic make-up, and identify either breeding tracts or breeding farms from where such bulls can be obtained. Simultaneously programmes are proposed to be taken up for production of quality bulls for natural service during the proposed scheme.

Annexure-C
ORGANOGRAM

NATIONAL PROGRAMME FOR BOVINE BREEDING**State Livestock Development Board**

- Distribution of semen and LN
- Estab/monitoring of MAITRI
- Bull production NS
- Bull procurement for AI & NS
- AITS
- Dev of indigenous breeds

Milk Fed

- Estab/monitoring of MAITRI
- Bull production programme for NS
- Management of AITS
- Dev of indigenous breeds

DAH

- Monitoring of: govt AIC, AITS
- Distribution of LN and semen in States not constituted LBD
- Estab/monitoring of MAITRI

State Implementing Agency (SIA)

Formulation of proposal

Receive project grants directly from HQ

Channelize grant to EIAs

State level review committee

Submission of UC/Annual report/audit report through State Government

State Government

- Notification of Breeding Policy
- Recommendation of proposal

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Details of the Activities Covered under National Programme for Bovine Breeding (NPBB) and Mode of Implementation

- **Streamlining Storage and Supply of Liquid nitrogen:**

It is proposed that the gains made during implementation of National Project for Cattle and Buffalo Breeding in streamlining supply of liquid nitrogen will be consolidated further. Infrastructure for bulk transport, bulk storage and supply of liquid nitrogen will be created under the component. Funds will also be made available to the hilly and North Eastern States for procurement of LN plant.

- **Bull Production Programme:**

This component will be undertaken to produce bulls only for natural service. Component is proposed to be accomplished through field performance recording programmes by State Implementing Agencies, Dairy Cooperatives, Breeders Associations and other agencies. Under the component identification and tagging of superior germplasm and rearing of male calves suitable for breeding at calf rearing centres up to breeding age will be done. Incentive to the farmers is also proposed under the component. Bulls of mainly indigenous breeds will be produced under the component. Agencies engaged in bull production programme for natural service will strictly adhere to Standard Operating Procedure for production of bulls for natural service.

- **Distribution of Disease Free Bulls of known Genetic Merit for Natural Service:**

Quality bulls for natural service will be distributed in the areas which are not under AI coverage. Some of the owners of indigenous breeds in the breeding tract do not accept AI for breeding their animals and resort to natural mating. Quality breeding bulls will be provided to these breeders to avoid degeneration of their stock. Bulls for natural service will be sourced from the progeny testing areas covered under National Dairy Plan-I and bull production programme proposed to be taken up under National Programme on Bovine Breeding (NPBB). Bulls will be given to bull keepers identified by Gram Panchayats on 50% subsidy basis. Funds are also proposed under the component for regular testing of bulls against Brucellosis, Tuberculosis, Johnes disease, etc. All the bulls proposed to be provided under the component will be insured for a maximum of three years. In order to avoid inbreeding bulls for natural service are proposed to be rotated between villages after every three years.

- **Quality Control of Goods and Services at Sperm Stations, Semen Banks and Training Institutions:**

This is proposed to be achieved through formulation of SOPs and MSPs and evaluation of semen stations, semen banks and training centres by CMUs. Strengthening of A & B graded semen stations will be covered under NDP-I. Semen produced by C & D graded semen stations will not be utilized under NPBB. States maintaining C & D graded semen stations will be requested to upgrade the quality of semen station to A & B or to lose the operation of these stations and to procure semen straws from A & B graded semen stations for use in breeding programme supported under NPBB.

- **Extension of Private Mobile AI Practice for Door-Step Delivery:**

This is proposed so that private mobile AI practice for door-step delivery will be further extended by introduction of 30,000 new private AI workers. This will be accomplished

by extensive training in AI, support for acquisition of equipments, tapering grants during initial practice period, performance linked incentives and provision for regular delivery of frozen semen and liquid nitrogen at cost. Private AI workers will be trained at accredited training centres. The basic training will not be less than 3 months and not more than 6 months. Uniform training module for training of private AI workers will be developed in consultation with the experts from States, NGOs and NDDB. Private AI workers will be established through service providers engaged by the participating States. It is proposed that initially private AI worker proposed to be established under NPBB will be under the control of service providers and after 3-5 years these workers will be managed by Panchayati Raj Institutions. Private AI workers proposed to be established under NPBB will be multipurpose workers along with AI they will take up veterinary first aid, vaccination, agent for livestock insurance, ration balancing, milk recording, data entry in national database, agent for distribution of fodder seeds root slips and stem slips etc. Demonstration on feed management, health management breeding management is also proposed to be conducted through these private AI workers under NPBB. Local resource person(LRP) proposed to be established under NDP-I will also be considered during establishment of private AI workers.


- **Replacement of Equipments and Cryocontainers at AI centre:**

Cryocontainers and AI kits need replacement after every 5 years in order to maintain quality of breeding programme. Funds are proposed under the project for replacement of cryocontainers and AI kit (AI kit bag, straw cutter, thermometer, thawing kit, AI gun, AI gun holder, AI sheath holder, dip stick, stove, thermos flask etc).

- **Control of Infertility among Bovines:**

This is proposed to be achieved through organization of fertility camps, farmers training programme. Funds are required under this component to purchase medicines including hormones to control infertility among dairy animals. Each State will be requested to train at-least 50 male farmers and 50 female farmers during the camp. **Estrus synchronization** will be also be taken up in some areas of advanced dairy States on pilot basis under the component. States will be

- The project will also sanction any other component not listed above but considered essential and consistent with its objectives for successful implementation of the project.
- Following priorities are set for implementation of the scheme during current year:
 - Strengthening existing semen stations graded as C & D by CMU
 - Streamlining LN storage, transport and distribution system
 - Training and retraining of existing private AI worker to establish them as multipurpose worker
 - Development and conservation of indigenous bovine breeds including Mithuns
 - Establishment of private AI workers in areas not covered under AI
 - Procurement of bulls for natural service
 - Testing and registration of bulls used in natural service


Ministry of Agriculture
Deptt. of A. H. D. & Fisheries
Krishi Bhawan, New Delhi

OPERATIONAL GUIDELINES FOR IMPLEMENTATION OF RASHTRIYA GOKUL MISSION

'Rashtriya Gokul Mission' (RGM), aimed at conservation and development of indigenous bovine breeds, will be implemented as a part of Centrally Sponsored Scheme "National Programme for Bovine Breeding and Dairy Development".

1. OBJECTIVES :

- a) To undertake breed improvement programme for Indigenous Breeds so as to improve the genetic makeup and increase the stock.
- b) To enhance milk production and productivity of Indigenous Bovines.
- c) To upgrade nondescript cattle using elite indigenous breeds like Gir, Sahiwal, Rathi, Deoni, Tharparkar, Red Sindhi.
- d) To distribute disease free high genetic merit bulls of indigenous breeds for natural service.

2. DURATION OF THE PROJECT:

Rashtriya Gokul Mission will be implemented throughout the country during 12th Five Year Plan (2014-2017) as a part of National Programme for Bovine Breeding and Dairy Development (NPBBDD).

3. SCOPE AND AREA OF OPERATION:

- 3.1 **Area:** Rashtriya Gokul Mission will be implemented throughout the country.
- 3.2 **Scope:** All components of NPBB will be eligible for financing under RGM.

4. FUNDING PATTERN:

- 4.1 RGM provides for 100% grant-in-aid for all eligible components. Any other activity which is essential and critical to the Project and RGM may also be considered.

5. IMPLEMENTING AGENCIES:

5.1 State Implementing Agencies (SIA's) -

State Livestock Development Boards

5.2 End Implementing Agencies (EIA's) -

- State Livestock Development Boards
- State Animal Husbandry Departments,
- State Milk Federations
- CFSP&TI, CCBFs



5.3 Participating Implementing Agencies (PIA's)-

Other agencies having a role in Bovine Development like, ICAR, Universities, Colleges, institutions. PIAs will submit Projects in financial and technical association with EIA's

6 BREEDING POLICY FOR BOVINES AND ATTENTION TO INDIGENOUS BREEDS.

RGM will be implemented in the states which have notified a dynamic breeding policy and a definite action plan to operationalise the policy.

7. INSTITUTIONAL SET UP FOR IMPLEMENTATION UNDER NPBBDD:

- 7.1 Funds will be released to State Implementing Agencies(SIA's).
- 7.2 The SIAs will submit proposal on the behalf of all Agencies and as well as channelize funds to the End Implementing Agencies (EIA's). Organogram for implementation of the Scheme is at **Annexure-A**.

8. SUPPLEMENTATION OF FUND-FLOW FROM SOURCES OTHER THAN NPBBDD:

- 8.1. The States may augment fund flow from their own resources towards recurring and maintenance costs.
- 8.2. It is also expected that every effort at convergence would be made in the project formulation by the States utilizing sources such as RKVY and multidisciplinary schemes of Ministry of Rural Development, Department of Agriculture & Cooperation, Department of Women & Child Development, Department of Biotechnology etc.

9. INSTITUTIONAL MECHANISM FOR REVIEW AND MONITORING:

- 9.1 **Central Level monitoring by DAHDF, Government of India:** State will use Management Information System (MIS) to submit reports viz. Monthly Progress Report (MPR), and Quarterly Progress Report (QPR) to Government of India as per prescribed formats, within the stipulated time frame.
- 9.2 **CMUs and SMUs:** Central Monitoring Unit (CMU) and State Monitoring Units (SMU) will be constituted by the DADF and the SIA's respectively.
- 9.3 **State Level Monitoring by Technical Management Committee:** Meeting of the governing body of the EIAs/TMCs shall be held every six months to review progress of technical, physical and financial parameters.
- 9.4 Annual Workshop of all stake holders should be conducted by the State Monitoring and Review.

- 9.5 All EIA's shall follow the State Procurement Procedures and Guidelines.
- 9.6 Audited Annual Progress Report in the prescribed format shall be published by the EIAs within the prescribed time frame and circulated to all concerned.

10 MEASURES TO ENSURE QUALITY OF GOODS AND SERVICES

- 10.1 Standards and specifications in the form of MSPs/SOPs formulated by Government of India shall be implemented in letter and spirit.
- 10.2 Standards formulated by BIS for cryocontainers, castrators, AI consumables; feed, machinery, equipments etc shall be followed.

11 ACTIVITY COMPONENTS TO BE FUNDED

The list of activities eligible for funding is as follows:

- (a) Strengthening of bull mother farms for conservation high genetic merit indigenous bovine Breeds.
- (b) Assistance to Institutions/Institutes which are repositories of best germplasm.
- (c) Implementation of Pedigree Selection Programme for the Indigenous Breeds with large population.
- (d) Induction of disease free high genetic merit bulls of indigenous bovine breeds for natural service.
- (e) Establishment of Breeder's Societies ("**Gopalan Sangh**").
- (f) Heifer rearing programme.
- (g) Establishment of Field Performance Recording (FPR) in the breeding tract.
- (h) Incentive to farmers maintaining elite animals of indigenous bovine breeds.
- (i) Organization of Milk Yield Competitions.
- (j) Award to Breeders' Societies ("**Kamadhenu**")
- (k) Establishment of Village level Integrated Indigenous Cattle Centres viz "**Gokul Gram**": will be covered under the component "any other activity" related to cattle and buffalo development.
- (l) Organization of Training Programme for technical and non technical personnel working at the Institutions engaged in cattle development.

12 PROJECT PREPARATION AND SUBMISSION OF PROPOSAL

- 12.1 A Situation Analysis shall be undertaken and shall include:
- a) Pre project survey;
 - b) Funding under earlier programmes,
 - c) Role and capabilities of different players ; and
 - d) Area of operation etc.
- 12.2 The Project/subproject Proposals under RGM shall ensure optimal resource utilization and will discourage avoidable expenditure and duplication/ overlap of activities.
- 12.3 Special efforts will be made to re-commission idle equipment and equipment that is damaged but repairable. Proposal for fresh procurement shall be made only after making a realistic need assessment.
- 12.4 The SIA's will formulate a single comprehensive proposal for the State taking into account the requirement of the State for conservation and development of indigenous bovine breeds.
- 12.5 Six copies of the Detailed Project Report should be submitted to Government of India timely, for appraisal and approval by the Project Sanctioning Committee.



(K. C. PATRA)
Under Secretary
Govt. of India
Ministry of Agriculture
Deptt. of A. H. D. & Fisheries
Krishi Bhawan, New Delhi

ORGANOGRAM
RASHTRIYA GOKUL MISSION

Annexure-A

Project Head Quarter
DAHDF

- PSC
- CMUs
- SOPs
- MSP

State Government

- Notification of Breeding Policy
- Recommendation of proposal

State Implementing Agency (SIA)

- Formulation of proposal
- Receive project funds through State Government
- Channelize funds to EIAs
- State level review committee
- Submission of UC/Annual report/audit report through State Government

END IMPLEMENTING
AGENCIES

State Livestock Development
Board

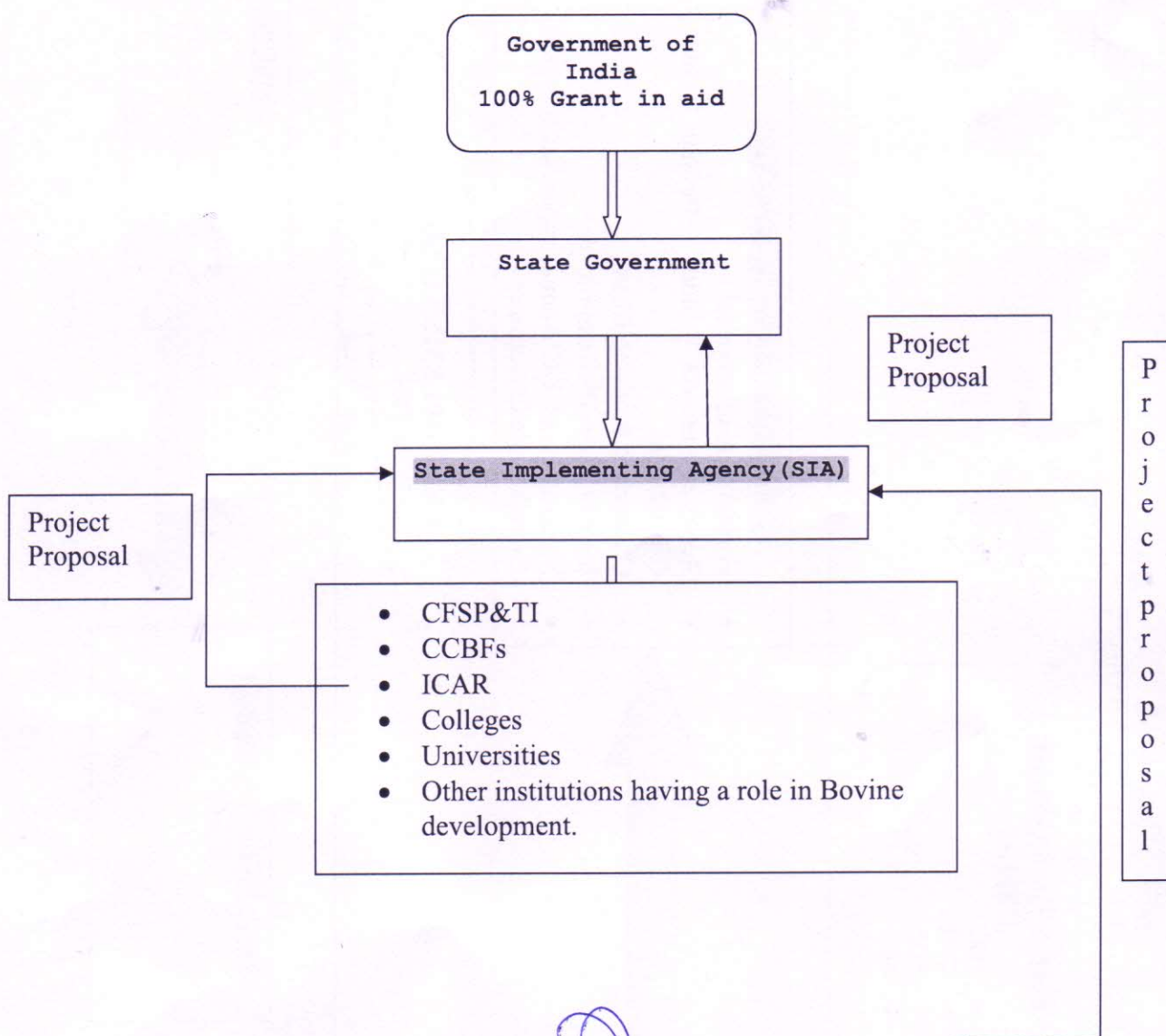
Milk Fed

DAH

- Monitoring of: the Scheme

(K. C. PATRA)
Under Secretary
Govt. of India
Ministry of Agriculture
Dept. of A. H. D. & Fisheries
Krishi Bhawan, New Delhi

SCHEMATIC FUND FLOW DIAGRAM




(Signature)
 (ATRA)
 Secretary
 Ministry of India
 Ministry of Agriculture
 Dept. of A. H. D. & Fisheries
 Krishi Bhawan, New Delhi

Land required for establishment of Gokul Gram

S. No.	Infrastructure	Unit	Land Required (in sq m)
1.	Cattle Sheds	For 1000 animals 20sq m/animal	20,000
2.	Calf Pens	For 600 calves 10 sq m/calf	6000
3.	Isolation shed	200 sq m for 10 animals	200
4.	Administrative block	300 sq meter	300
5.	Fodder store room	300 sq meter	300
6.	Feed store room	200 sq meter	200
7.	Open Paddock for animals	30 sq meter /animal	48000
8.	Veterinary dispensary	100 sq meter	100
9.	Bio gas plant	1000 sq meter	1000
10.	Manure pits	2000 sq meter	2000
11.	Silage pits	3000 sq meter	3000
12.	Lab(urine distillation)	1000 sq meter	1000
13.	Water body	4000 sq meter	4000
14.	Fodder Block making Unit	1000 sq meter	1000
15.	Vermi compost pits	4000 sq meter	4000
16.	Garage for tractor and other equipments	500 sq meter	500
17.	In-house fodder production	half acre /adult animal	2023428
	Total		2115028

Note: Total Land required comes to 522 acres to maintain 1000 animals at Goukul Gram.


 (K. C. PATRA)
 Under Secretary
 Govt. of India
 Ministry of Agriculture
 Deptt. of A. H. D. & Fisheries
 Krishi Bhawan, New Delhi

F. No. 3-1/2016-AHT(NPBB)
Government of India
Ministry of Agriculture & Farmers Welfare
Department of Animal Husbandry, Dairying and Fisheries

Krishi Bhawan New Delhi
Dated the 13th April, 2017

To,

The Pay & Accounts Officer
Department of Animal Husbandry, Dairying and Fisheries
Akbar Road
New Delhi

Subject: Administrative approval for implementation of National Mission on Bovine Productivity (NMBP) from 2017-18

The undersigned is directed to convey the Administrative Approval for implementation of National Mission on Bovine Productivity in the year 2017-18 with an allocation of Rs 60 crores.

2. The Mission will be implemented with following four components:

- (i) *Pashu Sanjivni*: an Animal Wellness Programme encompassing provision of Animal Health cards ('*Nakul Swasthya Patra*') along with UID identification and uploading data on National Data Base;
- (ii) Advanced breeding Technology: including Assisted Reproductive Technique-IVF/MOET and sex sorted semen technique to improve availability of disease free high genetic merit female bovines;
- (iii) Creation of "*E- Pashudhan Haat*"-*Nakul Prajnan Bajar*: an e- market portal for bovine germplasm for connecting breeders and farmers and
- (iv) National Bovine Genomic Centre for Indigenous Breeds (NBGC-IB).

3. The NMBP will be implemented with the following major objectives with special reference to farmers from socio-economically weaker sections and doubling their income:

- (i) To enhance milk production and productivity of bovine population by increasing population of disease free high genetic merit female population and check on spread of diseases.
- (ii) To improve quality of dairy animals, milk and milk products.
- (iii) To increase trade of livestock and livestock products by meeting out sanitary and phytosanitary (SPS) issues.
- (iv) To create e-market portal for bovine germplasm for connecting breeders and farmers, specially from socio-economically weaker sections.
- (v) To increase farmers income as a part of goal set by Hon'ble PM for doubling farmers income by 2022.


12/4/17
HARBANS LAL
Under Secretary
Govt. of India
D/o Animal Husbandry Dairying & Fisheries
M/o Agriculture & Farmers Welfare
Krishi Bhawan New Delhi

4. The activities covered under NMBP along with pattern of assistance is as under:

S. No.	Component	Pattern of Assistance (Central: State Share)
1	Pashu Sanjivni	
a)	Procurement Tags (88 million and replacement of tags @ 5% per annum)	60:40 ^a
b)	Health cards	60:40 ^a
c)	50,000 Tag applicators	60:40 ^a
d)	50,000 Tablets/computerization	60:40 ^a
2	Advanced Reproductive Technique	
a)	Introduction of sex sorted semen production technology at 10 semen stations (establishment cost of machines)	60:40 ^a
b)	Cost of sex sorted semen production (for 1 year)	60:40 ^a
c)	Research & Development activities	100*
d)	Establishment of IVF/ MOET labs	100
3	E-Pashu Haat-	100
4	National Bovine Genomic Centre for Indigenous Breeds	100

Note: i) *To be funded through the own budget of the Department of Biotechnology
ii) @90:10 for 8 NE States and 3 Himalayan States

5. The National Mission on Bovine Productivity will be implemented by the State Livestock Development Boards, State Animal Husbandry Departments, ICAR Institutes, Milk Federations and NDDB. Funds under the Mission will be released directly to the implementing agencies.

6. The State proposals will be scrutinized by the Department of Animal Husbandry Dairying & Fisheries and sanctions will be issued with the approval of the competent authority.

7. Participating States/State Implementing Agency will supply information on number of people belonging to **Schedule Castes**, **Scheduled Tribes** and **Women** benefited from the scheme on quarterly basis. It may be ensured that 16.2% and 8% of the funds are targeted for SC and ST farmers/beneficiaries respectively under Scheduled Castes Special Plan (SCSP) and Tribal Sub Plan (TSP) as per directives of Niti Aayog

8. Participating States/State Implementing Agencies will submit quarterly progress reports (QPR), annual report, audit reports etc along with utilization certificate in the prescribed formats. The funds released under the project will be subjected to AG Audit of the concerned State.

9. For utilization of funds under this project it is mandatory for complying with the provisions under Right to Information (RTI) Act, 2005. In pursuance of the above, SIAs should also seek an undertaking from the NGOs to the effect that they would abide by the provision of the RTI Act, if the funds be utilized through them.

[Signature]
HARBA
Under Secretary
Govt. of India
D/o Animal Husbandry, Dairying & Fisheries
Min. Agriculture & Farmers Welfare
Krishi Bhawan, New Delhi

10. **This Administrative approval is being issued subject to the following –**

- a) The scheme of National Mission on Bovine Productivity (NMBP) was originally approved upto 2018-19. However, it is proposed to be included as a component of 'Rashtriya Gokul Mission' under Centrally Sponsored Scheme of 'White Revolution' from 2017-18 onwards, for which approvals are being taken separately.
- b) Pending approval of 'Rashtriya Gokul Mission', Department of Expenditure, Ministry of Finance, vide ID Note No. 05(02)/PF.II/2016, dated 27.4.2017 has permitted release of funds for NMBP from the budget Head 'Rashtriya Gokul Mission', for a six month period i.e. upto 30.9.2017.
- c) The norms of assistance for various components shall be the same as already approved by the Government and no change/modification/addition shall be permissible in scheme components / operational guidelines during this period.
- d) Provisions of General Financial Rules, 2017 shall henceforth be applicable.
- e) Release of funds shall be as per Cash Management System guidelines issued by Budget Division, Department of Economic Affairs, Ministry of Finance vide OM No.4(10)-W&M/2016, dated 4.8.2016.

11. The release of funds shall be booked under the following Budget Heads –

- a. Major head 2403- Animal Husbandry
 - 102-Cattle and Buffalo Development
 - 20-White Revolution
 - 03-Rashtriya Gokul Mission (for states implementing agencies)
 - 31-Grants-in-aid-General
- b. 2552- North Eastern Areas
 - 260-Animal Husbandry – Cattle and Buffalo Development
 - 08-White Revolution
 - 01-Rashtriya Gokul Mission (for NER states and Sikkim)
 - 31-Grants-in-aid-General
- c. 3601-Grants in aid to State
 - 06-Centrally Sponsored Scheme
 - 101-Central Assistance/ Share
 - 56- White Revolution
 - 01- Rashtriya Gokul Mission (for States)
 - 31-Grants-in-aid-General

12. This issues with the approval of Joint Secretary (CDD), vide Dy. No. 757, dated 13 April 2017

Yours faithfully,

(Harbans Lal)
Under Secretary to the Government of India

Distribution:

1. Principal Secretary/Secretary, Department of Animal Husbandry/Dairy Development, All States and UT's (speed post)

Govt. of India
O/o Animal Husbandry, Dairying & Fisheries
Ministry of Agriculture & Farmers Welfare
Krishi Bhawan, New Delhi

2. Niti AAYog, Agriculture Division (special messenger)
3. Accountant General, AGCR Building, New Delhi-110002. (Special messenger)
4. Chief Controller of Accounts, DAC, Krishi Bhavan New Delhi.
5. Managing Director, Milk Federation, All States and UTs
6. Director of Animal Husbandry of all States and UT's (Speed post)
7. Chief executive officers of the concerned States.
8. Guard file

Copy for kind information to:

1. PS to Hon'ble AM
2. PS to Hon'ble MOS
3. PS to Hon'ble MOS
4. PS to Hon'ble MOS
5. PPS to Secretary (AD&F)
6. PPS to AHC
7. PPS to AS &FA
8. PS to JS PF-II, Department of Expenditure, North Block New Delhi
9. PS to JS(C&DD)/Dir (DD)/JC (AH)/AC(BT)/AC(CD)
10. US(Fin)/AO(budget)

Under Secretary to the Government of India

Harbans Lal
 (Harbans Lal)
 Under Secretary
 Govt. of India
 D/o Animal Husbandry, Dairying & Fisheries
 M/o Agriculture & Farmers Welfare
 Krishi Bhavan, New Delhi

F.No.22-23/2011-DP
Government of India
Ministry of Agriculture & Farmer's Welfare
Department of Animal Husbandry, Dairying & Fisheries

Krishi Bhawan, New Delhi-110001
Dated the 10.04.2017

OFFICE MEMORANDUM

Subject: - Administrative Approval of Central Sector Scheme "National Dairy Plan Phase-I (NDP-I)" during 2017-18.

In continuation to this Department's OM of odd no. dated 28.04.2016, the undersigned is directed to convey the administrative approval of Government of India for continuation of Central Sector Scheme "National Dairy Plan" phase I during the year 2017-18. The objectives of the scheme are as follows:-

- a) To help increase productivity of milch animals and thereby increase milk production to meet the rapidly growing demand for milk
- b) To help provide rural milk producers with greater access to the organised milk-processing sector.

These objectives would be pursued through the adoption of focused scientific and systematic processes in provision of technical inputs supported by appropriate policy and regulatory measures.

3. NDP-I will be implemented with a total investment of about Rs. 2,242 crore comprising Rs.1584 crore as International Development Association (IDA) credit, Rs.176 crore as GoI share, Rs.282 crore as share of End Implementing Agencies (EIAs) that will carry out the projects in participating States and Rs.200 crore by National Dairy Development Board (NDDB) for providing technical and implementation support to the project.

4. Pattern of funding under the scheme will be 100% grant-in-aid for nutrition and breeding activities. In the case of new semen station, 25% of the project cost of the capital expenditure and in the case of village based milk procurement systems, 50% of the cost of capital items will be shared by the End Implementing Agencies. Administrative expenses including training expenses under the scheme would be kept within the admissible 6% ceiling of total expenditure proposed under the scheme.

5. The key components of NDP-Phase I are:

[A]. Productivity Enhancement

- a) Production of high genetic merit (HGM) cattle and buffalo bulls and import of Jersey/ HF Bulls for semen production
 - a. Progeny testing

(M. C. PATRA)
Under Secretary
Govt. of India
Ministry of Agriculture
Deptt. of A. H. & Fisheries
Krishi Bhawan, New Delhi

- b. Pedigree Selection
 - c. Import of bulls (equivalent embryos)
- b) Strengthening existing semen stations / starting new stations for producing high quality disease free semen doses
 - a. Strengthening existing semen stations – (A & B graded semen stations only)
 - b. New Semen stations
- c) Setting up a pilot model for viable doorstep AI delivery services (based on Standard Operating Procedures [SOPs]) through a professional service provider including animal tagging and performance record
- d) Improving nutrition of milch animals to produce milk commensurate with their genetic potential and for reducing methane emission
 - a. Ration Balancing Program
 - b. Fodder Development

[B]. Village based milk procurement systems for weighing, testing quality of milk received and making payment to milk producers


- a) Milk weighing, testing and collection
- b) Milk cooling
- c) Support for creating institutional structure
- d) Training

[C] Project Management and Learning

- a) ICT Based MIS
- b) Learning & Evaluation

6. NDP-I is focusing on 18 major milk producing States (after bifurcation of Andhra Pradesh into Andhra Pradesh and Telangana) viz; Andhra Pradesh, Bihar, Chhattisgarh, Gujarat, Haryana, Jharkhand, Karnataka, Kerala, Madhya Pradesh, Maharashtra, Odisha, Punjab, Rajasthan, Tamil Nadu, Telangana, Uttarakhand, Uttar Pradesh and West Bengal which account for over 90% of the country's milk production. Coverage of NDP I will however be across the country in terms of benefits accruing from the scheme.

7. The scheme is to be implemented by NDDB through end implementing agencies (EIAs) comprising State Livestock Boards, State Cooperative Dairy Federations, District Cooperative Milk Producer Unions, cooperative forms of enterprises such as Producer Companies, Trusts (NGO's, Section 25 companies), subsidiaries of statutory bodies, ICAR institutes and Veterinary/Dairy Institutes/Universities and any other entity as may be decided by the National Steering Committee to be set up under the NDP-I. The EIAs will be eligible for funding of various components based on the eligibility criteria which will comprise of geographical, technical, financial and governance parameters.


 Secretary
 Govt. of India
 Ministry of Agriculture
 Dr. A. R. D. & Fisheries
 Krishi Bhawan, New Delhi

8. NDP-I is to be implemented in States where the respective state governments commit to undertake the necessary regulatory/ policy support to prepare an environment for successfully implementing the scheme. The regulatory / policy support to be provided by the state governments are:

- a) Having in place an appropriate breeding policy;
- b) AI delivery services not being notified as a Minor Veterinary Service (MVS);
- c) Charges for AI delivery being raised gradually to cover full cost;
- d) Semen for AI delivery in the state being sourced only from semen stations graded A or B;
- e) Adoption of common protocols and SOPs issued by DADF for all breeding activities; and
- f) Notification of State Rules under the Prevention and Control of the Infectious Diseases in Animals Act.

9. Projects under the scheme will be approved and monitored by the Committees as indicated below.

a. **National Steering Committee (NSC)** chaired by Secretary, DADF, GoI would approve State Plans, Annual Action Plans, sanction release of funds to NDDB as well as re-appropriation of funds, and generally oversee and review implementation of NDP I. The NSC would have the authority to consider and approve changes in eligibility criteria with reference to implementing agency, project area, norms of unit cost of components/items, composition of National & Project Steering Committees, component structure and re-appropriation proposals. The composition of the NSC will be as below:

- a. Secretary, DADF, GoI – Chairman,
- b. Chairman, NDDB,
- c. Animal Husbandry Commissioner, GoI,
- d. Additional Secretary & Financial Adviser, DADF,
- e. Joint Secretary (Dairy Development), DADF,
- f. Principal Secretary/Secretary (AH & Dairying) (from two States on rotation basis)
- g. Managing Director, NDDB as Mission Director, NDP I

b. **Project Steering Committee (PSC)** to be headed by Mission Director (NDP I) will have representatives of DADF and NDDB. The Secretary (AH & Dairying) of the concerned State Government or his representative would be an invitee while discussing proposals pertaining to that particular state. The project proposals received from EIAs are to be examined and recommended by Project Management Unit (PMU), NDDB and will be placed before the PSC for approval and sanction of funds for disbursement. The PSC will sanction project proposals and have project oversight. PSC will meet as frequently as necessary to ensure that sub project proposals

are considered/ sanctioned within one month of submission by the PMU. The PSC will have powers to authorize the re-appropriation of funds within a project component and between EIAs that are implementing the projects in the same State. The composition of the PSC will be as below:

- a. Managing Director, NDDDB as Mission Director, NDP-I
 - b. Representatives of DADF,
 - c. Representatives of NDDDB,
 - d. The Secretary (AH & Dairying) of the concerned State Government or his representative (would be an invitee while discussing proposals pertaining to that particular state).
- c. Implementation of the project will be managed by a **Project Management Unit (PMU)** located at NDDDB and will be headed by the Mission Director. PMU will appraise the project proposals received from EIAs and recommend the proposals to PSC for sanction, provide technical assistance in project implementation and monitoring as may be required.
- d. The progress of approved projects would be reviewed on a regular interval by regional and State Level Committees constituted by NDDDB during 2017-18. The Joint Secretary (Cattle & Dairy Development) or a nominated representative from DADF shall be part of these Committees. Besides, joint inspections by representatives of DADF and NDDDB to the project areas are to be made to see ground realities and suggest remedial measures.
- e. NDDDB shall submit following information on Quarterly basis to DADF for appraisal, release of fund, Parliament Question, preparing proposal for consideration of NSC, for use of Niti Aayog, D/O Expenditure etc (at the end of March, June, September & December):
- i) State-wise, project-wise and component- wise progress report indicating number of projects, total outlay, Grant assistance, EIA contribution, fund released to EIAs, fund utilized by EIAs etc.
 - ii) Physical progress vis-à-vis key parameters as indicated in outcome budget.
 - iii) Copy of sanction orders for release of fund to EIAs along with Statement of component/item-wise financial targets and key physical targets under the approved projects.
 - iv) Consolidated certificate for utilization of fund by EIAs and NDDDB vis-à-vis targets.
 - v) Statement of training provided under NDP-I vis-à-vis targets (cumulative & financial year wise).
 - vi) Information on number of beneficiaries belonging to **Scheduled castes, Scheduled Tribes and Women** benefited from the scheme in project report and also on quarterly basis. It may be ensured by NDDDB and EIAs that 16.2% and 8% of the funds are targeted for SC and ST

farmers/beneficiaries respectively under Scheduled Caste Special Plan (SCSP) and Tribal Sub Plan (TSP) as per directives of Planning Commission.

- vii) Half- yearly performance appraisal report as on 30.09.2017 [w.r.t (i), (ii), (iv), (v) & (vi) above] should be submitted during the first week of October, 2017 to finalize Revised Estimate (RE) of Budget. Action Plan (financial & physical) for next financial year (2018-19) should be submitted during December, 2017.

10. The guidelines for approval of project under the Scheme are as follows: -

- i) The PMU in NDDDB will examine and appraise the project proposal submitted by the EIA. After the EIA has incorporated any changes, that may be required and resubmitted the proposal, the PMU, NDDDB will recommend the project proposal and circulate the same to the members of the Project Steering Committee for approval. PSC will consider the project proposals and on approval of the project the earmarked amount will be released to EIAs by NDDDB.
- ii) The NDDDB would convene PSC meeting and be responsible for all financial and accounting functions related to NDP-I.
- iii) The NDDDB shall maintain separate books of accounts and all transactions pertaining to NDP-I will be accounted under a new project code (and named as 'NDP-I Fund') which will be separate and distinct from all other accounts of NDDDB. A separate bank account will be maintained for the receipt of funds from DADF for onward disbursement to EIAs as Grant-in-aid. Authorized signatories of the NDDDB will operate the account.
- iv) Unspent balance of grant-in-aid in the previous financial year i.e. 2016-17 and interest earned will be counted towards grant-in-aid under the scheme for the current financial year. The revalidation amount of interest earned and unspent balance will be adjusted against the release of first/second installment. Balance sheet and audited statement of accounts of implementing agencies shall clearly reflect unspent balance and amount earned as interest at the beginning of the financial year so that these amounts are accounted for in a transparent and unambiguous manner.
- v) The NDDDB will draw funds from DADF, for passing on to EIAs for implementing approved projects, as an advance, usually on a half-yearly/ yearly basis. The NDDDB shall make necessary arrangements to obtain audited Fund Utilization Certificates (FUCs) from the EIAs for the funds received by them during the year (on a suitable periodicity – quarterly/ half-yearly) and forward the same to DADF on a yearly basis or as and when required by DADF, in the manner prescribed in Rule 212 of the GFRs.
- vi) For activities related to ICT based MIS under the head Project Management and Learning, support for project coordination/management

units at Department of Animal Husbandry & Fisheries (DADF), NDDB and State/district levels as needed will be provided for

- a) project monitoring, evaluation and learning activities involving DADF, State Governments, NDDB and EIAs;
 - b) services of external agencies for carrying out baseline, mid-term and project completion surveys and other special surveys/studies as may be needed;
 - c) technical assistance for MIS; and
 - d) to provide support for emerging needs and innovations during implementation.
- vii) The EIAs will maintain separate books of accounts and all transactions pertaining to NDP-I will be accounted under a new project code (and named as 'NDP-I Fund') which will be separate and distinct from all other accounts of EIAs. A separate bank account will be maintained for the receipt of funds from NDDB. Authorized signatories of the concerned EIA will operate the account.
- viii) Funding will be through a line of credit from the International Development Association (IDA), which along with the share of the Government of India, will flow from the DADF to NDDB and in turn to EIAs.
- ix) The expenditure incurred by the implementing agency / EIAs on the items of work 12 months prior to the approval of World Bank Board' after following World Bank procedures, are eligible for reimbursement under retroactive financing. Normally, it would not exceed limit of 20% of the budgetary amount of Loan/Credit received in a financial year.
- x) The utilization of at **least 60 percent of already released funds** would be considered necessary for the release of estimated requirements for the subsequent year. However, before the release of the funds for the next year, the EIAs will satisfy full utilization of funds availed until then.
- xi) Administrative expenses including training expenses on each component under the scheme should be kept within the admissible 6% ceiling of total expenditure proposed under each component under the scheme.
- xii) The evaluation of scheme as a whole and projects under the scheme will be done by a third party external monitoring & evaluation agency. The evaluation would include baseline, annual, mid-term and end-term surveys. The details of procedure to be followed for survey/studies would be prepared and circulated by NDDB after seeking the approval of National Steering Committee.
- xiii) Where feasible, the services of ATMA may be utilized by EIAs for carrying out information and education campaigns to create awareness amongst milk producers about the new scientific approach and technologies that could be adopted to increase milk productivity and milk production. The

services of KVKs, village based community resource persons and other field staff will be used for capacity building of milk producers, wherever feasible.

- xiv) Project Implementation Plan would form the basis for NDDB to determine the components to be funded and the objective to be achieved under the scheme.

11. The following points may be noted for preparing the sub project proposals under the scheme:

- i) The project proposal under the scheme will be prepared by the End Implementing Agencies (EIAs) and be submitted to the PMU, NDDB.
- ii) Priority areas under NDP-I during 2017-18, based on which the proposals are to be prepared are given as under;
 - a) Genetic improvement of bulls produced through Progeny Testing Programme and Pedigree Selection Programme
 - b) Production of high quality semen doses
 - c) To cover villages and animals under Ration Balancing Programme
 - d) To increase proportion of area under green fodder with certified/truthfully labeled seeds
 - e) To cover additional number of village and milk producers for milk collection
- iii) The duration of the project period to be submitted by EIAs shall be 2017-18 to 2018-19.
- iv) It must be ensured that there is no duplication of activities under NDP I with the existing schemes of the **Central/State Government**. The activities under ongoing schemes should not overlap with the activities under NDP I in their specific areas. A certificate in this regard needs to be issued by the concerned EIA while submitting the project proposal.
- v) A background note and present status of dairy development in the covered area especially in respect of components proposed needs to be incorporated in the proposal.
- vi) The project proposal shall contain a fact sheet showing the salient features of the proposal as per the given format.
- vii) Component/Item-wise justification needs to be provided elaborately supported with facts and figures.
- viii) The project proposal shall provide the relevant information on existing Animal Husbandry and Dairy Development infrastructure available in the proposed area as per the given format
- ix) All the components proposed under the project should clearly indicate its unit costs as well as detailed cost break up based on prevailing market price and based on the unit costs of similar ongoing schemes of DADF.

- x) The project proposal would comprise of a number of Annexures which are to be filled up based on data available with Government sources, benchmark survey, International agencies of repute (e.g. United Nations website, International Dairy Federation and United States Department of Agriculture and other Government sources). Source of data needs to be mentioned suitably in the annexures. The list of annexures would be available on the website of NDDB and DADF.
12. A sum of Rs.389.98 crore has been allocated under the scheme for implementation of NDP-I during 2017-18, under EAP Component of the project.
13. This OM has been issued with the approval of Joint Secretary (C&DD) vide Diary No P-4013/JS(C&DD) dated 05.04.2017.

(K.C. Patra)
Under Secretary to the Government of India

To,

1. Chairman, National Dairy Development Board, P.B.No.40, Anand-388001, Gujarat.
2. Secretary, Department of Expenditure, Ministry of Finance, North Block, New Delhi
3. Secretary, Department of Economic Affairs, Ministry of Finance, North Block, New Delhi
4. Secretary, Department of Agriculture & Cooperation, Ministry of Agriculture, Krishi Bhawan, New Delhi
5. Secretary, Department of Rural Development, Ministry of Rural Development, Krishi Bhawan, New Delhi
6. Principal Accounts Officer, Ministry of Agriculture, Department of Animal Husbandry & Dairying, 16 Akbar Road Hutments .New Delhi.
7. Accountant General Commerce, Works & Misc., AGCR Building, Near I.T.O. New Delhi.
8. Chief Controller of Accounts, Ministry of Agriculture, Room No. 242, .Krishi Bhawan, New Delhi-110001.
9. Principal Adviser (Agriculture), Planning Commission, Room .No.106, Yojna Bhawan, New Delhi.
10. Adviser (PAMD), Planning Commission, Room No.228, Yojna Bhawan, New Delhi. .
11. All Secretaries In charge of Dairy Development in all States/U.Ts.
12. All Managing Directors of State Level Co-operative Dairy Federations.

Copy for information to: -

PPS to Secretary (ADF) / PPS to AS&FA/ PPS to JS(C&DD)/ Dir (DD) / AC (DD) / US (Finance) / AO (Budget)

(K.C. Patra)
Under Secretary to the Government of India

F.No.1-1/2009-DP
Government of India
Ministry of Agriculture and Farmers Welfare
Department of Animal Husbandry, Dairying & Fisheries
Dairy Division

Krishi Bhawan, New Delhi-110001
Dated the 20th April, 2017

To

Principal Accounts Officer,
Ministry of Agriculture and Farmers Welfare,
Department of Animal Husbandry, Dairying and Fisheries
16, Akbar Road Hutments,
New Delhi-110011.

Subject: - Administrative Approval for implementation of Central Sector Scheme –
"DAIRY ENTREPRENEURSHIP DEVELOPMENT SCHEME" during 2017-18.

Sir

The undersigned is directed to refer to this Department's OM No 1-1/09-DP dated 9th September, 2010 conveying first administrative approval for Central Sector Scheme – **"DAIRY ENTREPRENEURSHIP DEVELOPMENT SCHEME (DEDS)"** implementation during 12th Plan and last administrative approval issued vide letter No 1-1/09-DP dated 11th April, 2016 and to convey administrative approval for continuation of DEDS scheme for the financial year 2017-18 **beyond 12th Plan.**


2. Objectives of the Scheme

- to generate self-employment and provide infrastructure for dairy sector;
- to set up modern dairy farms and infrastructure for production of clean milk;
- to encourage heifer calf rearing for conservation and development of good breeding stock;
- to bring structural changes in the unorganized sector, so that initial processing of milk can be taken up at the village level;
- to upgrade traditional technology to handle milk on a commercial scale and
- to provide value addition to milk through processing and production of milk products.

3. Implementing Agency and Area of Operation

The National Bank for Agriculture and Rural Development (NABARD) will be the nodal agency for implementation of DEDS scheme in all the States and UTs throughout the country.

Page 1 of 6


(K. C. PATRA)
Under Secretary
Govt. of India
Ministry of Agriculture
Deptt. of A. H. D. & Fisheries
Krishi Bhawan, New Delhi

4. **Outlays of the scheme**

There is budget provision of Rs 240.00 crore during the year 2017-18, which includes Rs 181.12 crore under MH2404 (General Component), Rs 38.88 crore under MH2404 (SC Component) and Rs 20.00 crore under MH 2552 (North Eastern Region).

5. **Components that can be financed, indicative unit cost and pattern of assistance are given below:**

S.No	Component	Unit Cost	Pattern of Assistance
i	Establishment of small dairy units with crossbred cows/ indigenous descript milch cows like Sahiwal, Red Sindhi, Gir, Rathii etc / graded buffaloes upto 10 animals. (for SHGs, Cooperatives societies , Producer Companies unit size will be 2-10 animals per member)	Rs 6.00 lakh for 10 animal unit – minimum unit size is 2 animals with an upper limit of 10 animals.	25% of the project cost (33.33 % for SC / ST farmers), as back ended capital subsidy. Subsidy shall be restricted on prorata basis to a maximum of 10 animals subject to a ceiling of Rs.15,000 per animal, (Rs.20,000 for SC/ST farmers) or actual whichever is lower. Beneficiaries may purchase animals of higher costs, however, the subsidy will be restricted to the above ceilings.
ii	Rearing of heifer calves – cross bred, indigenous descript milch breeds of cattle and of graded buffaloes – upto 20 calves	Rs 5.30 lakh for 20 calf unit – with an upper limit of 20 calves	25% of the project cost (33.33 % for SC / ST farmers) as back ended capital subsidy. Subsidy shall be restricted on prorata basis to a maximum of 20 calf unit subject to a ceiling of Rs.6,600/- per calf (Rs.8,800 for SC/ST farmers) or actual whichever is lower.
iii	Vermi compost with milch animal unit (to be considered with milch animals/small dairy farm and not separately)	Rs 22,000/-	25% of the project cost (33.33 % for SC / ST farmers) as back ended capital subsidy subject to a ceiling of Rs 5,500/- (Rs 7300/- for SC/ST farmers) or actual whichever is lower.
iv	Purchase of milking machines /milkotesters/bulk milk cooling units (upto 5000 lit capacity)	Rs 20 lakh	25% of the project cost (33.33 % for SC / ST farmers) as back ended capital subsidy subject to a ceiling of Rs 5.0 lakh (Rs 6.67 lakh for SC / ST farmers) or actual whichever is lower.

v	Purchase of dairy processing equipment for manufacture of indigenous milk products	Rs 13.20 lakh	25% of the project cost (33.33 % for SC/ST farmers) as back ended capital subsidy subject to a ceiling of Rs 3.30 lakh (Rs 4.40 lakh for SC/ST farmers) or actual whichever is lower.
vi	Establishment of dairy product transportation facilities and cold chain	Rs 26.50 lakh	25% of the project cost (33.33 % for SC / ST farmers) as back ended capital subsidy subject to a ceiling of Rs 6.625 lakh (Rs 8.830 lakh for SC/ST farmers) or actual whichever is lower.
vii	Cold storage facilities for milk and milk products	Rs 33 lakh	25% of the project cost (33.33 % for SC / ST farmers) as back ended capital subsidy subject to a ceiling of Rs 8.25 lakh (Rs 11.0 lakh for SC/ST farmers) or actual whichever is lower.
viii	Establishment of private veterinary clinics	Rs 2.60 lakh for mobile clinic and Rs 2.0 lakh for stationary clinic	25% of the project cost (33.33 % for SC / ST farmers) as back ended capital subsidy subject to a ceiling of Rs 65,000/- and Rs 50,000/- (Rs 86,600/- and Rs 66,600/- for SC/ST farmers) respectively for mobile and stationary clinics or actual whichever is lower.
ix	Dairy marketing outlet / Dairy parlour	Rs 1.0 lakh/-	25% of the project cost (33.33 % for SC / ST farmers) as back ended capital subsidy subject to a ceiling of Rs 25,000/- (Rs 33,300/- for SC/ST farmers) or actual whichever is lower.

Note:- The subsidy amount will be rounded off to the nearest 100 Rupees. Beneficiaries may submit project proposals without any limit. However, the back ended capital subsidy under the scheme will be restricted to the above ceilings. The Banks will verify the costs of components admissible under the scheme based on the cost norms notified by NABARD.



6. Eligible Beneficiaries

- i) Farmers, Individual Entrepreneurs and Groups of Unorganized and Organized Sector. Group of organized sector, includes Self-Help Groups on behalf of their members, Dairy Cooperative Societies, Milk unions on behalf of their members, Milk federation, Panchayati Raj Institutions (PRIs) etc. are eligible under the scheme.
- ii) An applicant will be eligible to avail assistance for all components under the scheme but only once for each component.
- iii) More than one member of a family can be assisted under the scheme provided they set up separate units with separate infrastructure at different locations. The distance between the boundaries of two such farms should be at least 500 m.

7. Pattern of Assistance

- a) Back ended capital subsidy @ 25% of the project cost for general category and @ 33.33 % for SC/ST farmers. The component-wise subsidy ceiling will be subject to indicative cost arrived at by NABARD from time to time.
 - b) Entrepreneur contribution (Margin) for loans beyond Rs.1 lakh* -10% of project cost (Minimum)
 - c) Bank Loan - Balance portion
- [* Subject to any revision in RBI guidelines]

8. Financial Institutions eligible for re-finance under the scheme

- a. Commercial Banks
- b. Regional, Rural and Urban Banks
- c. State Cooperative Banks
- d. State Cooperative Agriculture and Rural Development Banks: and
- e. Such other institutions, which are eligible for refinance from NABARD

9. Linkage with credit

Assistance under the scheme shall be purely credit linked and subject to sanction of the Project by eligible financial institutions and as per the guidelines of the scheme enclosed herewith.

10. Priorities:

NABARD should work in close liaison with the State Governments and UTs so that the proposals on priority basis in cluster mode may be implemented. NABARD may also instruct to banks to give priority to projects being implemented in cluster mode farmers/Women-in SHGs, Cooperatives and Producer Companies including creation of facilities of processing, value addition and marketing of milk produced in the cluster mode.

11. NABARD shall furnish a monthly progress report to DAHD&F, regarding proposals received and sanctioned; farmers / entrepreneurs benefited; including Scheduled Caste (SC), Scheduled Tribes (ST) & Women members; component-wise details of fund release; funds sanctioned and recovery of loan.
12. It may be ensured that 16.2% of the funds targeted for SC farmers/ beneficiaries under Scheduled Castes Sub Plan (SCSP) as per the directives of Ministry of Finance.
13. The scheme was originally approved for the 12th Plan period and is presently under review. The Administrative approval is being issued subject to the following:
- a) Pending appraisal /approval of the scheme, an interim extension for a period of six months beyond 31.03.2017 i.e upto 30.09.2017 has been granted subject to the condition that there shall be no change in nature, scope and coverage of the scheme as approved for 12th Plan.
 - b) The norms of assistance for various components shall be the same as approved by the Government for 12th Plan and no change /modification/addition shall be permissible in scheme components/operational guidelines during this interim period.
 - c) Provision of General Financials Rules, 2017 shall be applicable during this period.
 - d) Release of fund shall be as per Cash Management System guidelines issued by Budget Division. Department of Economic Affairs, Ministry of Finance vide OM No. 4(10)-W&M/2016, dated 04.08.2016.
14. This administrative approval for continuation of the scheme during 2017-18 is issued with approval of IFD of the Department of Animal Husbandry; Dairying & Fisheries vide **Dy No 4102-FTS AS&FA dated 19.04.2017.**

Yours Sincerely


(K.C. Patra)

Under Secretary to the Govt. of India

(K. C. PATRA)
Under Secretary
Govt. of India
Ministry of Agriculture
Deptt. of A. H. D. & Fisheries
Krishi Bhawan, New Delhi

Distribution:

1. The Pay & Accounts Officer, PAO(Sectt)-I, Ministry of Agriculture and Farmers Welfare, Department of Animal Husbandry, Dairying & Fisheries, Room No.35, Krishi Bhawan, New Delhi
2. The Accountant General, Commerce, Works and Miscellaneous, AGCR Building, Near ITO, New Delhi-110002.
3. Chief Controller of Accounts, Department of Agriculture and Cooperation, Krishi Bhawan, New Delhi.
4. Advisor (Agriculture), NITI AAYOG, New Delhi.
5. Additional Secretary & Financial Advisor, Deptt. of Animal Husbandry & Dairying, Krishi Bhawan, New Delhi.
6. Chief General Manager, Department of Refinance , NABARD, C-24, 'G' Block, Bandra-Kurla Complex, Bandra (East), Mumbai - 400 051
7. Joint Secretary (Admn.), Room No.199, Ministry of Rural Development, Krishi Bhawan, New Delhi.
8. Joint Secretary (PF-II), Ministry of Finance, Department of Expenditure, North Block, New Delhi.
9. Joint Secretary, Ministry of Finance, Department of Economic Affairs, Banking Operation and Administration Division, Room No.6, 3rd Floor, Jeevan Deep Building, Parliament Street, New Delhi.
10. Chairman, NDDB, P.B.No.40, Anand 388001.
11. All State Governments, Department of Animal Husbandry & Dairying.
12. All MD, Milk Federation, States/ UTs
13. Technical Director, NIC (With a request to Include the Administrative approval in website of the Department)

Copy for information to:

PPS to Secretary (AHD&F)

PPS to AS &FA

PPS to AHC

PS to JS (C&DD)/ Dir (DD)/Dir (Budget)/DC(DD)/US (Fin)/ AC (DD)/AO(Budget) .

PS to JS(ANLM)/Ps to JS(LH)


(K.C. Patra)
Under Secretary to the Govt. of India

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Ministry of Agriculture
Deptt. of A. H. D. & Fisheries
Krishi Bhawan, New Delhi

GUIDELINES FOR DAIRY ENTREPRENEURSHIP DEVELOPMENT SCHEME FOR IMPLEMENTATION DURING THE 12TH FIVE YEAR PLAN.

1. Background

1.1 The Department of Animal Husbandry, Dairying and Fisheries is implementing Dairy Entrepreneurship Development Scheme (DEDS) since 01.09.2010 with the objective of generating self employment opportunities in the dairy sector, covering activities such as enhancement of milk production, procurement, preservation, transportation, processing and marketing of milk, by providing back ended capital subsidy for bankable projects. The scheme is being implemented by National Bank for Agriculture and Rural Development (NABARD).

1.2 DEDS scheme has received overwhelming response from dairy entrepreneurs across the country. Considering the contribution made by the scheme in providing livelihood opportunities and gainful employment to small and marginal farmers and dairy entrepreneurs, the Cabinet Committee on Economic Affairs (CCEA) has approved the continuation of DEDS scheme with an outlay of Rs 1400 crores during the 12th Five Year Plan.

2. Objectives of the Scheme

- to generate self-employment and provide infrastructure for dairy sector;
- to set up modern dairy farms and infrastructure for production of clean milk;
- to encourage heifer calf rearing for conservation and development of good breeding stock;
- to bring structural changes in the unorganized sector, so that initial processing of milk can be taken up at the village level;
- to upgrade traditional technology to handle milk on a commercial scale and
- to provide value addition to milk through processing and production of milk products.

3. Implementing Agency and Area of Operation

The National Bank for Agriculture and Rural Development (NABARD) will be the nodal agency for implementation of DEDS scheme in all the States and UTs throughout the country.

4. Outlays of the scheme and implementation Period

The Planning Commission has allocated an amount of Rs 1400 crores for DEDS scheme for 12th Five Year Plan for implementation of the scheme throughout the country.

5. Eligible Beneficiaries

5.1 Farmers, Individual Entrepreneurs and Groups of Unorganized and Organized Sector are eligible under DEDS. Group of organized sector, includes Self-Help Groups on behalf of their members, Dairy Cooperative Societies, Milk unions on behalf of their members, Milk federation, Panchayati Raj Institutions (PRIs) etc.

- 5.2 An applicant will be eligible to avail assistance for all components under the scheme, but only once for each component. However, more than one member of a family can be assisted under the scheme provided they set up separate units with separate infrastructure at different locations. The distance between the boundaries of two such farms should be at least 500 m.
- 5.3 Priority shall be given to projects being implemented in a cluster mode covering dairy farmers/Women in SHGs, Cooperatives and Producer Companies including creation of facilities of processing, value addition and marketing of milk produced in the cluster.

6. Pattern of Assistance

- a) Back ended capital subsidy @ 25% of the project cost for general category and @ 33.33 % for SC/ST farmers. The component-wise subsidy ceiling will be subject to indicative cost arrived at by NABARD from time to time.
 - b) Entrepreneur contribution (Margin) for loans beyond Rs.1 lakh* -10% of the project cost (Minimum)
 - c) Bank Loan - Balance portion
- [* Subject to any revision in RBI guidelines]

7. Financial Institutions eligible for re-finance under the scheme

- a. Commercial Banks
- b. Regional Rural and Urban Banks
- c. State Cooperative Banks
- d. State Cooperative Agriculture and Rural Development Banks: and
- e. Such other institutions, which are eligible for refinance from NABARD

8. Linkage with credit

Assistance under the scheme shall be purely credit linked and subject to sanction of the Project by eligible financial institutions mentioned at para 7 above.

9. Sanction of project by banks (Financial Institutions):

- 9.1 The entrepreneurs will prepare a project as per norms of the scheme and submit to the Bank for sanction of the project. The bank shall appraise the project as per the administrative approval issued by DADF from time to time and if found eligible, sanction the total outlay excluding the margin, as a bank loan. The loan amount shall be disbursed in suitable installments depending on the progress of the unit. After the disbursement of the first installment of the loan, the financial institution /bank shall apply to the concerned Regional Office of NABARD for sanction and release of subsidy amount.
- 9.2 All the financing banks shall be required to forward their subsidy claims through their controlling office to the concerned NABARD Regional Office within two months of disbursement of first installment of the bank loan.

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Ministry of Agriculture
& A. H. D. & Fisheries
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10. Project Sanctioning Committee (PSC)

Project Sanctioning Committee (PSC) of NABARD Regional Office shall consider proposals forwarded by the concerned financial institutions/banks and approve the subsidy cases of eligible applicants within one month of receipt of the proposals.

11. Release of subsidy

11.1 Government of India will release funds in advance to NABARD to meet the committed / anticipated liabilities towards the claims received by them and funds will be recouped after balance comes below a certain level. The funds will be utilized by NABARD for providing back ended capital subsidy to eligible beneficiaries through financing banks, as per their subsidy claims.

11.2 After sanction of the subsidy by the PSC, the Regional Office of NABARD shall release the subsidy amount, after confirming the availability of funds from NABARD Head Office. The subsidy shall be released on first come first serve basis subject to availability of funds allocated to the States/UTs.

11.3. All the financing banks shall be required to kept the subsidy amount in "Subsidy Reserve Fund Account (Borrower-wise) in books of the financing institution/bank and adjust the subsidy amount in the subsidy reserve fund account of the beneficiary within seven days of the receipt of subsidy from NABARD. In case the subsidy is not adjusted to the subsidy reserve fund account of the beneficiary within seven days of the receipt, the financing bank shall be liable to compensate the beneficiary to the extent of the additional interest charged.

11.4 After the receipt of subsidy from NABARD, the controlling office of the financing bank/ Institution shall submit a utilization certificate to the effect that the amount has been credited to the reserve fund account of the beneficiary alongwith details of the beneficiary. This certificate should be submitted to the concerned NABARD Regional Office within fifteen days of the receipt of subsidy.

12. Rate of Interest applicable on the loan amount under the scheme

Rate of interest on loans shall be as per RBI guidelines and the declared policy of the concerned bank. The bank may charge interest on the entire loan amount, until the subsidy portion is received; and from the date of the receipt of the subsidy, interest shall be charged only on the effective bank loan portion i.e. bank loan minus subsidy.

13. Time limit for Completion of the project

13.1 Time limit for completion of the project (except for calf rearing units where disbursements are expected to continue upto two years) would be as envisaged under the project, subject to a maximum period of 9 months from the date of disbursement of the first installment of loan. This maximum period may be extended by 3 months in cases where justification provided by the beneficiary is found adequate by the financing bank.

13.2 In case, the project is not completed within the stipulated period, benefit of subsidy will not be available; the advance subsidy placed with the participating bank, if any, shall be refunded to NABARD.

14. Security/Surety

- 14.1 Security for availing the loan be as per the guidelines issued by RBI from time to time.
- 14.2 The beneficiary contribution of 10% shall not be required for loans less than Rs.1 lakh or any amount as specified in the RBI guidelines, as revised from time to time.
- 14.3 Kisan Credit Cards (KCC) may be used for availing loans under the scheme, subject to RBI guidelines.

15. Repayment

- 15.1. Repayment Period will vary between 3- 7 years depending on the nature of the activity and cash flow. Grace period may range from 3 to 6 months in case of dairy farms to 3 years for calf rearing units (to be decided by the financing bank as per needs of individual projects).
- 15.2 The recovery of the loan will be based on the net loan amount only. Subsidy shall be adjusted by the concerned bank after the net bank loan (Bank loan minus subsidy) and interest thereon has been repaid.
- 15.3 Repayment schedules shall be drawn on the total bank loan taken in a manner that the subsidy amount is adjusted after liquidation of the net bank loan (excluding subsidy).


16. Adjustment of subsidy

- 16.1 Capital subsidy will be back ended (adjusted against last few installments of repayment of the bank loan) with a minimum lock-in period of 3 years, and shall be refunded if the account becomes a Non Performing Account (NPA).
- 16.2 The subsidy amount will be kept in "Subsidy Reserve Fund Account (Borrower-wise) in books of the financing institution/bank. No interest shall be payable on this amount.

17. Monitoring Mechanism

- 17.1 **Project Sanctioning Committee (PSC):** PSC set up at NABARD Regional Offices shall monitor and review the progress of the scheme on quarterly basis. The participating banks shall conduct periodic inspections of the units and give a feedback to the PSC.
- 17.2 **Joint Monitoring Committee (JMC):** Joint Monitoring Committee (JMC) set up under Chairmanship of Joint Secretary (DD) with representatives of NABARD, concerned Banks and State Secretaries-in-charge of AH&D of four States, on rotational basis for a period of two years, will monitor and review progress of implementation of the Scheme, at regular intervals.
- 17.3 The **State Level Bankers Committee (SLBC)** and **District Level Bankers Committee (DLBC)** shall review and monitor the Scheme in the concerned State at regular intervals.

Page 4 of 8


S. K. Mishra
Under Secretary
Govt. of India
Ministry of Agriculture
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Jishi Bhawan, New Delhi


- 17.4 Units set up under the scheme will be monitored by conducting **field visits** on a sample basis by NABARD and major observations shall be placed before the PSC for discussion. In case the observation is such that needs to be brought to the attention of JMC, NABARD shall do so.
- 17.5 **NABARD** shall furnish a **monthly progress report** to **DAHD&F**, regarding proposals received and sanctioned; farmers / entrepreneurs benefited; including SC, ST & Women members; component-wise details of fund release; funds sanctioned and recovery of loan in the format enclosed at **Annexure I**.

18. Other conditions:

- 18.1 Empowered Committee under the Chairmanship of Secretary (ADF) will have discretion to modify indicative unit cost, based on inputs from NABARD.
- 18.2 As per directives of Planning Commission, a Separate budgetary provision has been made in the Scheme for SC farmers/beneficiaries under the Special Component Plan for Scheduled Castes (SCP-SC) and for North Eastern States in BE 2013-14.
- 18.3 DAHD&F reserves the right to modify, add and delete any terms / conditions without assigning any reasons and the Department's interpretation of various terms will be final. Further, the Department reserves the right to recall any amount given under the scheme without assigning any reason thereof
- 18.4 Surprise inspection shall be undertaken by DAHD&F to assess the physical and financial progress of the projects.
- 18.5 NABARD would be provided funds equivalent to 3.5% of the subsidy disbursed per year for Administrative expenses (including monitoring and evaluation, of the 3.5% provided as Administrative Expenses, 1% will be spent by NABARD on Publicity of the Scheme) subject to the ceiling of Rs.6 crore per year
- 18.6 NABARD shall ensure adequate publicity of the scheme throughout the country to ensure that the benefits of the scheme are availed by all eligible beneficiaries. Publicity charges will be restricted to 1% of subsidy disbursed in a year. Special attention will be given to the North Eastern States to sensitize potential beneficiaries.
- 18.7 Other operational instructions issued by DAHD&F / NABARD from time to time will be strictly adhered to.
- 18.8 NABARD would provide refinance assistance to commercial banks, Regional Rural Banks (RRBs), Schedule Commercial Banks (SCBs), State Cooperative Agriculture and Rural Development Banks (SCARDBs) and other such eligible institutions. Quantum and rate of interest on refinance will be as decided by NABARD from time to time.
- 18.9 A signboard displaying "Assisted under DEDS by Department of Animal Husbandry Dairying and Fisheries, Government of India through NABARD" will be exhibited at the unit funded under DEDS.

19. Components that can be financed, indicative unit cost and pattern of assistance are given below:

S.No	Component	Unit Cost	Pattern of Assistance
i	Establishment of small dairy units with crossbred cows/indigenous descript milch cows like Sahiwal, Red Sindhi, Gir, Rathi etc / graded buffaloes upto 10 animals Note: In the case of SHGs, Cooperatives societies, Producer Companies the unit size will be 2-10 animals per member)	Rs 6.00 lakh for 10 animal unit – minimum unit size is 2 animals with an upper limit of 10 animals.	25% of the project cost (33.33 % for SC / ST farmers), as back ended capital subsidy. Subsidy shall be restricted on prorata basis to a maximum of 10 animals subject to a ceiling of Rs.15,000 per animal, (Rs.20,000 for SC/ST farmers) or actual whichever is lower. Beneficiaries may purchase animals of higher costs, however, the subsidy will be restricted to the above ceilings.
ii	Rearing of heifer calves – cross bred, indigenous descript milch breeds of cattle and of graded buffaloes – upto 20 calves	Rs 5.30 lakh for 20 calf unit – with an upper limit of 20 calves	25% of the project cost (33.33 % for SC / ST farmers) as back ended capital subsidy. Subsidy shall be restricted on prorata basis to a maximum of 20 calf unit subject to a ceiling of Rs.6,600/- per calf (Rs.8,800 for SC/ST farmers) or actual whichever is lower.
iii	Vermi compost with milch animal unit (to be considered with milch animals/small dairy farm and not separately)	Rs 22,000/-	25% of the project cost (33.33 % for SC / ST farmers) as back ended capital subsidy subject to a ceiling of Rs 5,500/- (Rs 7300/- for SC/ST farmers) or actual whichever is lower.
iv	Purchase of milking machines /milkotesters/bulk milk cooling units (upto 5000 lit capacity)	Rs 20 lakh	25% of the project cost (33.33 % for SC / ST farmers) as back ended capital subsidy subject to a ceiling of Rs 5.0 lakh (Rs 6.67 lakh for SC / ST farmers) or actual whichever is lower.
v	Purchase of dairy processing equipment for manufacture of indigenous milk products	Rs 13.20 lakh	25% of the project cost (33.33 % for SC/ST farmers) as back ended capital subsidy subject to a ceiling of Rs 3.30 lakh (Rs 4.40 lakh for SC/ST farmers) or actual whichever is lower.
vi	Establishment of dairy product transportation facilities and cold chain	Rs 26.50 lakh	25% of the project cost (33.33 % for SC / ST farmers) as back ended capital subsidy subject to a ceiling of Rs 6.625


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Under Secretary
Govt. of India
Ministry of Agriculture
Deptt. of A. H. D. & Fisheries
Krishi Bhawan, New Delhi

			lakh (Rs 8.830 lakh for SC/ST farmers) or actual whichever is lower.
vii	Cold storage facilities for Milk and Milk Products	Rs 33 lakh	25% of the project cost (33.33 % for SC / ST farmers) as back ended capital subsidy subject to a ceiling of Rs 8.25 lakh (Rs 11.0 lakh for SC/ST farmers) or actual whichever is lower.
viii	Establishment of private veterinary clinics	Rs 2.60 lakh for mobile clinic and Rs 2.0 lakh for stationary clinic	25% of the project cost (33.33 % for SC / ST farmers) as back ended capital subsidy subject to a ceiling of Rs 65,000/- and Rs 50,000/- (Rs 86,600/- and Rs 66,600/- for SC/ST farmers) respectively for mobile and stationary clinics or actual whichever is lower.
ix	Dairy marketing outlet / Dairy parlor	Rs 1.0 lakh/-	25% of the project cost (33.33 % for SC / ST farmers) as back ended capital subsidy subject to a ceiling of Rs 25,000/-(Rs 33,300/- for SC/ST farmers) or actual whichever is lower.

Note:- The subsidy amount will be rounded off to the nearest 100 Rupees. Beneficiaries may submit project proposals without any limit. However, the back ended capital subsidy under the scheme will be restricted to the afore mentioned ceilings. The Banks will verify the costs of components admissible under the scheme based on the cost norms notified by NABARD.

(K. C. PATRA)
Under Secretary
Govt. of India
Ministry of Agriculture
Deptt. of A. H. D. & Fisheries
Krishi Bhawan, New Delhi

State-wise details of application received, subsidy released by NABARD category-wise (General, SC, ST and Women) and numbers of application pending are as under:

Month-_____

[illegible]

K. C. PATRA
 Union Secretary
 Govt. of India
 Ministry of Agriculture
 Deptt. of A. H. D. & Fisheries
 Bhubaneswar, New Delhi

Scheme for Agro - Marine Processing and Development of Agro -Processing Clusters (SAMPADA)

Government of India has approved a new Central Sector Scheme - Scheme for Agro-Marine Processing and Development of Agro -Processing Clusters (SAMPADA) with an allocation of Rs. 6,000 crore for the period 2016-20 coterminous with the 14th Finance Commission cycle. The SAMPADA will be implemented by Ministry of Food Processing Industries (MoFPI). The objective of SAMPADA is to supplement agriculture, modernise processing and decrease agri-waste.

SAMPADA is an umbrella scheme incorporating following schemes:

1. Mega Food Parks **(Ongoing)**
2. Integrated Cold Chain and Value Addition Infrastructure **(Ongoing)**
3. Creation/Expansion of Food Processing & Preservation Capacities **(new)**
4. Infrastructure for Agro-processing Clusters **(new)**
5. Creation of Backward and Forward Linkages **(new)**
6. Food Safety and Quality Assurance Infrastructure **(Ongoing)**
7. Human Resources and Institutions **(Ongoing)**

The schemes from Serial No. 2 to Serial No. 5 have also specified that the applications could be made only against the Expression of Interest (EOI) invited by the Ministry.

Approval of Government on the SAMPADA scheme and Guidelines of the schemes under SAMPADA (latest available on the MoFPI website) are attached below.

F. No. 16-MFPI/14-Mega FP
Government of India
Ministry of Food Processing Industries
Panchsheel Bhawan, August Kranti Marg

New Delhi, dated 19th May, 2017

IMPORTANT NOTICE

Subject: Approval of Government of India on new Central Sector Scheme – SAMPADA (Scheme for Agro-Marine Processing and Development of Agro-Processing Clusters)- reg.

The undersigned is directed to inform that Government of India (GOI) has approved a new Central Sector Scheme – SAMPADA (Scheme for Agro-Marine Processing and Development of Agro-Processing Clusters) with an allocation of Rs. 6,000 crore for the period 2016-20 coterminous with the 14th Finance Commission cycle. The SAMPADA will be implemented by Ministry of Food Processing Industries (MoFPI).

2. SAMPADA is a comprehensive package which will result in creation of modern infrastructure with efficient supply chain management from farm gate to retail outlet. It will not only provide a big boost to the growth of food processing sector in the country but also help in providing better prices to farmers and is a big step towards doubling of farmers income, creating huge employment opportunities especially in the rural areas, reducing wastage of agricultural produce, increasing the processing level and enhancing the export of the processed foods.

3. The following schemes will be implemented under SAMPADA:

- (i). Mega Food Parks (on going)
- (ii). Integrated Cold Chain and Value Addition Infrastructure (on going)
- (iii). Creation / Expansion of Food Processing & Preservation Capacities (new)
- (iv). Infrastructure for Agro-processing Clusters (new)
- (v). Creation of Backward and Forward Linkages (new)
- (vi). Food Safety and Quality Assurance Infrastructure (on going)
- (vii). Human Resources and Institutions (on going)

The brief details of each scheme are enclosed for ready reference. However, the detailed operational guidelines of each of the schemes are being uploaded on Ministry's website: www.mofpi.nic.in

4. SAMPADA is expected to leverage investment of Rs. 31400 crore, handling of 334 lakh MT agro-produce valuing Rs. 1,04,125 crore, benefit 20 lakh farmers and generate 5,30,500 direct/ indirect employment in the country by the year 2019-20.

5. It is, therefore, requested to give wide publicity to the schemes of SAMPADA so that full advantage of the benefits available under SAMPADA can be availed by various stakeholders.

(Parag Gupta)

Joint Secretary to the Govt. of India

Tel. No. 26492032

Email: parag.gupta@gov.in

To,

1. The Chief Secretaries of all the States / UTs
2. The Secretary, Department of Expenditure, Ministry of Finance, North Block, New Delhi
3. The CEO, NITI Aayog, Yojana Bhawan, Sansad Marg, New Delhi
4. The Secretary, Department of Financial Services, 3rd Floor Jeevan Deep Building, Sansad Marg, New Delhi-110001
5. The Secretary, Department of Commerce, Ministry of Commerce & Industry, Udyog Bhawan, New Delhi
6. The Secretary, Department of Industrial Policy & Promotion, Udyog Bhawan, New Delhi
7. The Secretary, Department of Agriculture & Cooperation and Farmers Welfare. Ministry of Agriculture, Krishi Bhawan, New Delhi
8. The Secretary, Department of Animal Husbandry, Dairying & Fisheries, Ministry of Agriculture, Krishi Bhawan, New Delhi
9. The Secretary, Ministry of Micro, Small and Medium Enterprises, Udyog Bhawan, New Delhi
10. The Secretary, Department of Consumer Affairs, Krishi Bhawan, New Delhi
11. The Joint Secretary, Cabinet Secretariat, Rashtrapati Bhawan, New Delhi
12. The Joint Secretary, Prime Minister's Office, South Block, Raisina Hill, New Delhi

Copy to:

1. The Vice Chancellor, National Institute of Food Technology Entrepreneurship and Management (NIFTEM), Plot No. 97, Sector 56, HSIIDC Industrial Estate, Kundli, Sonapat, Haryana 131028
2. The Director, Indian Institute of Food Processing Technology (IIFPT), Pudukkottai Road, Thanjavur, Tamil Nadu 613005
3. PS to Hon'ble Minister, FPI
4. PS to MOS, FPI
5. PSO to Secretary, FPI
6. PS to JS&FA / JS (PG) / JS (AP) / EA (RM)
7. Dir (VS) / Dir (KBS) / Dir (JK) / Dir (Media) / DS (AN) / DS (GDS) / DS (SKV) / US (PKM) / US (SKS) / US (RZ) / US (Finance) / US (SB) / US (TKZ) / US (VKB) / US (HKP) / DD (SSA) / DD (AK) / DIA (SS) / SMO (GS) / MO (JPD) / AD (SNA) AD (BN) / AD (SK) / SIO (AM) / AO (Budget) / MO (KKA)

Brief details of the schemes under SAMPADA

1. Scheme for Mega Food Park

(a) **Objectives of the Scheme:** The objectives of the scheme are as follows:

- i. To provide modern infrastructure for food processing units in the country.
- ii. To ensure value addition of agricultural produce including dairy, fisheries etc.
- iii. To establish a sustainable raw material supply chain for each cluster.
- iv. To facilitate induction of the latest technology.
- v. To address the need of small and micro food processing enterprises by providing plug & play facilities.
- vi. To provide an institutional mechanism for producers, processors, and retailers to work together to build the supply chain.

(b) **Pattern of financial assistance:**

Grant-in-aid @ 50% of eligible project cost in general areas and @ 75% of eligible project cost in NE Region and difficult areas subject to maximum of Rs.50 crore per project.

(c) **Implementing Agency:**

The Mega Food Park project is implemented by a Special Purpose Vehicle (SPV) which is a Body Corporate registered under the Companies Act. However, State Government, State Government entities and Cooperatives are not required to form a separate SPV under the revised guidelines. Possession of at least 50 acres of contiguous land by the SPV for the CPC with conversion for industrial /infrastructure use is required. Subject to fulfillment of the conditions of Scheme Guidelines, the funds are released to the SPVs.

(d) **No. of projects:**

It is an on-going scheme. The total 42 projects have been taken up in the country, out of which 8 have been made operational including 3 completed projects. The remaining 34 projects will be completed during the period of scheme with an allocation of Rs. 1500 crore. The scheme will continue to be implemented with the same structure and pattern of assistance. New projects will be considered on completion of ongoing projects

2. Scheme for Cold Chain and Value Addition Infrastructure

(a) **Objective of the Scheme:**

To arrest post-harvest losses of horticulture & non-horticulture produce by providing financial assistance in setting up integrated cold chain, preservation and value addition infrastructure facilities without any break from the farm gate to the consumer

(b) **Pattern of financial assistance:**

The scheme will continue to be implemented with same components with a revised pattern of financial assistance as follows:-

- (i). For storage infrastructure including pack houses, pre-cooling units, ripening chamber and transport infrastructure, grant-in-aid @ 35% for General Areas and @ 50% for North East States, Himalayan States, ITDP Areas & Island of the total cost of plant & machinery and technical civil works will be provided.



- (ii). For value addition and processing infrastructure including frozen storage/ deep freezers associated and integral to the processing, grant-in-aid @ 50% for General Areas and @ 75% for North East States, Himalayan States, ITDP Areas & Island will be provided.
- (iii). For irradiation facilities grant-in-aid will be provided @ 50% for General Areas and @ 75% for NE region and Difficult Areas.

The maximum grant-in-aid per project would be Rs. 10 crore per project.

(c) Implementing agency:

The integrated cold chain project is set up by Partnership/Proprietorship Firms, Companies, Corporations, Cooperatives, Self Help Groups (SHGs), Farmer Producer Organizations (FPOs), NGOs, Central/State PSUs, etc. subject to fulfilment of eligibility conditions of scheme guidelines.

(d) No. of projects:

It is an ongoing scheme. It is proposed to assist approximately 150 new projects against which 101 projects have been approved in March end 2017. The total number of new projects to be sanctioned may vary depending upon the budget allocation and the grant approved per project. The scheme will be implemented with a total allocation of Rs. 1650 crore.

3. Committed liabilities under infrastructure related Schemes

The committed liabilities for infrastructure related schemes amount to Rs. 2602 crore. This includes Rs. 1300 crore for Mega Food Parks, Rs. 1092 crore for Integrated Cold Chain and Value Addition Infrastructure and Rs. 210 crore for other ongoing infrastructure projects.

4. Scheme for Creation / Expansion of Food Processing and Preservation Capacities

a) Objectives of the scheme: The objectives of the scheme are as follows:

- (i) Creation/ expansion and / or modernization of processing / preservation capacities which will help in increasing the level of processing, value addition and thereby reduction of wastage.
- (ii) The setting up of new units and modernization/ expansion of existing unit will be covered under the scheme. The processing units undertake a wide range of processing activities depending on the processing sectors which results in value addition and/or enhancing shelf life of the processed products.

b) Pattern of financial assistance:

The scheme envisages financial assistance to food processing units in the form of grant-in-aid:

- 35% of the cost of Plant & machinery and technical civil works, subject to a maximum of Rs. 5.00 crore in general areas
- 50 % of the cost of Plant & machinery and technical civil works, subject to a maximum of Rs. 5.00 Crores in North East States and difficult areas

c) Implementing Agency:

Scheme will be implemented through organizations such as Central & State PSUs / Joint Ventures / Farmer Producers Organization (FPOs)/ NGOs / Cooperatives / SHG's / Pvt. Ltd companies / individuals proprietorship firms engaged in establishment/ upgradation/ modernization of food processing units.

d) No. of projects:

It is a new scheme. It will be implemented with an allocation of Rs.1290 crore to take up 400 new projects with total allocation of Rs.1141 crore and to meet the committed liabilities of earlier Technology Upgradation Scheme of Rs. 149 crore. The grants-in-aid will be credit linked but not back ended.

5. Scheme for Infrastructure for Agro Processing Clusters

(a) Objectives:

- i. To create modern infrastructure for food processing closer to production areas.
- ii. To provide integrated and complete preservation infrastructure facilities from the farm gate to the consumer.
- iii. To create effective backward and forward linkages by linking groups of producers / farmers to the processors and markets through well-equipped supply chain.

(b) Salient features of the scheme:

- (i) The scheme will have two basic components i.e. Basic Enabling Infrastructure (roads, water supply, power supply, drainage, ETP etc.) and Core Infrastructure/Common facilities (ware houses, cold storages, IQF, tetra pack, sorting, grading etc). Creation of common facilities in a cluster may vary depending upon requirements of food processing units existing outside the cluster or to be set up in a cluster.
- (ii) Minimum 5 food processing units with minimum investment of Rs. 25 crore will be set up in the cluster.
- (iii) Units will be set up simultaneous alongwith creation of common infrastructure.
- (iv) Such infrastructure facilities may be developed by:
 - a. The promoter(s) willing to set up own units in the cluster and also allow utilization of common infrastructure to other units in the area;
 - b. The promoter(s) willing to develop common infrastructure for use by the units to be set up in the food processing cluster by other entrepreneurs;
 - c. The promoter(s) willing to develop common infrastructure in the existing food processing clusters:

(c) Components of the Scheme:

The scheme aims at development of modern infrastructure to encourage entrepreneurs to set up food processing units based on cluster approach. Accordingly, the scheme will have following components:

- (i) **Basic enabling infrastructure:** It will include site development including development of industrial plots, boundary wall, roads, drainage, water supply, electricity supply including power backup, effluent treatment plant, parking bay, weigh bridges, common office space etc. However, the cost of basic enabling infrastructure not exceeding 40 percent of the eligible project cost would be eligible for grant purpose.



- (ii) **Core infrastructure / common facilities:** The common facilities will be based on the needs of the units which will be set up in these clusters. The common facilities of capital intensive nature may include like testing laboratory, cleaning, grading, sorting and packing facilities, dry warehouse, cold storage, pre-cooling chambers, ripening chambers, steam generation boilers, IQF, specialized packaging, etc.

The above mentioned facilities are only illustrative and the exact nature of facilities may vary from project to project based on requirements of the units in the cluster and surplus agriculture / horticulture produce in the catchment area of the project.

(d) Implementing Agencies:

All implementing agencies / organizations such as Govt. / PSUs / Joint Ventures / NGOs / Cooperatives / SHGs / FPOs / Private Sector / individuals etc. will be eligible for financial assistance under the scheme.

(e) Pattern of Assistance:

The maximum admissible grant for each project would be 35% of eligible project cost in general areas and 50% of eligible project cost in North East States and difficult areas, subject to max. of Rs. 10.00 crore. The grants-in-aid will be credit linked but not back ended.

(f) No. of projects:

It is a new scheme. During the period of the scheme, about 100 Agro Processing Clusters are proposed to be taken up with an allocation of Rs. 750 crore. The grants-in-aid will be credit linked but not back ended.

6. Scheme for Creation of Backward and Forward Linkages

(a) Objectives:

- (i) To create an effective backward & forward linkages for perishable agri-horti produce through setting up of primary processing centres / collection centres at farm gate, distribution hub and retail outlets at the front end.
- (ii) To provide preservation facilities for enhancing shelf life of perishable agricultural produce resulting in better remunerative prices to farmers.

(b) Salient features of the scheme:

The Scheme is applicable to both perishable horticulture and non-horticulture produce such as: fruits, vegetables, dairy products and fish etc.

(c) Components of the Scheme:

The Scheme will have the following components:

- (i) Minimum Processing Facilities for perishable agri-horti produce at the farm level which may include facilities for weighing, cleaning, sorting, grading, packing, pre-cooling, Controlled Atmosphere (CA)/ Modified Atmosphere (MA), Cold Storage, Dry Warehouses and IQF.
- (ii) Distribution hub and retail outlets for perishable agri-horti produce.

- (iii) Mobile Pre-cooling trucks and reefer trucks which may be suitable for transportation for perishable agri-horti produce.

The facilities mentioned above are illustrative only. The exact nature of infrastructure will be decided on the basis of surplus agriculture / horticulture produce in the catchment area of the project.

(d) Implementing Agencies:

All implementing agencies / organizations such as Govt. / PSUs / Joint Ventures / NGOs / Cooperatives / SHGs / FPOs / Private Sector / individuals etc. will be eligible for financial assistance under the scheme.

(e) Pattern of Assistance:

The maximum admissible grant for each project would be 35% of eligible project cost in general areas and 50% of eligible project cost North East States and difficult areas subject to max. of Rs. 5.00 crore. The grants-in-aid will be credit linked but not back ended.

(f) No. of projects:

It is a new scheme. It is proposed to assist 50 projects with an allocation of Rs. 150 crore. The grants-in-aid will be credit linked but not back ended.

7. Scheme for Food Safety and Quality Assurance Infrastructure

(I) Setting up/Up-gradation of Quality Control/ Food Testing Laboratories

a) Objectives:

- i. To establish a surveillance system for monitoring the quality and composition of food.
- ii. To analyse the samples received from processing industry and other stakeholders.
- iii. To reduce the time for analysis of samples by reducing transportation time of samples.
- iv. To ensure compliance of international and domestic standards on food in case of exports as well as imports.

b) Pattern of assistance:

Central/State Government and their organizations/ Government universities (including deemed universities) are eligible for Grant-in-aid @ 100% of the cost of equipment and all other implementing agencies/private sector organizations/universities (including deemed universities) are eligible for Grant-in-aid @ 50% of cost of equipment in general areas and @70% for North East & difficult areas respectively. Grant-in-aid is also given for Technical Civil Work and Furniture & Fixtures

c) Implementing agencies:

Central/State Government and their organizations/ Government universities (including deemed universities) and all other implementing agencies/private sector organizations/universities (including deemed universities).



d) No. of projects:

It is an ongoing scheme. 40 ongoing lab projects with a committed liability of Rs. 50 crore will be completed and about 60 new projects with an allocation of Rs. 100 crore will be taken up. The total allocation for ongoing and new lab projects will be Rs. 150 crore. The number of projects may vary depending upon the budget allocation and grant approved per project.

(II) Hazard Analysis & Critical Control Points (HACCP) / ISO Standards/Food safety/ Quality Management Systems

(a) Objectives:

The main objectives of the scheme are to motivate the food processing industry for adoption of food safety and quality assurance mechanisms such as TQM including ISO 9000, ISO 22000, HACCP, GMP, GHP, to enable adherence to stringent quality and hygiene norms and thereby protect consumer health, enhance product acceptance by overseas buyers and keep Indian industry technologically abreast of international best practices.

(b) Pattern of assistance:

Grant-in-aid is given in the form of re-imbursement of expenditure towards implementation of HACCP/ ISO Standards / Food safety/ Quality Management Systems @ 50% in general area and @ 75% in NE Region and difficult areas of eligible project cost subject to maximum of Rs. 17 lakh and 22 lakh respectively.

(c) Implementing Agencies:

Central/State Government Organization, IITs, Universities and private sector in the field of food processing sector for implementation of HACCP/ ISO Standards / Food safety/ Quality Safety Management Systems

(d) No. of projects:

It is an ongoing scheme. 86 projects will be taken up with an allocation of Rs. 15 crore including committed liability of Rs. 1.53 crore for 9 ongoing projects. The number of projects may vary depending upon the budget allocation and grant approved per project.

8. Scheme for Human Resources and Institutions

(I) Research & Development in Food Processing Sector

(a) Objectives:

The Objective of the scheme is that end product/outcome/findings of R&D work should benefit food processing industry in terms of product and process development, efficient technologies, improved packaging, value addition etc. with commercial value alongwith standardization of various factors viz. additives, colouring agents, preservatives, pesticide residues, chemical contaminants, microbiological contaminants and naturally occurring toxic substances within permissible limits.



(b) Pattern of assistance:

(i) For the Government organizations/universities/institutions:

Grant-in-aid is given for 100% of cost of equipment, consumables and expenditure related to salaries for project staff specific to the project for maximum period of three years. Grant is released in three instalments.

(ii) Funding pattern for Private organizations / universities / institutions

Grant-in-aid is given to the tune of 50% of equipment cost only in general areas and 70% in North East States and difficult areas. Grant is released in three instalments.

(c) Implementing Agencies:

All Universities, IITs, Central/ State Government Institutions, Government Funded Organizations, R&D laboratories and CSIR recognized R&D Units in private sector are eligible to receive financial assistance for R&D projects under this scheme so as to improve the food processing sector.

(d) No. of projects:

It is an ongoing scheme. The scheme will be implemented with an allocation of ₹ 50 crore to meet the committed liability of ₹ 6.78 crore for 62 on-going projects and to take up about 100 new projects during the period of scheme.

(II) Scheme for Promotional Activities, Advertisements, Publicity, Studies & Surveys

a) Objectives of the scheme: The objectives of the scheme are as follows:

- (i) To organize, co-sponsor, participate in all India level seminars, workshops, fairs and exhibitions for food processing sector to encourage investment in food processing and to create awareness of plan schemes being implemented by the ministry.
- (ii) To commission studies/ surveys to assess, evaluate various aspects of food processing sectors and allied activities.
- (iii) To create awareness about schemes of the ministry through print/audio-visual media through advertisements and publicity materials.
- (iv) To organize road shows, development of software and investor facilitation activities to promote food processing sector.

b) Pattern of financial assistance:

- (i) Under the scheme component of Promotional Activities, for organizing all India level seminars, workshops, fairs and exhibitions for food processing sector grant in aid @ 50% of the cost of the event or maximum Rs. 5 lakhs would be provided. In case event is sponsored/ co-sponsored by the Ministry or where Ministry is participating directly through any designated apex agency or through its Institutes in domestic/international events, this limit would not apply.
- (ii) Under the scheme component of Studies/Surveys, the grant in aid shall be decided on merits of the proposal and nature of work to be executed or through bid process wherever applicable.



- (iii) Under the scheme component of Advertisement & Publicity, financial assistance will be provided on actual cost basis. The cost would be determined by following due procedure.

c) Implementing Agency:

- (i) Under the scheme component of Promotional Activities, for organizing all India level seminars, workshops, fairs and exhibitions will be implemented through apex industrial and trade bodies/associations. In some events sponsored/ co-sponsored by the Ministry or where Ministry is participating directly through any designated apex agency or through its Institutes in domestic/international events.
- (ii) Studies/ surveys would be commissioned by the Ministry, directly or through its organizations and boards or through selection of agency, after following due procedure.
- (iii) Activities under the advertisements and publicity will be implemented by the Ministry through selection of agency, after following due procedure or through its Institutes.

d) Allocation of funds:

The scheme will be implemented with an allocation of Rs. 30 crore out of which Rs.1.5 crore will be utilized for meeting the committed liabilities of ongoing events.

(III) Skill Development

a) Objectives of the scheme: The objectives of the scheme are as follows:

- (i) to provide sector specific skilled workforce from floor level workers, operators, packaging and assembly line workers to quality control supervisor etc in the various sectors of food processing industries.
- (ii) to contribute towards achieving the projected skilled human resources requirement as envisaged by National Skill Development Corporation (NSDC) in food processing sector i.e 17.8 million persons by the year 2022.

The new scheme has been proposed in place of hither to be discontinued scheme of Human Resource Development.

b) Pattern of financial assistance:

- (i) Development of course curriculum for training modules and its translation in English, Hindi and regional languages based on the qualification packs (QPs) validated by the NSDC as National Occupational Standards for different job roles in various sectors of food processing industries. Grant-in-aid would be available primarily to NIFTEM and IIFPT and also other eligible institutions to the extent of **Rs.5 lakhs per QP** for development of training module both in print and multimedia for each job role. **Rs.0.50 lakh per QP** would be available for the translation of already developed training modules in different languages for each job roles.
- (ii) Assistance for creation of infrastructure facilities for skill training centres. Grant in aid will also be provided at the rate of 50% of cost of plant & machineries required for training module subject to maximum of **Rs. 15 lakh** per training module and limited to two training modules per training centre.



c) Implementing Agency:

- (i) The scheme of Development of course curriculum for training modules and its translation in English, Hindi and regional languages based on the qualification packs (QPs) validated by the NSDC will be implemented by National Institute of Food Technology, Entrepreneurship and Management (NIFTEM) and Indian Institute of Food Processing Technology (IIFPT) and also other eligible institutions.
- (ii) The scheme for creation of infrastructure facilities for skill training centers will be implemented through food technology institutions under the UGC approved universities/ State universities and also NSDC recognized State owned skill training centres.

d) Allocation of funds:

The scheme will be implemented with an allocation of Rs.30.00 crore including committed liability of erstwhile HRD scheme of Rs.2.50 crore.

(IV) Strengthening of Institutions

(a) National Institute of Food Technology, Entrepreneurship and Management (NIFTEM):

The Ministry has established the NIFTEM at Kundli, District Sonapat, Haryana in May, 2012. NIFTEM has been declared a Deemed University under de novo category. NIFTEM is running the B. Tech., M. Tech. & Ph.D courses and undertakes R&D projects in the area of food technology. Under the scheme, funds will be provided to NIFTEM for creation of academic and administrative infrastructure like foreign student's hostel, sports facilities, hazardous chemical storage, effluent treatment plant, solid waste management system, residential units etc. Funds will also be provided to promote research activities, expand Village Adoption Program (VAP) and skill development in the food processing sector. An allocation of Rs. 100 crore has been made during the period of scheme.

(b) Indian Institute of Food Processing Technology (IIFPT):

The Ministry has upgraded IIFPT, Thanjavur, Tamil Nadu to a National level institute in February, 2008. IIFPT is running the B. Tech., M. Tech. & Ph.D courses and undertaking R&D projects in the area of food processing. Under the scheme funds will be provided to IIFPT for creation of infrastructure facilities including purchase of additional land (22.7 acres) for expanding campus and creation of academic and administrative infrastructure like machine fabrication and testing centre, sport complex, auditorium, opening training cum incubation centres and residential units etc. To enable the institute to expand its activities and programmes to meet the ever expanding need of food processing sector in the country, an allocation of Rs. 75 crore has been made during the period of scheme.

Note:

- (i) The number of projects to be taken up under various schemes mentioned above may vary depending upon the actual budget allocation and grants-in-aid approved per project during the period of Scheme.
- (ii) For the purpose of the above mentioned schemes, the North East States will include Sikkim and difficult areas will include Himalayan States (i.e. Himachal Pradesh, Jammu & Kashmir and Uttarakhand), State notified ITDP areas & Islands.


ATUL SAXENA
Director
Ministry of Food Processing Industries
Govt. of India
Panchsheel Bhawan August Kranti Marg
New Delhi-110049

F. No. 21-MFPI/11-Mega Food Park
Government of India
Ministry of Food Processing Industries
Panchsheel Bhawan, August Kranti Marg
New Delhi-110049

Subject:- Revised guidelines for Mega Food Park Scheme w.e.f. 21.07.2016.

1. Background

- 1.1. Based on extensive feedback and consultations with various stakeholders, the earlier Scheme of Food Parks during the 10th Five Year Plan was revised and reformulated as the Mega Food Parks Scheme (MFPS) during the 11th Five Year Plan. The guidelines of the Scheme were notified initially on 24.10.2008. On the basis of learning experience over a period of time and for more effective implementation of the Scheme, these guidelines were modified time to time and consolidated on 19.12.2009, 17.11.2011, 01.10.2012 and 10.02.2014.
- 1.2. The Scheme is being implemented by the Ministry to develop Mega Food Parks in the country. CCEA has approved 42 Mega Food Parks during 11th & 12th Plan (5 projects in first phase, 10 projects in second phase, 15 projects in third phase and 12 projects in fourth phase).
- 1.3. The revised Scheme guidelines after incorporating all the modifications approved till date are given below. These guidelines will be applicable to all the projects to be approved under the Scheme, against any fresh Expression of Interest (EoI) floated after 21.07.2016.

2. Objectives of the Scheme

- 2.1. The primary objective of the MFPS is to provide modern infrastructure facilities for the food processing along the value chain from the farm to the market. It will include creation of processing infrastructure near the farm, transportation, logistics and centralized processing centers. The main feature of the Scheme is a cluster based approach. The scheme will be demand-driven and will facilitate food processing units to meet environmental and safety standards.
- 2.2. The expected outcome is increased realization for farmers, creation of high quality processing infrastructure, reduction in wastage, capacity building of producers, processors and creation of an efficient supply chain along with significant direct and indirect employment generation.

3. Salient Features of the Scheme

- 3.1. The Scheme aims to facilitate the establishment of a strong food processing industry backed by an efficient supply chain, which would include collection centers, primary processing centers and cold chain infrastructure. The food

- processing units, under the scheme, would be located at a Central Processing Centre (CPC) with need based common infrastructure required for processing, packaging, environmental protection systems, quality control labs, trade facilitation centers, etc.
- 3.2. The extent of land required for establishing the CPC is estimated to be between 50-100 acres, though the actual requirement of land would depend upon the business plan of investor(s), which may vary from region to region. CPC would be supported by Primary Processing Centers (PPC) and Collection Centers (CCs) in identified locations based on a techno-feasibility study, adequate to meet the raw material requirements of the CPC. The land required for setting up of PPCs and CCs at various locations would be in addition to land required for setting up the CPC.
 - 3.3. It is expected that, on an average, each project may have around 25-30 food processing units with a collective investment of around Rs. 250 crore that would eventually lead to an annual turnover of about Rs. 450-500 crore and **creation of direct / indirect employment of about 5000 persons. Each MFP on being fully operational will also benefit about 25000 farmers.** However, the actual configuration of the project may vary depending upon the business plan for each Mega Food Park. The aggregate investment in CPC, PPCs and CCs should be proportionate and commensurate to the size of the total project keeping in view the economies of scale.
 - 3.4. The spirit of the guidelines of the Mega Food Parks Scheme is to facilitate setting up of only food processing industries. Accordingly, only food processing industries that make food products fit for human / animal consumption may be permitted to be set up in the Mega Food Parks. Packaging facilities of food products as ancillary to the food processing industries will also be eligible for setting up in the Mega Food Parks.

4. Pattern of Assistance

- 4.1 The Scheme shall provide a capital grant at the rate of 50 percent of the *eligible project cost** in general areas and at the rate of 75 percent of eligible project cost in difficult and hilly areas i.e. North East Region including Sikkim, J&K, Himachal Pradesh, Uttarakhand and ITDP notified areas of the States subject to a maximum of Rs. 50 crore per project.

*The eligible project cost is defined as total project cost but excluding cost of land, pre-operative expenses and margin money for working capital. However, interest during construction (IDC) as part of preoperative expenses and fee to Project management consultant (PMC) up to 2% of the approved grant would be considered under eligible project cost.

- 4.2 In the interest of expeditious implementation of the projects, the Ministry would engage a Program Management Agency (PMA) to provide management, capacity building, coordination and monitoring support. For meeting the cost of the above and also other promotional activities by the Ministry, office expenses & travel

expenses related to the scheme amounting up to 5% of the overall grant available, will be earmarked.

- 4.3 The project cost for the purpose of eligibility under this Scheme would consist of the following components:

I. Core Processing Facilities

- 4.3.1. **Central Processing Center:** Cost of civil work & equipments for common facilities like testing laboratory, cleaning, grading, sorting and packing facilities, dry warehouses, specialized storage facilities, cold storage including Controlled Atmosphere Chambers, Pressure Ventilators, variable humidity stores, pre-cooling chambers, ripening chambers etc., cold chain infrastructure including reefer vans, packaging unit, irradiation facilities, steam sterilization units, steam generating units, Food incubation cum development centers etc.
- 4.3.2 **Primary Processing Centers and Farm Proximate Collection Centers:** These shall have components like cleaning, grading, sorting and packing facilities (including equipment), dry warehouses, specialized cold stores including pre-cooling chambers, ripening chambers (including equipment), reefer vans, mobile pre-coolers, mobile collection vans etc.
- 4.3.3 The above mentioned facilities are only illustrative and the exact nature of facilities may vary from project to project based on specific requirements as appraised by the concerned bank. However, it is desirable to allocate at least 25 percent of the eligible project cost towards creation of above mentioned core processing facilities.

II. Factory buildings

- 4.3.4 Depending on demand in the area, the Mega Food Park may provide standard factory sheds for Micro and Small Enterprises (MSEs) which are to be built on a maximum of 10 per cent of the area of CPC as part of plug and play facilities for MSEs.

III. Enabling Basic Infrastructure

- 4.3.5 It will include site development including development of industrial plots, boundary wall, roads, drainage, water supply, electricity supply including captive power plant, effluent treatment plant, telecommunication lines, parking bay including traffic management system, weighbridges etc. at the PPC and CPC level. However, of the total proposed cost of captive power plant, cost not exceeding Rs.10 crore shall be considered as eligible project cost for grant assessment. Any additional cost towards setting up of captive power plant

would be required to be met exclusively from SPV's contribution through equity and debt. The SPV has to demonstrate a firm plan to ensure good quality and assured power supply to prospective units in the Park.

IV. Non-Core Infrastructure

4.3.6 It will consist of support infrastructure such as administrative buildings, training center including equipment, trade and display center, crèche, canteen, worker's hostel, offices of service providers, labour rest and recreation facilities, marketing support system, etc. However, the cost of non-core infrastructure facilities not exceeding 10 percent of the eligible project cost, would be eligible for grant purpose.

V. Project Implementation Expenses

4.3.7 This would include cost of hiring the services of domain consultants by the SPV's for preparation of DPRs, supply chain management, engineering/designing and construction supervision etc.

VI. Land

4.3.8 At least 50 acres of land for the project shall be arranged by the SPV either by purchase or on lease of at least 75 years. The registered value of such land would be taken as part of the project cost and contribution/share of the SPV. The GoI grant shall not be used for procurement/purchase of land. The land and/or infrastructure taken on lease for PPCs / CCs, the lease period should be at least 25 years.

5. Implementation Process

5.1. Special Purpose Vehicle (SPV)

5.1.1. The responsibility of execution, ownership and management of the Mega Food Park would vest with a Special Purpose Vehicle (SPV) registered under the Companies Act. However, State Government/ State Government entities/Cooperatives applying for the project under the scheme will not be required to form a separate SPV.

5.1.2. The Anchor Investor in the SPV holding majority stake, with or without other promoters of the SPV, will be required to set up at least one food processing unit in the park with an investment of not less than Rs. 10 crore. The Anchor Investor will have at least 51% stake in such processing unit(s). However, Setting up of alcoholic beverage unit as an anchor unit will not be allowed. State Government/ State Govt. entities/ Cooperatives will not be required to set up Anchor unit in the park.

5.1.3. The Food Processing unit(s) to be set up by the Anchor Investor in the Mega Food

Park will be completed and commissioned along with the commissioning of the Mega Food Park project by the SPV.

5.1.4. The preference for sanctioning assistance under the Scheme may be given to those SPVs which focus on processing of wide range of perishable products.

5.1.5. Only one Mega Food Park project will be sanctioned in a district.

5.1.6. No second proposal will be considered for sanction from the same promoter(s) within two years of the completion* of already allotted mega food park project. Thereafter, the allotment of second project from the same promoter(s) will be based on the assessment of performance of earlier allotted project.

*Completion of MFP means operationalization of CPC and PPC, allotment of at least 75% of total leasable area / plots, commencement of operations in at least 25% of the units and operationalization of Anchor unit.

5.2 Eligibility criteria for SPV / Implementing Agency (IA)

5.2.1 The main eligibility criteria of the SPVs / Implementing Agencies (IAs) of the project under the Scheme, are indicated below:

- i. SPV shall be a body corporate registered under the Companies Act. However, in case of State Government/ State Government entities/Cooperatives implementing the project, registration of a separate SPV under the Companies Act will not be necessary.
- ii. The promoter holding maximum equity in the SPV will be the lead promoter. The lead promoter will be primarily responsible for co-ordination with all stakeholders including with the Ministry of Food Processing Industries to ensure effective implementation of the project.
- iii. The combined net worth of the promoters/proposed shareholders of SPV should not be less than Rs.50.00 crore. Each member in SPV must have a net worth at least 1.5 times of his/her proposed equity contribution in order to ensure requisite contribution for the project from each shareholder.
- iv. The SPV needs to bring in at least 20 percent of the total project cost as equity in general areas and at least 10 percent of the total project cost in difficult and hilly areas i.e. North East Region including Sikkim, J&K, Himachal Pradesh, Uttarakhand and ITDP notified areas of the States. However, State Government / State Government entities will be required to contribute at least 10 percent of the total project cost of the Mega Food Park project, not necessarily, in the form of the equity.
- v. Central Government agencies becoming shareholders in the SPV, can only hold up to 26 percent of equity in the SPV. However, there will be no such restriction on State Govt./ State Govt. entities/ its Cooperatives.
- vi. SPVs / IAs are not permitted to sell the plots in Mega Food Parks. The plots can only be given on lease to other entrepreneurs for setting up of food processing units in the Park.

- vii. The common facilities in the park cannot be sold or leased out. They can only be offered to units on rental basis.
- viii. Every SPV / IA will publish the user charges/hiring rates for common facilities and lease rental rates for plots and factory buildings for MSEs in the Mega Food Park on their websites for wider information of the prospective investors. This information will also be made available to Ministry of Food Processing Industries and State Government concerned for uploading on their websites.

5.2.2 The Implementing Agency would be responsible for the following:

- i. To formulate the Detailed Project Report (DPR) and execute the project in a transparent, efficient and timely manner.
- ii. To procure/purchase land and ensure external infrastructure linkages for the project.
- iii. To obtain statutory approvals/clearances including environmental clearances, which are prerequisite for commencement and operation of the Project.
- iv. To achieve financial closure and ensure completion of the project.
- v. To own and maintain the common infrastructure including common facilities.
- vi. To receive grant-in-aid under the Scheme, and to ensure its utilization in a transparent and judicious manner.
- vii. To maintain proper accounts of the project implementation and the maintenance of infrastructure and common facilities after commissioning of the project.

5.3 Program Management Agency (PMA)

5.3.1 The Ministry will appoint Program Management Agency (PMA) to assist it in implementation of the Scheme. The PMA will be a reputed institution with extensive experience in project development, management, financing and implementation of infrastructure projects.

5.3.2 The envisaged role of PMA is as follows:

- i. To assist the Ministry in organizing workshops/media campaigns aimed at sensitizing the potential stakeholders about the scheme.
- ii. To assist the Ministry in inviting Expression of Interest for projects under the Scheme.
- iii. To assist the Ministry in selection of projects through evaluation/appraisal of techno-feasibility reports and DPRs submitted for Mega Food Park projects. Appraisal of the DPRs will include examination of financial viability and sustainability of Ownership & Management structure of the projects.
- iv. To assist in the evaluation of any amendments to the projects/DPRs.
- v. To assist the SPVs in achieving financial closure and obtaining necessary clearances from various authorities for the Project.

- vi. To assist the Ministry in release of the grant under the Scheme.
- vii. To monitor and report the progress of the Mega Food Park projects to the Ministry.
- viii. To maintain and update the database of the projects on monthly basis in the software decided by the Ministry.

5.4 Project Management Consultant (PMC)

- 5.4.1 In addition to the PMA, for ensuring smooth implementation of projects at ground level, Ministry has drawn up a panel of Project Management Consultants (PMC) with experience in preparation of DPRs for large projects and in project implementation. Any of these Ministry's empanelled agencies may be engaged by the SPVs for preparation of DPRs and for assistance in implementation and the cost of which would be considered as one of the eligible components of the project. However, such cost should not exceed 2% (inclusive of taxes) of the eligible grant amount of the project. The list of agencies empanelled by the Ministry is given at **Annexure-A**. The Ministry may revise the list from time to time.
- 5.4.2 In addition to assisting SPV in finalising business plan and preparing Detailed Project Report for the project, which would meet the guidelines of the Scheme and requirements of banks/financial institutions providing term loan for the project, the envisaged role of PMC, inter-alia, would be as follows:
- i. Detailed engineering and design including preparation of detailed cost estimates for various project components/facilities,
 - ii. Assistance to SPV in preparation of a procurement policy, bid documents and selection and appointment of contractors/equipment suppliers in a transparent manner, for project construction and supply of plant and machinery,
 - iii. Monitoring and overseeing the work output of the contractors/equipment suppliers in compliance of the terms and conditions of the contracts/appointments with the objective of ensuring quality, completeness and compatibility of the work carried out in relation to the Project,
 - iv. Assistance to SPV in preparing all necessary documentation for submission to Ministry in order to facilitate release of funds sanctioned under Scheme
 - v. Assistance to SPV in submission of Monthly Progress Reports to Ministry in prescribed format.
- 5.4.3 SPV would enter into an agreement with PMC as per Draft Agreement prepared by the Ministry and any change in PMC later needs to be approved by the Ministry.
- 5.4.4 While PMC would be working primarily with SPV for smooth implementation of

the project, the Ministry may, if required, directly seek reports from PMC on the aspects of project implementation.

5.5 Expression of Interest

- 5.5.1 In response to the notice inviting Expression of Interest (EoI) by Ministry for selection of Projects, a proposal for the proposed Mega Food Park will be submitted by the promoters/SPV. An illustrative list of points to be covered in the proposal along with EoI is provided at **Annexure- B**. The proposal will be evaluated by the Ministry through the PMAs.
- 5.5.2 The proposal would have tentatively identified the locations of the CPC and PPCs, availability of land, potential investors for food processing units in the park, proposed level of investment including the estimated project cost and the proposed means of finance, the number and type of food processing units, and requisite backward and forward linkages. The proposals having ownership and possession of suitable land with Change in Land Use (CLU) for the project will be given preference.

5.6 In-Principle Approval

- 5.6.1 The proposal submitted in response to the EoI will be evaluated by the Program Management Agency (PMA). The applicants will be invited to make a presentation of their proposals before the Technical Committee (TC).
- 5.6.2 The PMA will undertake evaluation on a scale of 100 points on the basis of EoI proposals while the TC will undertake independent evaluation on a scale of 50 points on the basis of the presentation made by the applicants. The final evaluation report along with the recommendations of the TC will be placed before the Inter-Ministerial Approval Committee (IMAC) for consideration of “In-Principle Approval” to the projects. The criteria for evaluation by PMA & TC are given at **Annexure- C** and **D** respectively.
- 5.6.3 If the SPVs / IAs fail to submit the requisite DPRs along with other documents needed for Final Approval, within 4 months from the date of issue of “In-Principle Approval”, the “In-Principle Approval” will be automatically cancelled, unless extension of time is granted by the Ministry.

5.7 Final Approval

- 5.7.1 Project will be accorded Final Approval on fulfillment of the following conditions:
- i. Submission of Detailed Project Report (DPR) consisting of technical,

commercial, financial and management aspect of the project and its appraisal/recommendations of the PMA and Technical Committee. The DPR should include cluster analysis depicting availability of raw materials, legible contour survey report and contour plan/maps of the proposed land, site analysis for element like soil analysis, flood history, onsite features etc. for realistic cost estimate of land development and construction, detailed master plan along with sectional drawings and building plan with legends giving clear picture/title of drawings and other relevant details, construction cost certified by Chartered Engineer, cost of plant and equipment backed with quotations from equipment and machinery suppliers etc. and its appraisal/recommendations of PMA and Technical Committee.

- ii. Submission of proof for possession of at least 50 acres of contiguous land by the SPV for the CPC. The land should have permission for change of land use for industrial /infrastructure purposes.
- iii. Submission of proof for incorporation of SPV and execution of Share Subscription Agreement (SSA) amongst the members of SPV, as per draft SSA to be given by the Ministry.
- iv. Plan to fund the project duly supported by proposed equity / contribution, clearly suggesting the contribution from each of the shareholders and sanction of term loan from the bank along with bank appraisal report.
- v. Proof of appointment of Project Management Consultant (PMC). The PMC for the project should be selected from the agencies empanelled by the Ministry.

6. Technical Committee and Project Inter Ministerial Approval Committee:

6.1 Technical Committee headed by the Additional / Joint Secretary (MoFPI) would scrutinize the proposals and Detailed Project Reports along with the appraisal notes of PMA, and provide its recommendations to the Inter-Ministerial Approval Committee. The other members of the Technical Committee shall be as follows:

- i. Representative of NITI Aayog- Member
- ii. Joint Secretary, MNRE or his nominee- Member
- iii. Economic Advisor, MoFPI- Member
- iv. Joint Secretary/Director (Finance) MoFPI- Member
- v. Principal Secretary / Secretary of the concerned State- Member
- vi. Financial Expert from a Bank/ Financial institution- Member
- vii. Representative of National Horticulture Board as Expert Member
- viii. Joint Secretary (MIDH), Department of Agriculture & Cooperation or his nominee- Member
- ix. Director, Mega Food Park, MoFPI- Member Secretary

6.2 The Inter-Ministerial Approval Committee (IMAC), headed by Hon'ble Minister of Food Processing Industries shall select the projects and grant "In-Principle" and "Final Approvals" to the projects. The IMAC will also monitor the implementation of the projects sanctioned under the Scheme. The members of the Committee shall be as follows:

- i. Hon'ble Minister of Food Processing Industries- Chairperson
- ii. Secretary, MoFPI- Member
- iii. Additional Secretary & Financial Advisor, MoFPI- Member
- iv. Additional / Joint Secretary, In-charge, Mega Food Park Scheme, MoFPI- Convener & Member
- v. Principal Secretary / Secretary (Industries / FPI) of the concerned State- Member
- vi. Joint Secretary (MIDH), Department of Agriculture & Cooperation, Ministry of Agriculture- Member
- vii. Joint Secretary, Ministry of Micro, Small and Medium Enterprises- Member
- viii. Joint Secretary , Department of Animal Husbandry, Dairying and Fisheries- Member
- ix. Joint Secretary, MNRE- Member
- x. Representative of NABARD as Financial Expert- Member
- xi. Representative of the Bank which has appraised by project- Member

7. Role of State Government

7.1 The role of the State Government is envisaged in the following areas:

- i. Providing assistance to SPVs in procurement/purchase of suitable land.
- ii. Providing all the requisite statutory clearances including permission for sub-leasing of land by SPV, wherever needed, for setting up the MFP and its components thereof and providing the necessary assistance for Power, Water, approach roads and other external infrastructure to the project
- iii. Providing flexible and conducive labour environment and consider special facilities like exemption of stamp duty, VAT/Sales Tax exemption etc. for the MFP and the units located in the MFP.
- iv. Monitor the implementation of project.
- v. Nominates a suitable officer to be appointed as Ministry's nominee Director in the SPV.
- vi. Providing a fast track single window agency to facilitate clearances and permissions required for the project.

8. Dovetailing of Assistance and Revisions in Project Cost

8.1 Considering the complexities and challenges associated with a supply chain linked agricultural infrastructure projects of this nature, the SPV / IA may dovetail assistance available under various other schemes of Central and State Governments, which would improve the viability of the projects. While

dovetailing such assistance, it will be ensured that there is no duplication of assistance for the same component/activity of the project.

- 8.2 The revision in project cost after final approval of the project may be considered by the IMAC.

9. Release of Funds

- 9.1 Once the project is accorded Final Approval by the Inter-Ministerial Approval Committee (IMAC), the grant will be released by the Ministry subject to fulfillment of conditions prescribed for each installment as below:

- 9.1.1 First Installment of 30 percent of total grant under the Scheme will be released subject to fulfillment of following criteria:

- i. Establishment of Trust and Retention Account and signing of the TRA Agreement with any Schedule - A Commercial Bank and Regional Rural Banks (RRB). Draft TRA Agreement, clearly giving mode of account operation and duties/responsibilities of lending bank, SPV and PMC, would be shared by the Ministry with SPV / IA.
- ii. Appointment of Ministry's Nominee Director on the Board of the SPV. Representative of State Government will be appointed as a nominee of the Ministry. Tenure of the Ministry nominee will be co-terminus to the operationalization of the project.
- iii. Proof of increase in authorized capital of SPV to allow stipulated equity contribution as per approved means of finance for the project.
- iv. Expenditure certificate from Chartered Accountant confirming expenditure of at least 10 percent of the eligible project cost on the project components. Such expenditure shall be from the bank term loan and promoter's equity proportionately. However, State Governments and its entities will not be required to incur proportionate expenditure.
- v. Award of contracts worth at least equivalent to 30 percent of total project cost including at least 20 percent of approved components of basic enabling infrastructure.
- vi. Recommendation of PMA confirming the fulfillment of above conditions.

- 9.1.2 Second Installment representing 30 percent of approved grant assistance will be released to SPV subject to fulfillment of following criteria:

- i. Utilization Certificate for the 1st installment.
- ii. Proof of proportionate expenditure by SPV from term loan and equity equivalent to the grant amount released as 1st installment.
- iii. Proof of proportionate contribution by SPV from term loan and equity in TRA account, of the eligible project cost equivalent to percentage of grant to be released as 2nd installment.

- iv. Submission of documents as proof of possession of land for all PPCs along with construction schedule.
- v. Proof of commencement of construction of Standard Design Factory sheds for SMEs.
- vi. Proof of allotment of at least 25% of total allotable plots as per approved DPR.
- vii. Recommendation of PMA confirming the fulfillment of above conditions.

9.1.3 Third Installment representing 20 percent of approved grant assistance will be released to SPV subject to fulfillment of following criteria:

- i. Utilization Certificate for the grant released as 2nd installment.
- ii. Proof of proportionate expenditure by SPV from term loan and equity equivalent to the grant amount released as 2nd installment.
- iii. Proof of proportionate contribution by SPV from term loan and equity in TRA account equivalent to the grant amount to be released as 3rd installment.
- iv. Certificate from PMC confirming completion of at least 40 percent of construction of PPCs and proof of expenditure of at least 40 percent of the total proposed cost for PPCs as per approved DPR
- v. Certificate from PMC confirming completion of at least 50 per cent construction of Standard Design Factory sheds for SMEs.
- vi. Proof of allotment of at least 50% of total allotable plots as per approved DPR.
- vii. Recommendation of PMA confirming the fulfillment of above conditions.

9.1.4 Fourth and final Installment representing 20 percent of approved grant assistance will be released to SPV subject to successful completion of project and commencement of operations. The criteria for completion of project are as follows:

- i. Utilization Certificate for the grant released as 3rd installment.
- ii. Proof of expenditure of 100% envisaged contribution of SPV including term loan and equity on the approved project components.
- iii. Certificate from PMC confirming completion of the project as per approval.
- iv. Proof of allotment of at least 75 percent of total allotable plots as per approved DPR and commencement of operations in at least 25 percent of the units.
- v. Completion and Commissioning of the Processing unit(s) of the Anchor Investor in the Park.
- vi. Recommendation of PMA confirming the fulfillment of above conditions.

9.2 The fund released by Govt. of India shall be kept in a separate bank account as stipulated in Trust & Retention Account (TRA) Agreement.

- 9.3 In the event of SPV / IA withdrawing from executing the Project, SPV / IA shall return the amount of grants-in-aid released by MOFPI together with the interest accrued thereon, within a period of not more than 60 days of acceptance of its withdrawal by MOFPI. The accrued interest shall be calculated at the SBI Benchmark Prime Lending Rate prevalent at the time or 10% per annum, whichever is higher. In the event of failure of the SPV in refunding the grant amount along with interest within period specified, a penalty may be imposed by the Ministry.
- 9.4 SPV shall submit a Utilization Certificate (UC) of the amount of grant released by the Ministry as per provisions of General Financial Rules in the format given at **Annexure-E**.

10. Time Schedule:

- 10.1 The time schedule for completion and operationalization of project will be 30 months as detailed below from the date of issue of final approval letter unless extended by IMAC for the reasons to be recorded:

Sl. No.	Particulars	Time Period
1.	Final Approval to release of 1st instalment	6 months
2.	1st instalment to release of 2nd instalment	8 months
3.	2nd instalment to release of 3rd instalment	8 months
4.	3rd instalment to release of 4th and final instalment	8 months
	Total	30 months

- 10.2 The SPV shall make all possible efforts to complete the projects as per the stipulated timelines committed to while seeking approval for the project. In case of non-adherence to stipulated timeline, except in case of force de majeure or reasons beyond the control of SPV, the IMAC may consider imposing appropriate penalty in terms of reducing the grant amount, on case to case basis.

11. Project Monitoring and Evaluation

- 11.1 The Ministry will periodically review the progress of the projects under the Scheme. The PMA would devise a suitable project monitoring system and shall furnish monthly reports/returns to the Ministry on the progress of the approved projects.
- 11.2 The Implementing Agency / SPV of the successfully completed projects will submit the following documents every year to the MoFPI for next five years from the date of release of 4th and final installment of the approved grant:-
- Audited Annual Financial Statement of the SVP showing balance sheet, profit & loss account, schedule and notes to accounts of the Mega Food Park project separately.
 - Percentage capacity utilization of the CPC and PPC facilities.

- c) Status of functioning of each food processing unit setup in the MFP.
12. The decision of the IMAC shall be final and binding on all concerned parties on the interpretation of the provisions of these guidelines and the matters related / incidental thereto.
 13. **Court's Jurisdiction:** Any dispute on selection/ rejection and/ or implementation/ cancellation/ withdrawal of the proposal/ project under the scheme will be subject to Courts/ Tribunals having jurisdiction over Delhi.

**List of the empanelled Project Management Consultants (PMC) for Mega Food Parks Scheme
(This list will be updated from time to time with the approval of the Government)**

Sl. No.	Name and Address of PMC	Contact Person	Contact Details and Email
1.	IL&FS Cluster Development Initiatives Ltd., 2nd and 3rd Floor, NTBCL Building, Toll Plaza, DND Flyway, Noida-201301 Uttar Pradesh	Shri Ravi Ranjan Mishra, Senior Vice President	Mob: 9899277820/9971000250 Tel: 0124-2459200 Fax: 0124-2459201 Email: ravi.mishra@ilfsindia.com
2.	Wadia Techno-Engineering Services Ltd., Wing 'A', Raheja Point I, Pt. Jawaharlal Nehru Road, Vakola, Santacruz (East), Mumbai-400055	Shri Vicky Mansharamani, General Manager, CS & BD	Mob: 9820904082 Tel: 022-67339400 Fax: 022-26673193 Email: bd@wadiaengg.com, vicky.mansharamani@wadiaengg.com
3.	Grant Thornton India LLP, 21st Floor, DLF Square, Jacaranda Marg, DLF Phase-II, Gurgaon-122002	Shri Kunal Sood, Associate Director	Mob: 9849013872, 9971199600 Tel: 0124-4628000 Fax: 0124-4628001 Email: gv.subrahmanyam@in.gt.com ; kunal.sood@in.gt.com
4.	Technopak Advisors Pvt. Ltd., 4th Floor, Tower-A DLF Building B, DLF Cyber City, Phase-II, Gurgaon- 1222002	Shri Anupam Bajpai, Associate Vice President	Mob: 9650406699 Tel: 0124-4541111 Email: anupam.bajpai@technopak.com
5.	Darashaw & Company Pvt Ltd., 6th Floor, Express Building, 14th "E" Road, Near Government Law College, Churchgate (West) , Mumbai-400020	Shri Pradeep Kumar, Associate Vice President	Mob: 9987793711 Tel: 022-43022300/370 Email: pradeep-kumar@darashaw.com
6.	Global AgriSystem Pvt. Ltd. J-10, Green Park Main, New Delhi- 110016, India	Shri Rasik Patnaik General Manager, Business Development	Mob: 9540220689 Tel: 011-46360000 Email: rpatnaik@globalagri.com, consulting@globalagri.com ; ythakur@globalagri.com
7.	NABARD Consultancy Services Pvt. Ltd., New Delhi Corporate Office 24, Rajendra Place, 1st Floor NABARD Tower, New Delhi- 110125	Dr. B.R. Premi, AGM	Mob: 8108599440 Tel: 022-26539419 Fax: 022-26520199 Email: br.premi@nabcons.in

The list of the Points / Information to be covered in the EoIs / Proposals

(The objective of this Checklist is to facilitate the potential promoters to submit the proposal covering the salient features of the proposed Project, to enable the assessment of the project against the criterion as listed in Annexure- C & D)

1. Profiles of the Promoters who will be the key shareholders of the Proposed SPV

- 1.1. Names and brief profiles of the proposed promoters/shareholders of SPV along with their contact details.
- 1.2. Indicate the nature and location of existing operations of the Promoters.
- 1.3. Audited balance sheets for last 3 years or Chartered Accountant (CA) Certificates that would establish the net worth of each of the promoters. In case of companies, CA certificates need to be certified by their statutory auditors.
- 1.4. A brief note as to why the promoters are keen to undertake the Mega Food Park project, their vision etc.
- 1.5. In case the SPV is already registered, the details of the SPV including shareholding pattern.
- 1.6. Any other relevant information that would establish the credentials and suitability of the promoters in the context of the Scheme.

2. Profile of the Proposed Project

- 2.1. Rationale for proposed cluster/location in terms of availability of agricultural produces and marketable surplus, with focus on perishable produces.
- 2.2. Proposed Area and availability of requisite land for establishment of central processing center(CPC), primary processing centers (PPCs) and collection centers (CCs) along with tentative layout of the CPC and a typical PPC/ CC.
- 2.3. In case of CPC, selection of site needs to be justified in terms of connectivity and availability of basic infrastructure including power, water, approach road etc.
- 2.4. In case of land being available with promoter(s), proof of possession of land in form of sale deed/lease deed (CLU if applicable).
- 2.5. Details of the proposed core processing facilities (both at CPC and PPCs) and rationale for their selection in terms of availability of raw materials/market and type of food processing units being targeted.
- 2.6. Details of proposed enabling basic infrastructure including requirements of basic utilities like power, water, effluent treatment (both at CPC and PPCs) along with rationale in terms of overall business plan
- 2.7. Details of proposed non-core infrastructure (both at CPC and PPCs) and their justification
- 2.8. Above details for various project components should include area required, estimated capacities and costs for various facilities

- 2.9. Proposed strategy/methodology for building supply chain to ensure supply of raw materials, particularly fruits and vegetables, to the food processing units inside CPC, including estimated quantities
- 2.10. Proof of backward and forward linkages with verifiable details of the linkages, if any.
- 2.11. Estimated turnover of the proposed food processing industry units covered in the project, after successful execution of the project
- 2.12. Estimated direct and indirect employment generation out of implementation of the project, and other impact on the industry and farm produce in the project area
- 2.13. Investment details, mix of the products and processes and area requirement of the processing unit(s) to be set up by the Anchor Investor in the park.
- 2.14. Any other related information.

3. Project Financials and Business Plan

- 3.1. Summary of estimated cost of each of the eligible components of the project for funding by Government as outlined in the Scheme
- 3.2. Proposed means of finance to fund the project: equity, debt etc
- 3.3. The amount of grant support needed for the project, as per the Scheme
- 3.4. Tie-ups with Financial Institutions/Banks, if any, for funding of the Project
- 3.5. Proposed Business Plan –Estimated revenue sources and assumptions, Estimated operating costs and assumptions, Projected profit and loss statements, balance sheets and cash flows based on these assumptions
- 3.6. Key financial indicators such as IRR, DSCR based on above financial assumptions

4. Documents in support of networth:

- a. The net-worth in case of Companies would be calculated based on the definition of net-worth in the Companies Act 2013. However, the re-valuation reserves may be considered as part of the net-worth only if the same is reflected in the Audited Balance Sheet of the Company and continue to be reflected in the Audited Balance Sheet of the Company.
- b. In case of land / building forming part of the networth, the ownership documents, duly authenticated by the competent State Revenue Authority shall be submitted. The valuation of the immovable assets on the basis of circle rates (as on date of application) declared by the concerned State Government should be duly certified by the competent State Revenue Authority.
- c. In case of investment in shares of the listed companies, proofs of the market value of the share at the time of calculation of the value of the investment shall be submitted.
- d. In case of investment in unlisted companies, the latest audited financial statements alongwith complete schedules and notes forming part thereof, duly certified by the

Statutory Auditors shall be submitted in order to calculate the value of shares in that company.

- e. The miscellaneous assets shall be clearly specified and basis of calculation of their value, duly certified by the concerned Govt. approved valuer shall be submitted.
- f. The above valuation must be carried out within a period of 30 days preceding EOI bid submission date.
- g. In the case of proposed SPV shareholders, if there is cross holding of the net-worth amongst the Members (e.g. both a company as well as the shareholders that company are the proposed SPV shareholders), the net-worth of the company would be considered in full, however, net-worth of the individual would be considered only to the tune after discounting its shareholding in the company which is a proposed SPV shareholder.

5. The applicant / promoter has to submit an Undertaking affirming:

- a) that the SPV / Group company (as defined in the Company Law) as well as the applicant company itself has / has not obtained any financial assistance for a food processing project in the past from MFPI. If yes, then complete details are required to be furnished.
- b) that the SPV / applicant company has not obtained/applied for or will not obtain any grant/subsidy from any Ministry/Department of Central Govt/GOI organization/agencies and State Govt for the same activity / components. If yes, then complete details are required to be furnished.

Criteria for Assessment/ Evaluation of EoIs/ Proposals by PMA

Sl. No.	Criteria	Max. Score	Reference Documents to be reviewed
A.	Land	40	
A 1	Possession of Appropriate Land	25	
a)	Complete title and possession of 50 acres or more land in the name of SPV along with CLU	25	CLU and Land Ownership Documents
b)	Complete title and possession of 50 acres or more land in the name of SPV	20	Ownership documents
c)	Allotment letter from State Govt. Agencies to the SPV or its member(s)	15	State Govt. land allotment letter
d)	50 acres or more land available with one or more promoters	10	Ownership documents
e)	Agreement to Sale/Purchase 50 acres or more Land	5	Copy of Agreement
f)	Land identified, but not acquired	0	
A 2	Location of Land	15	
a)	Proof of Water and Power Connection (2.5 marks each)	5	Letter/Certificate from respective Municipal body/Govt. authority
b)	Availability of Approach Road	5	Letter from local body confirming the availability of approach road
c)	Distance from NH/ SH (within 5 kms)	2	Certification from Tehsildaar/Local revenue department and Site coordinates
d)	Nearness of CPC location from domestic consumption center/ exports i.e. Metro/ Tier 1 cities/ Ports (within 50 kms)	2	Copy of map
e)	Distance from APMC Market from CPC (with in 50 kms)	1	
B	Viability of Cluster	10	
B 1	Days of Operations of the Core Facility	5	Revenue Model, crop seasonality matrix and data on marketable surplus of the focused crops in the catchment area
a)	300 and above days	5	”
b)	251 to 300 days	3	”
c)	200 to 250 days	2	”
d)	Less than 200 days	0	

B 2	Availability of raw material within 100 km of the project site	5	”
a)	Availability of surplus perishable raw material	3	”
b)	Area under cultivation of perishable	2	”
C	Details of Promoters	40	
C 1	Networth of promoters whose proposed shareholding in SPV is 26% or more	15	Audited Balance Sheet/ CA Certificate/ Related Net-worth Documents
a)	More than 200 crore	15	
b)	Rs 151 cr - Rs 200 cr	12	
c)	Rs 101 Cr - Rs 150 Cr	10	
d)	Rs 50 Cr - Rs 100 Cr	5	
C 2	Existing Linkages of Promoters	15	
(i)	Existing Backward Linkage	5	Documents in support of linkage like ownership, existing facilities
a)	Project in the same region/ catchment with existing backward linkages	5	Ownership documents
b)	Project in different region/ catchment with existing backward linkages in the proposed project area	3	Ownership documents
c)	No existing backward linkages	0	
(ii)	Existing Forward Linkages	10	Details of linkages with supporting documents
a)	Existing forward linkages	10	
b)	No existing forward linkages	0	
C 3	Food Processing Experience	10	Balance Sheet of existing operations
a)	Turnover > Rs.10 crore	10	”
b)	Turnover from Rs.1 crore to Rs.10 crore	5	”
D	Anchor Investment Unit	10	
a)	More than 20 Crore	10	Undertaking along with project profile
b)	Rs 15 Crore to 20 Crore	5	Undertaking along with project profile
c)	Less than 15 Crore	0	
	Total	100	

Criteria for Evaluation of Technical Presentation by Technical Committee (TC)

Sl. No.	Criteria	Max. Score	Reference Documents to be reviewed
A	Proposed Project Model	15	
A 1	Synchronization of Core Processing facilities with focused crops	10	DPR/ Cluster Analysis and Project Components
a)	Common Processing Facilities at CPC and PPC in synchronization with focused crops	10	”
b)	Common Processing Facilities at CPC or PPC in synchronization with focused crops	5	”
c)	No synchronization	0	
A 2	Eligible Investment in PPC/CC	5	
a)	More than 20% of eligible project cost	5	DPR/ Project Cost
b)	10-20% of eligible project cost	3	”
c)	Less than 10%	1	”
B	Investment in Mega Food Park	30	
B 1	Focus on Perishables (as % age of total investment in Core Processing Facilities)	15	DPR/ Project Cost and Components
a)	More than 40%	15	”
b)	30-40%	10	”
c)	10-30%	5	”
B 2	Total Eligible Investment in the MFP	15	DPR/ Project Cost
a)	More than Rs 150 Crore	15	”
b)	Rs 130 Cr - Rs 150 Cr	10	”
c)	Rs 100 Cr - Rs 129 Cr	5	”
C	Special Strength	5	
a)	Any promoter with shareholding of 26% and more having existing export operations in food products	2	Supporting documents
b)	Any foreign food processor investor in the SPV as promoter (with shareholding 26% and more)	2	Supporting documents
c)	State Govt. support for the project	1	letter from state government confirming necessary support to the project
	Total	50	

Format for Utilization Certificate

FORM GFR 19-A

[See Rule 212(1)]

Sl. No.	Letter No. and Date	Amount
	Total	

Certified that out of Rs..... of grants-in-aid sanctioned during the year.....in favour of..... Under Ministry of Food Processing Industries Letter No. given in the margin and Rs.....on account of unspent balance of the previous year, a sum of Rs.....has been utilized for the purpose of.....for which it was sanctioned and that the balance of Rs..... remaining unutilized at the end of the year has been surrendered to Government (*vide* No....., dated.....)/will be adjusted towards the grants-in-aid/ equity payable during the next year.....

2. Certified that I have satisfied myself that the conditions on which the grants-in-aid/ equity was sanctioned have been duly fulfilled/are being fulfilled and that I have exercised the following checks to see that the money was actually utilized for the purpose for which it was sanctioned.

Kinds of checks exercised:

- 1.
- 2.
- 3.

Signature.....
Designation.....
Date.....

REVISED OPERATIONAL GUIDELINES OF THE SCHEME FOR INTEGRATED COLD CHAIN AND VALUE ADDITION INFRASTRUCTURE (effective from 29.08.2016)

1. Background

The Scheme for Integrated Cold Chain, Value Addition and Preservation Infrastructure was launched during 2008 and the original guidelines were notified on 18.03.2010. Based on feedback and consultations with stakeholders, the scheme guidelines were modified on 20.11.2013 and subsequently on 08.08.2014 for the purpose of smooth implementation and to achieve the objective of the scheme. Based on further feedback and experience of implementation of the scheme, the guidelines are further revised with immediate effect. These revised guidelines will be applicable to Expression of Interest (EOI) issued by the Ministry for taking up new Integrated Cold Chain Projects prospectively.

2. Objective

The objective of the scheme is to provide integrated cold chain, preservation and value addition infrastructure facilities without any break, from the farm gate to the consumer in order to reduce post-harvest losses of horticulture and non-horticulture agri-produce. This will enable linking groups of producers to processors and market through a well equipped supply chain and cold chain, thereby ensuring remunerative prices to farmers and year-round availability of food products to consumers.

2.1 Eligible organizations/entities

Integrated cold chain and value addition infrastructure projects can be set up by Partnership/Proprietorship Firms, Companies, Corporations, Cooperatives, Self Help Groups (SHGs), Farmer Producer Organizations (FPOs), NGOs, Central/State PSUs, etc. with business interest in cold chain solutions and also by those who manage supply chain.

3. Components of the Scheme

3.1 The scheme allows flexibility in project planning with special emphasis on creation of cold chain infrastructure at farm level. The scheme will have the following project components:

- a)** Farm Level Infrastructure, which may include processing center, situated in the catchment area of the targeted produce. This shall have one or more of the facilities mentioned in sub-para 3.2 (i to x) below. In addition, it may also have one or more of the facilities mentioned in sub-para 3.2 (xiii to xxi) below.

For projects in the fruits & vegetables sector, farm level infrastructure shall include at least one of the facilities listed at sub-para 3.2 (i), (iii) & (xiii).

- b) Distribution hub - This shall have a modern multi-product, multi-temperature cold storage. It may also include one or more of the facilities mentioned in sub-para 3.2 below depending upon the business plan of the project.
- c) Refrigerated vans/ refrigerated trucks/ insulated vans/mobile insulated tankers.
- d) Irradiation facility.

To avail financial assistance under this scheme, the applicant will have to set up Farm Level Infrastructure as mentioned at (a) above and any one or both of the components from (b) and (c) above.

Considering the functional nature of the facility, irradiation component will be treated as a standalone facility for the purpose of availing grant under the scheme.

3.2 Assistance under the scheme can be availed for creation of the following facilities:

- i. Integrated Pack-house (with mechanized sorting & grading line/ packing line/ waxing line/ staging cold rooms, etc.)
- ii. Ripening Chamber(s)
- iii. Cold Storage Unit(s)
- iv. Controlled Atmosphere (CA) storage
- v. Frozen Storage/Deep freezers
- vi. IQF line, Tunnel Freezer, Spiral Freezer, Blast Freezer, Plate Freezer
- vii. Vacuum Freeze Drying
- viii. Milk Chilling / Bulk Milk Cooling/ Milk Processing Unit
- ix. Poultry/Meat/Marine/Fishery Processing Unit
- x. Packaging line for chilled /frozen/temperature controlled products
- xi. Food Irradiation unit
- xii. Refrigerated/ Insulated transport
- xiii. Pre Cooling Unit(s)
- xiv. Mobile pre-coolers
- xv. Retail refrigerated carts, temperature controlled solar powered retail carts (maximum 10 numbers to be assisted per project)
- xvi. Reefer boats (maximum 10 numbers to be assisted per project)
- xvii. Refrigerated Containers including multi-modal container units
- xviii. Renewable/ alternate energy technologies (solar, bio-mass, wind etc.) for the project.
- xix. Accessories/support infrastructure/ utilities such as fixed racking system in Cold/CA storage, fork lifts, reach trucks, bins, insulated fish boxes, pallets, dock levellers, mezzanine flooring, ETP, boiler, CIP unit, Depodder, Peeler, Slicer/Dicer, Blancher, sorting/grading line, etc.
- xx. In-house product testing laboratory
- xxi. Any other modern technology for temperature controlled storage, processing, value addition and preservation infrastructure as may be decided by Inter

Ministerial Approval Committee (IMAC)

Note: CA Storage should normally be located near production areas. Otherwise, detailed justification to be given in the DPR.

- 3.3 Assistance for refrigerated/insulated transport can be availed either at Farm Level Infrastructure and / or Distribution Hub depending upon the business plan of the project.
- 3.4 Stand alone facilities/component, except irradiation facility will not be considered for assistance under this scheme.
- 3.5 Irradiation facility may also include cold storage, grading and sorting facilities, reefer vans etc. for storage and transportation of raw material and finished products for efficient utilization of the facility.
- 3.6 Both horticultural and non-horticultural produce are eligible for support under this scheme.

4. Ineligible items:

- 4.1 The following items will be considered as non-technical civil works and will be considered ineligible for calculation of grant for the project (The list is only indicative and not exhaustive):-

- (a) Compound Wall
- (b) Approach Road/Internal Roads
- (c) Cost of Land and site development
- (d) Administrative Office Building
- (e) Canteen
- (f) Toilets
- (g) Labour Rest Room and quarters for workers
- (h) Septic tank, drainage, etc.
- (i) Security/ Guard Room or enclosure
- (j) Consultancy fee, taxes, etc.
- (k) Other Non-technical civil works not related to cold chain or storage infrastructure

- 4.2 The following items will also not be considered eligible for calculating the grant for the project (The list is only indicative and not exhaustive):-

- (a) Margin money, working capital and contingencies
- (b) Fuel, consumables, spares and stores
- (c) Computers and allied office furniture
- (d) Transport vehicles other than the reefer trucks/vans/refrigerated carrier/insulated vans/milk tankers
- (e) Pre-operative expenses
- (f) Second hand/ old machines
- (g) All types of service charges, carriage and freight charges, etc.

- (h) Expenditure on painting of machinery
- (i) AC ducting, furniture, computers and other items for office.
- (j) Closed Circuit TV Camera and security system related equipment
- (k) Consultancy Fee, Taxes, etc. on plant and machinery.
- (l) Stationery items
- (m) Plant & machinery not directly related to cold chain infrastructure

The Inter-Ministerial Approval Committee (IMAC) will be the final authority to decide on the admissibility of the grant and the eligibility or otherwise of the items for this purpose.

5. Pattern of assistance: - The scheme will have two types of pattern of financial assistance:-

- (a) For storage infrastructure including Pack House and Pre cooling unit, ripening chamber and transport infrastructure, grant-in-aid @ 35% for General Areas and @ 50% for North East States, Himalayan States, ITDP Areas & Islands, of the total cost of plant & machinery and technical civil works will be provided.
- (b) For value addition and processing infrastructure including frozen storage/ deep freezers associated and integral to the processing, grant-in-aid @ 50% for General Areas and @ 75% for North East States, Himalayan States, ITDP Areas & Islands, will be provided.
- (c) For irradiation facilities grant-in-aid will be provided @ 50% for General Areas and @ 75% for North East States, Himalayan States, ITDP Areas & Islands.

Note:

- (i) Maximum grant-in-aid would be Rs. 10 crore per project.
- (ii) The grant will be provided only in respect of technical civil works and eligible plant & machinery.
- (iii) Cost norms of Mission for Integrated Development of Horticulture (MIDH) issued by Department of Agriculture, Co-operation and Farmers Welfare will be followed wherever available. For facilities not covered under MIDH guidelines, cost norms as determined by the Ministry will be followed.

6. Pattern of release of grant:

The grant-in-aid will be released in three installments of 25%, 40% and 35% as per following schedule:-

- (a) **1st installment of 25%** of the approved grant under the scheme will be released after ensuring that 25% of the promoter's contribution & 25% of the term loan have been spent on the eligible project cost and after site inspection conducted to ascertain the commensurate physical progress of the project. The promoter shall submit the documents along with the request for 1st Installment within 8 months (10 months in case of North East States, Himalayan States, ITDP Areas and Islands) from the date of issue of the approval letter.

- (b) **2nd installment of 40%** of the approved grant under the scheme will be released after ensuring the (i) utilization of first installment of grant released, (ii) 65% of promoter's contribution & 65% of term loan have been spent on the eligible project cost and (iii) after conduct of site inspection to ascertain commensurate physical progress of the project. The promoter shall submit the documents along with the request for 2nd Installment within 14 months (18 months in case of North East States, Himalayan States, ITDP Areas and Islands) from the date of issue of the approval letter.
- (c) **3rd and final installment of remaining 35%** of the approved grant under the scheme will be released after ensuring the (i) utilization of the second installment of grant released, (ii) 100% of promoter's contribution & 100% of term loan has been invested in the eligible project cost, (iii) the project has achieved completion and commercial operation has started and (iv) after joint inspection by a team consisting of the representatives of MoFPI, NHB or APEDA or DADF, the Bank (which has sanctioned the Term Loan) & PMA to ascertain the completion of the project and start of commercial operation /production. The promoter shall submit the documents along with the request for 3rd Installment within 20 months (24 months in case of North East States, Himalayan States, ITDP Areas and Islands) from the date of issue of the approval letter.
- (d) The documents to be submitted by the promoter for the release of 1st, 2nd and 3rd installment of the grant are at **Appendix-I**.
- (e) As an incentive to those projects where criteria for release of 2nd and 3rd installments have been fulfilled by the promoter, both 2nd and 3rd installments can be released together as one installment. In such cases, the promoter shall submit all the required documents along with utilization certificate for the 1st installment- in a single application - for release of balance 75% of the approved grant. All the formalities and due diligence as stated above for release of 2nd and 3rd installments shall be carried out before releasing the grant.

7. Implementation Schedule and Penalty:

- 7.1** The implementation schedule for the project would be 20 months in general areas and 24 months in North East States, Himalayan States, ITDP Areas and Islands from the date of issue of the approval letter for the financial assistance. No extension of time for implementation of the project will be given. In exceptional circumstances, for the reasons beyond the control of the promoter(s), the implementation period may be extended with the approval of the Inter Ministerial Approval Committee (IMAC).

- 7.2** In case of non-implementation of the project as per the approval letter, the Ministry would have the discretion to cancel the approval granted to the project and to recall the grant, if any, released, with interest @ 10% per annum.
- 7.3** In case of failure to operate the project for at least three years after commencement of commercial operation, the promoter shall return the entire grant-in-aid with interest @ 10% per annum.
- 7.4** In case of the failure of the promoter(s) to refund the grant-in-aid amount with interest, in the event of non-implementation of the project as approved and / or utilization of the grant for purposes other than on the approved components, the due amount shall be recovered as an arrear of land revenue as per the relevant law in force.
- 7.5** In case of any dispute arising out of interpretation of any of the terms and conditions as contained in the Scheme Guidelines and/or Approval Letter, the interpretation and decision there on of Ministry of Food Processing Industries shall be final and binding.
- 7.6** The Ministry may seek any clarification and/ or any document/ information at any stage of the project. The Ministry reserves the right to modify the Scheme Guidelines or any other terms and conditions as contained herein.
- 7.7** If at any point of time, it comes to the notice of the Ministry that the grant has been availed by manipulation/ concealment of information/ facts, the same shall be withdrawn immediately and the amount, if any, released shall be refunded along with interest at the rate of 10% per annum.
- 7.8** The assets created wholly or substantially out of the Government Grant shall not be disposed-off or encumbered or utilized for purposes other than those for which the grant has been sanctioned, without obtaining the prior approval of the Ministry. In case of non-compliance of this condition, the promoter(s) will be liable to refund the grant with interest @ 10% per annum. In case of the failure of the promoter(s) to refund the grant-in-aid amount with interest, the due amount shall be recovered as an arrear of land revenue as per the relevant law in force.
- 7.9** User charges/hiring rates of the facilities created under the project will be placed in the public domain by uploading the same on the website of the project/organization. A copy of the same will also be made available to the Ministry.
- 7.10** The promoter(s) of the completed projects will submit the following documents every year to the Ministry for next five years from the date of release of 3rd and final installment of the approved grant:-
- (a)** Audited Annual Financial Statement of the entity showing balance sheet, profit & loss account, schedule and notes to accounts of the cold chain project.

- (b) Percentage capacity utilization of the cold storage/ cold chain/ processing facilities.

7.11 The promoter shall make all possible efforts to complete the project as per the stipulated timelines mentioned in the approval letter. In case of non-adherence to stipulated timelines, except in case of *force de majeure* or reasons beyond the control of promoter, the IMAC may consider imposing penalty in terms of reducing the grant amount, on case to case basis as per following:

- (a) The timeline for each installment as provided in para 6(a, b & c) of the scheme guidelines and /or as approved by IMAC at the time of according approval shall be applicable for this purpose. Only '*force de majeure*' reason will be accepted as genuine reasons for delay in cases where promoter fails to adhere to the timeline and request the Ministry for relaxation of penal action.
- (b) In case of non-adherence to the timeline of a particular installment due to the project, a penalty amounting to 1% of the quantum of installment due for release will be imposed for each month's delay beyond the stipulated timeline. The maximum amount of penalty, however, shall not exceed 5% of the installment to be released.
- (c) The penalty will be imposed for such delay till the date of submission of the complete documents to the Ministry for release of installment of the grant.
- (d) The decision of the IMAC shall be final and binding on imposition of the penalty, quantum of the penalty and the period for which the penalty is to be imposed.

8. Expression of Interest (EOI):

8.1 Applications under the scheme will be invited through EOI by the Ministry.

8.2 Basic Eligibility Criteria:

The proposals have to meet the following basic eligibility criteria under the scheme:

- (a) The net worth of the applicant should be at least 1.5 times of the grant applied for. The net worth will be calculated as follows:-

i. In respect of Limited Companies:

The net worth will be ascertained based on the paid-up share capital of the company and reserves created out of profits.

Revaluation reserves only in respect of land & building may be considered for ascertaining the net worth, which will be based on circle rates duly supported by circle

rate notification. Such revaluation reserves shall also be reflected in forward going balance sheet of the company.

Share application money would be considered towards calculation of net worth provided the same has been converted into Paid up Capital within stipulated time as per Companies Act but, in any case, it should be converted into paid up capital before the approval is accorded to the project by the Ministry.

In case of newly formed companies for the purpose of setting up integrated cold chain projects, the networth of the share holders of the company would be considered in the same manner as in case of partnership firms.

Loans and advances given to group companies/ related concerns/ individuals will not be considered towards computation of net worth.

A latest provisional balance sheet duly certified by the Statutory Auditor of the Company needs to be submitted for ascertaining the networth.

(ii) In respect of Proprietorship/ Partnership firms / NGOs / Cooperatives/ SHGs etc.

The net worth of all entities other than companies will be ascertained on the basis of latest balance sheet of individual proprietor/partner(s) i.e. assets minus all liabilities, duly certified by the Chartered Accountant (CA). Following components would be considered towards net worth:-

Assets include cash, current value of investments, land and building (supported by valuation report at circle rate, circle rate notification and land ownership documents), Bonds, cash value of life insurance, current total balance of savings, current or fixed deposit accounts.

The aforementioned networth components need to be supported by relevant documentation.

Shares of unlisted companies will be considered at face value for net worth and shares of listed companies will be considered based on the average market price of the share for a period of 6 months prior to date of submission of proposal.

Assets such as car, jewellery, antiques, gold etc. would not be considered for networth.

Loans and advances given to group companies/related concerns/individuals will also not be considered towards computation of net worth.

The applicant(s) will have to give a self-certification regarding the details of the encumbrance of the property submitted by them towards the network.

- (b) Infusion of equity of at least **20%** and **10%** of the total project cost respectively for projects in general areas and for projects in North East States, Himalayan States, ITDP Areas & Islands.
- (c) Availing term loan from the Bank / Financial Institutions (FI) for an amount not less than **20%** of the project cost.
- (d) In-principle or final term loan sanction letter along with a detailed appraisal note from the Bank / FI should be submitted with the proposal. The detailed appraisal note should be specific to the proposal submitted to the Ministry of Food Processing Industries. **Detailed Project Report /Techno Economic Viability Report merely stamped or endorsed by the Bank/ FI without detailed appraisal note shall not be considered as valid appraisal note and such proposals will not be considered for financial assistance.**
- (e) The date of sanction of term loan should not be earlier than the date of issue of EoI.
- (f) The applicant will have to set up the component of Farm Level Infrastructure and any one or both of the components from (b) and (c) in para 3.1 above.

Considering the functional nature of the facility, irradiation facility will be treated as a standalone project for the purpose of availing grant.
- (g) Date of commercial operation should not be prior to the date of submission of application.
- (h) Not more than one application from the same applicant / company will be entertained. An application will be considered as second proposal if there are cross holdings of the promoter(s)/partner(s) between two applicants/entities. Shareholding pattern in case of companies, partnership deed and details of partner's capital accounts in case of partnership firms shall be submitted. Further, the details of PAN numbers of promoter(s)/partner(s) for an applicant entity shall also be submitted.
- (i) In case of second proposal from the existing promoter(s) who have availed grant-in-aid under the scheme, details of existing facility including technical civil work and plant & machinery should appropriately be furnished in the DPR as well as in the Bank Appraisal note. In such cases, a pre-approval inspection may be carried out by the Ministry. Only those applicants/ promoters will be considered for financial assistance under second proposal category who have successfully operated the previously approved cold chain facility for at least two years. This period of two years would be reckoned from the date of start of commercial operation or date of submission of claim for 3rd Installment to the Ministry, whichever is later.

- (j) Expansion projects will be supported provided separate Technical Civil Work and Plant & Machinery are envisaged, distinct from the existing facility. The conditions mentioned in sub para (i) above would apply in such cases also.
- (k) In case of both (i) & (j) above, a certificate from the lending bank/ FI will be submitted stating that the applicant has not defaulted in its term loan repayments and the project has not been classified as Non-Performing Asset.

9. DOCUMENTS REQUIRED:

Following documents are required to be submitted with the application:

- (a) Detailed Project Report (DPR) in the prescribed template as at **Appendix-II**.
- (b) In-principle or Final term loan sanction from the Bank/ Financial Institution.
- (c) A detailed appraisal note from the Bank / Financial Institution.
- (d) Certificate of incorporation/ registration of the applicant firm, Memorandum and Articles of Association in case of Company/ Bye laws of the Society, Co-operative, Self Help Group/ Registered partnership deed, etc.
- (e) Bio-data/background/ experience of the project promoter(s).
- (f) Annual reports and Audited Financial Statement of Accounts of the applicant firm/company/cooperative/ Partnership/ Self Help Group, etc. for last two years.
- (g) Self attested English/ Hindi version of land documents in support of land title in the name of the applicant or land lease, duly registered with the competent authority for not less than the period of 15 years.
- (h) Change in Land Use (CLU) permission for the project for the said land from the competent authority. However, if the land is not available at the time of application, the land documents in respect of distribution hub / farm-level infrastructure / milk collection centers/ retail outlets shall be submitted as below:
 - i. Land documents, in the name of the applicant or land lease, duly registered with the competent authority for not less than the period of 15 years, for the main facility are required to be submitted within 60 days of the issue of approval letter.
 - ii. Land documents, in the name of the applicant or land lease, duly registered with the competent authority for not less than the period of 15 years, for at least 75% of the number of collection centers/ farm-level infrastructure are required to be submitted at the time of release of 2nd installment of grant in aid.

- iii. Land documents, in the name of the applicant or land lease, duly registered with the competent authority for not less than the period of 15 years, for all of the collection centers/ farm-level infrastructure are required to be submitted at the time of release of 3rd and final installment of grant in aid.
- (i) Quotations from the suppliers of Plant & Machinery and equipment, etc. for the project.
- (j) In case of irradiation facilities, the following documents are required to be furnished:-
 - i. Letter from Bhabha Atomic Research Centre (BARC)/ Board of Radiation Isotope Technology (BRIT) that the technology is approved for intended process/products.
 - ii. Technical agreement with BARC/BRIT for installation & operationalization of plant.
- (n) Certificate from lending Bank/ FI that the facility has not commenced commercial operations as on the date of issue of EOI or the date of bank certificate, whichever is later.
- (o) An undertaking to be furnished by the applicant as per **Appendix- III**.

Note: All pages of the proposal are to be properly numbered and the proposal should contain an Index as first page of the proposal indicating the various documents submitted along with page number, failing which the proposal is likely to be rejected.

10. The promoter shall submit land documents for main facility (Farm Level Infrastructure/ Distribution Hub) along with CLU permission and final term loan sanction letter from Bank/FI, within two months from the date of issue of approval letter, in case these documents have not already been submitted along with the proposal.

11. Selection of Proposals for Financial Assistance:

11.1 Technical Committee (TC):

All proposals received against EOI will be scrutinized by the Technical Committee (TC) to ascertain prima-facie eligibility. Proposals found eligible will further be appraised/ evaluated by the TC. The TC will have the following composition:-

- (a) Additional Secretary/ Joint Secretary, MOFPI, In-charge of the Cold Chain Scheme – Chairperson.
- (b) Managing Director, National Horticulture Board (NHB) or his nominee- Member

- (c) Economic Advisor, MoFPI-Member.
- (d) Joint Secretary, Department of Animal Husbandry, Dairying and Fisheries or his nominee-Member.
- (e) Joint Secretary/Director (Finance), MoFPI-Member.
- (f) Chairman, Agricultural & Processed Food Products Export Development Authority (APEDA) or his nominee-Member.
- (g) State Representative from the concerned State Food Processing Mission Directorate (NMFP)-Member.
- (h) Two technical experts [(a)-Domain Expert and (b) Finance Expert] to be nominated by Secretary, FPI- Members.
- (i) Deputy Secretary/ Director (Cold Chain), MoFPI-Member Secretary.
- (j) Representative from BARC/BRIT for irradiation projects - Member.

The proposals found prima facie eligible based on the basic eligibility criteria mentioned in para 8.2 above will be evaluated as per the assessment criteria at **Appendix-IV** of these guidelines.

11.2 Inter-Ministerial Approval Committee (IMAC):

The recommendation(s) of the TC on each proposal (eligible or otherwise) will be placed before Inter-Ministerial Approval Committee (IMAC) for approval. The IMAC will have following composition:-

- (a) Hon'ble Minister for Food Processing industries- Chairperson.
- (b) Secretary, MoFPI-Member.
- (c) Financial Adviser, MoFPI-Member.
- (d) Joint Secretary, In-charge Cold Chain Scheme, MoFPI– Convener & Member.
- (e) Principal Secretary, Industries/FPI of the concerned State-Member.
- (f) Joint Secretary, In-charge, MIDH, Ministry of Agriculture, Cooperation & Farmers Welfare-Member.
- (g) Representative of NABARD as Financial Expert-Member.
- (h) Joint Secretary, Department of Animal Husbandry, Dairying and Fisheries - Member.

12. The Ministry shall have the final say regarding eligibility or otherwise of the proposals and selection of proposals for grant-in-aid.

13. The criteria of maintaining regional balance may be taken into account by the Ministry while deciding the projects for sanction of grant under the scheme. This criteria will however, be applicable only to proposals found eligible as per these guidelines.

14. Programme Management Agency (PMA): The Ministry will implement the scheme with the assistance of Programme Management Agency (PMA). The role and responsibilities of the PMA are defined at **Appendix-V**.

15. Ministry's decision final: The decision of the Ministry in all matters relating to eligibility, acceptance or rejection of the applications, mode of selection, grant approved and imposition of penalty will be final and binding on the applicants.

16. Court's Jurisdiction: Any dispute arising out of selection of proposals and implementation of approved project under this scheme guideline will be subject to Courts/ Tribunals having jurisdiction over Delhi.

Appendix-I

Terms and conditions for release of grant-in-aid to the project

[Refer Para 6 (d)]

- 1) The promoter shall submit the following documents **within 30 days** of receipt of the approval letter:-
 - i. Revised implementation schedule, if any, of the project, detailing the specific dates/year for the completion of each stage of the implementation of the project duly certified by the concerned lending bank and countersigned by the promoter(s).
 - ii. Confirmation of the capacities as detailed in the approval letter that would be created at the Farm Level Infrastructure/Distribution Hub/ Reefer Transport (number and capacity).
 - iii. The promoter needs to create three separate bank account(s) consisting of two separate current accounts with respect to the promoter(s) contribution and grant-in-aid, and a term loan account. Details of the bank account pertaining to grant-in-aid are to be provided in the ECS mandate form as provided in **Annexure-I**.
- 2) The promoter shall submit following documents **within 60 days** from the date of issue of approval letter, if not submitted with the proposal:
 - i. **The Self-attested English/Hindi version of main facility [farm level infrastructure and/or distribution hub] land documents**, in support of land title in the name of the applicant or land lease, duly registered with the competent authority for not less than the period of 15 years.
 - ii. **Change in land use (CLU) permission** for the main facility **[farm level infrastructure and/or distribution hub]** land from the competent authority, wherever applicable.
 - iii. Final term loan sanction letter from Bank/FI.
- 3) **Release of Grant-in-aid**
 - (a) The promoter shall submit the following documents along with the request for 1st Installment within 8 months (10 months in case of North East States, Himalayan States, ITDP Areas & Islands) from the date of issue of the approval letter:-
 - i. **Surety Bond as per Annexure-II** – To be executed by the beneficiary/applicant on a Non-Judicial stamp paper of not less than Rs.100, duly notarized and signed by two independent witnesses (other than promoters) along with Board resolution/certificate from Board of Directors/promoters (as applicable) authorizing one of the directors/partners as authorized signatory of documents.

- ii. **CA certificate-** Latest certificate of actual expenditure along with means of finance in the prescribed format duly certified by Chartered Accountant (CA) and countersigned by the promoter, which should establish that at least 25% of the promoter's contribution and at least 25% of the term loan has been utilized on the eligible project cost as per **Annexure-III**.
Details of unsecured loan (along with PAN numbers of lenders), if any, duly certified by Chartered Accountant and countersigned by the promoter are to be given as per **Annexure-III**.
- iii. **Certificate from Chartered Engineer (Civil)** for technical civil works indicating item wise progress on approved components, cost, quantity, manufacturers/suppliers and comment on quality and status of implementation duly countersigned by the promoter as per **Annexure-IV**.
- iv. **Certificate from Chartered Engineer (Mechanical)** for plant and machinery indicating item wise progress on approved components, cost, quantity, manufacturers/suppliers and comment on quality and status of implementation duly countersigned by the promoter as per **Annexure-V**.
- v. **Certificate** from the concerned bank/ financial institution which has sanctioned term loan for the project, as per **Annexure-VI**, certifying that:-
 - a. It has disbursed 25% of the term loan of the total sanctioned term loan; and
 - b. Has no objection for disbursement of 25% of the grant-in-aid being released by the Ministry.Bank Statement(s) –Certified bank statements of all accounts from where payments are received and made till date of expenditure of 25% of promoter's contribution and 25% of term loan on the eligible project cost as per implementation schedule and highlighting payments (including advance payments) made to suppliers/vendors/contractors.
- vi. **Major invoices/receipts** from suppliers/ vendors (on eligible project expenditure incurred so far).
- vii. The Building plan, of the Main Facility and/or the Farm Level Infrastructure, as applicable, approved (NOC Certificate) by the Municipal Corporation / Town & Country Planning Department or a competent authority, for locations within a city/town or from the Village Panchayat for locations outside a city/town.
- viii. Submission of Valid Consent to Establish from the Central/ State Pollution Control Board.

- ix. **PFMS (CGA) Registration** – Controller General of Accounts (CGA) registration on pfms.nic.in of firm under agency type “private sector companies” and under the scheme name “National Mission on Food Processing (SAMPDA) CS (9535)”.
 - x. Any other condition which may be specified from time-to-time.
- (b) The promoter shall submit the following documents along with the request for 2nd Installment of grant within 14 months (18 months in case of North East States, Himalayan States, ITDP Areas and Islands) from the date of issue of approval letter:-
- i. **CA certificate-** Latest certificate of actual expenditure on the project along with means of finance in the prescribed format duly certified by Chartered Accountant (CA) and countersigned by the promoter, which should ensure that at least 65% of the promoter’s contribution and at least 65% of the term loan along with grant-in-aid released has been utilized on the eligible project cost as per **Annexure-III**.
Details of unsecured loan (along with PAN numbers of lenders), if any, duly certified by Chartered Accountant and countersigned by the promoter are to be given as per **Annexure-III**.
 - ii. **Certificate from Chartered Engineer (Civil)** for technical civil works indicating item wise progress on approved components, cost, quantity, manufacturers/suppliers and comment on quality and status of implementation duly countersigned by the promoter as per **Annexure-IV**.
 - iii. **Certificate from Chartered Engineer (Mechanical)** for plant and machinery indicating item wise progress, cost, quantity, manufacturers/suppliers and comment on quality and status of implementation duly countersigned by the promoter as per **Annexure-V**.
 - iv. **Certificate** from the concerned **bank/ financial institution** which has sanctioned term loan for the project, as per **Annexure-VI**, certifying that:-
 - a. It has disbursed 65% of the term loan of the total sanctioned term loan and has also released 1st installment of grant-in-aid; and
 - b. Has no objection for disbursement of 40% of the grant-in-aid being released by the Ministry.

Bank Statement(s) –Certified bank statements of all accounts from where payments are received and made till date of expenditure of 65% of promoter’s contribution and 65% of term loan on the eligible project cost as per implementation schedule and highlighting payments (including advance payments) made to suppliers/vendors/contractors.

- v. **Major invoices/receipts** from suppliers/vendors (on eligible project expenditure incurred so far).
 - vi. **Utilization Certificate** of the 1st Installment of the grant as per **Annexure-VII**– In the format provided in GFR 19-A duly certified by the promoter and counter signed by Chartered Accountant.
 - vii. Valid Consent to Establish or Operate, as the case may be, from the Central/ State Pollution Control Board.
 - viii. **Self attested English/Hindi version for at least 75% of the number of collection centres/ farm-level infrastructure**, in support of land title in the name of the applicant or land lease, duly registered with the competent authority for not less than the period of 15 years.
 - ix. **Change in land use (CLU)** permission for the 75% Collection Centres/ farm-level infrastructure land from the competent authority, wherever applicable.
 - x. Any other condition which may be specified from time-to-time.
- (c) The promoter shall submit the following documents along with the request for 3rd and final Installment within 20 months (24 months in case of North East States, Himalayan States, ITDP Areas & Islands) from the date of issue of the approval letter:-
- i. **CA certificate-** Latest certificate of actual expenditure on the project along with means of finance in the prescribed format duly certified by Chartered Accountant (CA) and countersigned by the promoter, which should establish that 100% of the promoter's contribution, 100% of the term loan and 2nd Installment of Grant-in-aid has been utilized in the project as per **Annexure-III**.
Details of unsecured loan (along with PAN numbers of lenders), if any, duly certified by Chartered Accountant and countersigned by the promoter to be given as per **Annexure-III**.
 - ii. **Certificate from Chartered Engineer (Civil)** for technical civil works indicating item wise progress on approved components, cost, quantity, manufacturers/suppliers and comment on quality and status of implementation duly countersigned by the promoter as per **Annexure-IV**.
 - iii. **Certificate from Chartered Engineer (Mechanical)** for Plant and Machinery indicating item wise progress, cost, quantity, manufacturers/suppliers and comment on quality and status of implementation duly countersigned by the

promoter as per **Annexure-V**.

- iv. **Certificate** from the concerned bank/ financial institution which has sanctioned term loan for the project, as per **Annexure-VI**, certifying that:-

- a. It has disbursed 100% of the term loan of the total sanctioned term loan and has also released 2nd installment of grant-in-aid; and
- b. Has no objection for disbursement of 35% of the grant-in-aid being released by the Ministry.

Bank Statement(s) –Certified bank statements of all accounts from where payments are received and made till date of completion of 100% of the project cost as per implementation schedule and highlighting payments (including advance payments) made to suppliers/vendors/contractors.

- v. **Major invoices/receipts** from suppliers/vendors (on eligible project expenditure incurred so far).
- vi. **Utilization Certificate** of the 2nd Installment of the grant as per **Annexure-VII**– In the format provided in GFR 19-A duly certified by the promoter and counter signed by Chartered Accountant.
- vii. Valid Consent to Operate from the Central/ State Pollution Control Board.
- viii. **Self attested English/Hindi version for all collection centres/ farm-level infrastructure**, in support of land title in the name of the applicant or land lease, duly registered with the competent authority in favour of the applicant for not less than the period of 15 years.
- ix. **Change in land use (CLU)** permission for all the Collection Centres/ farm-level infrastructure land from the competent authority, wherever applicable.
- x. Declaration of completion of the project and start of commercial operation, duly certified by the Bank.
- xi. Display of information prominently on the front of the project building/ vehicles stating that the “**Project is assisted by the Ministry of Food Processing Industries, Government of India**”.
- xii. Statutory Clearance(s) / Approval(s) for power & water connections.
- xiii. License under Food Safety and Standards Act, 2006.
- xiv. Registration/ license with Warehousing Development & Regulatory Authority (WDRA), if applicable.

- xv.** Registration certificate of reefer vans and insulated vehicles.
- xvi.** Any other condition which may be specified from time-to-time.

[Refer Para 9 (a)]**Template of DPR**

1. Name of the applicant/ company / firm with details of registration no. of company / firm along with names of the directors/promoters in the prescribed format:

S No.	Particulars	Details
i.	Name of Applicant	
ii.	Legal Status of Applicant (Govt. Institution / organisation, NGO, Co-operative/ Company/ partnership firm/ proprietorship, Farmer Producer Company, Self Help Group, etc.)	
iii.	Registration No. of Applicant/CIN	
iv.	PAN of Applicant	

2. Contact details of the Promoter(s)/Partner(s) including addresses, telephone, mobile, fax, e-mail, website, PAN etc.

S No.	Name of Promoter(s)/Partner(s)	Address	Telephone No.	Mobile No.	E-mail Id	PAN No.	Any other details
Please add additional rows, if needed.							

3. Experience of the lead Promoter(s)/Partner(s)/ Applicant Entity in Food Processing, Cold Chain (Pl. enclose documentary evidence regarding experience and turnover)

S No.	Name of lead Promoter(s)/Partner(s)/ Applicant Entity	Details of Experience	Details of Turnover (year-wise)	Supporting Document attached, if any (Yes/No)

4. Project Details:

- a. Components under the scheme as applicable to the project:

S No.	Components	Numbers Proposed
i.	Distribution Hub	
ii.	Farm Level Infrastructure	
iii.	Reefer/ Insulated Vehicles	
iv.	Irradiation Facility	

v.	Processing Facility, if any, proposed to be setup	
----	---	--

b. Sector of Project (Fruits & Vegetables/Dairy/Marine/Poultry/Fishery/Ready to Eat/Ready to Cook/ Mixed etc.):

c. Type of Operating Model (Rental, Rental+ Captive, Captive Use etc.).....

5. Land Details.

(i) **Proposed Locations of Land for all project facilities and status of their acquisition along with longitude & latitude coordinates**

Location of Land	Facility (Distribution Hub/ Farm Level Infrastructure)	Area (Sqm)	Status of possession (Owned/ leased**) (Document Submitted Yes/No)	In case of lease (Period of lease in years **) (Documents Submitted Yes/No)	Status of Land Use Conversion (CLU) (Document Submitted Yes/No)	Connectivity Details. Distance (in kms) from: a. National Highway b. State Highway c. Freight corridor d. Golden Quadrilateral	Distance from Catchment Area (kms)	Coordinate Details (Longitude & Latitude)	Ref Pg no. in DPR*
Land 1	Distribution hub								
Land 2	Farm Level Infrastructure (FLI)								
Please add additional rows in case of multiple locations									

*DPR should have a detailed chapter on proposed land, raw material production and supply statics for the catchment area.

** In case of leased land, period of lease should be not less than 15 years.

6. Proposed facilities

S. No.	Type of facilities proposed to be created	No. of Units	Total Capacity [MT, Ltrs, MT/Hr., where ever applicable]	Location		No. of Days of operation of each facility in a year
				Distribution Hub	FLI	
i.	CA Store					
ii.	Normal cold store					
ii.	Frozen store					
iv.	Pre-cooling Chambers					

v.	Sorting, Grading, Waxing, Weighing, Packing facility				
vi.	Ripening Chambers				
vii.	IQF				
viii.	Blast Freezing				
ix.	Milk Processing Facilities				
x.	Milk Chilling Centres				
xi.	Bulk Milk Coolers (BMCs)				
xii.	Refrigerated Vehicles/ Reefer vans				
xiii.	Mobile Pre-coolers				
xiv.	Insulated Milk Tankers/ vans				
xv.	Insulated Distribution Vehicle				
xvi.	Irradiation Facility				
xvii.	Refrigerated Container				
xv.	Refrigerated Carts				
xvi.	Solar Powered Carts				
xvii.	Refrigerated Cabinets				
	Add other components not listed above				

7. Proposed Project Financials

a. Estimated Project cost details

Item	Amount (In Rs. Lakh)
Land (Including FLIs / CCs / value added centre / distribution centre)	
Site Development	
Technical Civil Work (TCW)*	
Other Civil Works	
Plant & Machinery (P&M)**	

Common Utilities like Water/ETP/ STP, etc.***	
Pre-operative Expenses	
Interest During Construction	
Margin Money for Working Capital	
Contingencies	
Add other items not listed above	
Total Project Cost	

* The component wise cost breakup of technical and other civil work should be provided in the Chartered Engineer (Civil) certificate in the prescribed format as enclosed as Annexure-IV

** The component wise cost breakup of P&M should be provided in the Chartered Engineer (Mechanical) certificate in the prescribed format as enclosed as Annexure-V

***The cost of common utilities may be provided in Chartered Engineer (civil) and Chartered Engineer (Mechanical) certificate where ever applicable.

b. Means of finance

Item	Amount (In Rs. lakh)
Promoter's Equity	
Term loan	
Eligible grant	
Unsecured loan	
Total	

c. Basic Revenue Projections

Item	Year 1	Year 2	Year 3	Year 4	Year 5
Turnover					
Cost of Operations					
Gross Profit					
Earnings Before Interest, Tax,					

Depreciation and Amortization (EBITDA)					
Profit before taxation					
Profit after taxation					

d. Financial Parameters (as per Bank Appraisal Note)

S No.	Particulars	Details (Ratio/%)	Ref Page No. in DPR*
i.	Internal Rate of Return (IRR) [(a) With and (b) without grant]		
ii.	Avg. Debt Service Coverage Ratio (DSCR)		
iii.	Break Even Point (BEP)		
iv.	Debt-Equity Ratio		

*To be provided for section under the bank appraisal note highlighting the aforementioned detail.

- 8.** Availability of Raw Material in the Catchment Area - provide details such as Adequate Volume, Wider Mix of Raw Materials, Days of Operation in a Year along with supporting data.

- 9.** Details of the catchment area of the project.

S.No.	Location of the Catchment (Primary/secondary)	Name Village/Dist./APMC	Commodities to be sourced	Quantities to be sourced [MT/KLD- in case of milk] (per annum)	Ref. Pg. no. in DPR*

*DPR should comprise of detailed chapter on proposed catchment (production and supply statistics).

- 10.** Employment Generation projections

- a. Direct Employment:
- b. Contractual Employment with no. of days:

c. Indirect Employment (specify):

11. Details of renewable/ alternate energy sources including solar energy, if any, proposed to be used for operating the project including inter alia, details of power generation.
12. Details of adoption of modern technology for reducing the carbon footprints and increasing operational efficiency:-

Sl. No.	Name of technology/ item	Basic cost (excluding taxes etc.)	How the technology will help in reducing carbon footprint and/or increase in operational efficiency

13. List of Manufacturers/ Suppliers of P&M (enclose quotations)

Date: _____
Place: _____

Signature of the Applicant/Lead Promoter

UNDERTAKING
[Refer Para 9 (o)]

I (Name of the Lead Promoter/ Director/ Partner/ Proprietor etc.) son of Mr..... (father's name) resident of (residential address) do hereby solemnly affirm and declare/undertake as under:

1. That I am promoter/ director/ partner/ proprietor of M/s..... (name of applicant) having its Registration no.and Registered Office at (office address of applicant).
2. I hereby make application and I am duly authorized in my own right/by management vide its resolution no.dated.....to apply and sign all required documents including this undertaking on behalf of company/partnership firm/cooperative society etc. named as; and am fully aware of the facts relating to the setting up of integrated cold chain project at Survey/ Plot No....., Village.....,Tehsil.....,District.....,State....., PIN code (location of the main facility) for.....(activities to be undertaken by project) and application is being made to the Ministry of Food Processing Industries (MoFPI) under the Central Sector Scheme for Integrated Cold Chain and Value Addition Infrastructure.
3. That the term and conditions of the above scheme of the MoFPI under which an application is made by the applicant have been properly read and understood by me and I affirm that the project/ proposal comply with all the terms and conditions of the approval letter and provisions enshrined in the scheme guidelines.
4. That the proposed activities to be undertaken by the project/proposal are covered under the above scheme of MoFPI and no part of the scheme/infrastructure of the project is designed or assigned to be used for any activity other than the activities specified in the application at present or in the near future.
5. It is certified that (name of applicant) has not obtained or applied for grants for the same project, component, purpose or activity from any other Ministry or Department of the Government of India or State Government or their agencies.
6. It is certified that applicant's sister concern (s)/ related company / group company/firms as well as the applicant itself has not availed any financial assistance for a food processing project in the past from MFPI [if availed, the details shall be furnished separately].
7. I also solemnly affirm/undertake that the proposed project components in the application are a completely new activity and not a pre-existing activity or any component thereof.

8. In case of concealment of any facts in this regard, the MoFPI would have right to reject/ cancel my application/project out right at any stage.
9. I will meet any shortfall in means of finance due to less admissibility of grant or any future reduction in grant-in-aid or any escalation caused in the cost of the project.
10. I shall not dispose-off or encumber or utilize the assets created wholly or substantially out of government grant for purpose other than those for which they have been sanctioned, without obtaining the prior approval of the sanctioning authority of grant-in-aid.
11. In case of non-implementation/ delayed implementation of the project the Ministry will have absolute right in cancelling the approval granted and also recall the grant released, if any, along with interest as per the scheme guidelines.
12. In case of failure to operate the project for at least three years after commencement of commercial operation, I shall return the entire grant-in-aid with interest @ 10% per annum.
13. User charges/hiring rates of the facilities created under the project will be disseminated to the public including uploading of the same on the website of the project/ organization. A copy of the same will also be made available to the Ministry.
14. I also undertake that all the information furnished in the application and the DPR with respect to the eligibility conditions, etc. are true and correct to the best of my knowledge and belief and nothing material has been concealed therefrom.

Date: _____
Place: _____

Signature of the Applicant/Lead Promoter

[Refer Para 11.1]

S.No.	Criteria for Evaluation of Integrated Cold Chain Proposals		Max Marks
1	Adequate Volume and Wider Mix of Raw Materials/Days of Operation in a Year (Suitability of Location, Project Site and Status of Possession of Land)		17
	i.	Availability of raw materials , product mix & no. of days of operations (Higher marks shall be given to the projects which provide the details of raw material in the catchment area supported by latest authentic data).	10
	ii.	Suitability of project location(s) for proposed operations and their connectivity through road, railways etc. If land is in close proximity to state/national highway/freight corridors/golden quadrilateral marks may be awarded, as follows: a. 0-5 Kms : 2 marks b. 5-10 Kms : 1 mark	2
	iii.	Status of project land a. Land in possession of the Applicant with approval for industrial use: 5 marks b. Land in possession of the Applicant without approval for industrial use: 3 marks c. Land not in possession of the Applicant but Agreement to sale executed: 2 marks	5
2	Experience in Cold Chain/ Food Processing : (i) Already in cold chain <u>and</u> food processing business having annual turnover of Rs. 5 crore and above during a year : 8 marks (ii) If in cold chain <u>or</u> food processing business having annual turnover of Rs. 5 crore and above during a year : 6 marks (iii) If in cold chain <u>or</u> food processing business having annual turnover of less than Rs. 5 crore during a year : 4 marks		8
3	Economic Viability of the proposal		10
		Economic Viability of Project Based on Bank Appraisal (Key financial parameters viz. IRR, DSCR etc.) (The average of score for IRR and DSCR would be considered. IRR and DSCR will be taken from bank appraisal note. In case, IRR and/ or DSCR are not given in the bank appraisal note then the same will be taken from the DPR. <u>Max marks shall be given for IRR = 5</u> a. 5 marks shall be given if IRR >20% b. 4 marks shall be given if IRR is between 17%-20% c. 3 marks shall be given if IRR is between 14%-16.9% d. 2 marks shall be given if IRR is between 10%-13.9%	

	<p>e. Nil marks shall be given if IRR is less than 10%</p> <p><u>Max marks shall be given for DSCR = 5</u></p> <p>a. 5 marks shall be given if DSCR ≥ 3.0</p> <p>b. 4 marks shall be given if DSCR is between 2.5 and 2.9</p> <p>c. 3 marks shall be given if DSCR is between 2.0-2.4</p> <p>d. 2 marks shall be given if DSCR is between 1.5-1.9</p> <p>e. Nil marks shall be given if DSCR < 1.5)</p>	
4	Proposed investment in Cold Chain Components	20
	i. Proposals creating farm level infrastructure, distribution hub near consumption center and reefer transport coupled with processing using one or more facilities in serial no. 5 below.	20
	ii. Proposals creating farm level infrastructure, distribution hub near consumption center and reefer transport.	15
	iii. Proposals creating farm level infrastructure and reefer transport/ distribution hub.	10
	iv. Proposals for setting up irradiation unit.	15
5	Project proposing value addition/processing facilities such as IQF, vacuum freeze drying, spiral/tunnel/blast freezers, etc. for manufacturing of chilled/frozen value added products including value added fruits & vegetables/ meat/ fisheries/ RTE/ frozen products, etc.	5
6	Proposals with investment in reefer transport with capacity not less than 70 MT	5
7	Proposed Investment in Farm Level Infrastructure [Excluding Cost of Project Land]	10
	<p>a. Upto 20% of Project Cost : 5 marks</p> <p>b. More than 20% to 30% : 7 marks</p> <p>c. More than 30% : 10 marks</p>	
8	Project proposed to be set up in uncovered areas/ district having abundant raw material availability and lacking cold chain infrastructure	10
9	Leveraging of Investment in the Project	5
	For General Areas	
	i. Proposed private investment excluding land < 2 times of grant sought: 3 marks	
	ii. Proposed private investment excluding land ≥ 2 times of grant sought: 5 marks	
	For Difficult Areas	
	i. Proposed private Investment excluding land $<$ grant sought: 3 marks	
	ii. Proposed private Investment excluding land \geq grant sought: 5 marks	
10	Adoption of modern technology for reducing carbon foot print, energy efficiency, fast-tracking & optimising operations, such as PLCs, dock levellers, dock shelters, modern racking system, high reach trucks, multi-modal containers, robotics, etc.	2
11	Projects proposing to use renewable/ alternate energy source (either fully or partially) to power cold chain project	8
	Total	100

ROLE AND RESPONSIBILITIES OF PROGRAMME MANAGEMENT AGENCY(PMA)

[Refer Para 14]

- (i) Scrutiny of the Proposals received against the EOI/advertisement and assists the Ministry in selection of eligible proposals.
- (ii) Appraisal of the DPR/projects indicating financial viability, commercial sustainability and socio-economic impact and presentation of the appraisal to the Ministry for approval.
- (iii) Assist the Ministry in issue of approval letters to the selected projects.
- (iv) Assist/advise the Ministry in release of the grant to the approved projects. Scrutiny of the proposals for release of grant as per the scheme guidelines. Undertake site inspections to assess the actual physical progress and verify the claims/documents submitted by the applicant for release of grant and make recommendations to the Ministry. In addition to carrying out mandatory site inspections before release of 1st, 2nd and 3rd installment of grant, the PMA will also carry out additional site inspections as and when requested by the Ministry to ascertain the status of implementation of a particular project.
- (v) Monitoring and reporting the progress of the cold chain projects to the Ministry periodically on the basis of defined milestones or as directed by the Ministry.
- (vi) Updating the data regularly in the online dashboard monitoring system for monitoring the progress of the assisted cold chain projects. The portal will have to be kept updated at all times.
- (vii) Development and implementation of suitable Operation & Management (O&M) plan for the assisted projects.
- (viii) Assist MFPI in bench marking the cold chain/irradiation technology and developing technical standards/ protocols, and cost norms for setting up of cold chains/ irradiation infrastructure.
- (ix) Provide suitable technical inputs on any aspect of the cold chain and related matter as and when required by the Ministry.
- (x) Assist in formulating, analysis and evaluation of the scheme guidelines.
- (xi) Assist the Ministry in getting the cold chain projects accredited to WDRA or any other regulatory agency.
- (xii) Provide inputs for preparing reports, templates, forms and check lists related to the effective implementation of the scheme.
- (xiii) Provide inputs for preparation of the agenda notes and minutes of the Technical Committee and Inter-Ministerial Approval Committee for the cold chain scheme.
- (xiv) Assist the Ministry in analysis of nation wise, state wise and cluster wise requirements of the cold chain/cold storage facilities.
- (xv) Checking the authenticity of the documents submitted by the applicants.
- (xvi) Any other duty and responsibility assigned by the Ministry from time to time.

Mandate Form
[Refer Appendix-I, Para 1) Sub Para iii]

**ELECTRONIC CLEARING SERVICE (CREDIT CLEARING) /REAL TIME GROSS
SETTLEMENT (RTGS) FACILITY FOR RECEIVING PAYMENTS**

DETAILS OF ACCOUNT HOLDER:

NAME OF ACCOUNT HOLDER	
COMPLETE CONTACT ADDRESS	
TELEPHONE NUMBER/FAX/EMAIL	

BANK ACCOUNT DETAILS:-

BANK NAME	
BRANCH NAME WITH COMPLETE ADDRESS TELEPHONE NUMBER AND EMAIL	
BRANCH'S IFSC CODE	
TYPE OF BANK ACCOUNT (SB/CURRENT/CASH CREDIT)	
COMPLETE BANK ACCOUNT NUMBER (LATEST)	
MICR CODE OF BANK	

DATE OF EFFECT:-

I hereby declare that the particulars given above are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information I would not hold the Ministry of Food Processing Industries responsible.

Date**Signature of Customer**

Certified that the particulars furnished above are correct as per our records.

(Signature and Seal of Bank)

(Note: Please attach a self-attested photocopy of cheque along with the verification obtained from the bank)

**[Refer Appendix-I, Para (3) Sub Para (a) i]
SURETY BOND**

KNOW ALL MEN BY THESE PRESENTS that we, M/s _____, a _____ (Type of organization) incorporated / registered under the _____ (Name of the Act) and having its registered office at _____ (hereinafter called the "Obligors") are held fully and firmly bound to the President of India (hereinafter called the "Government") for the sum of Rs. _____ (Rupees _____ only) well and truly to be paid to the Government on demand and without a demur for which payment we firmly bind ourselves and our successors and assignees by these presents.

SIGNED on the _____ day of _____ in the year Two Thousand _____

WHEREAS on the Obligors' request, the Government as per Ministry of Food Processing Industries' Sanction Order No. _____ Dated _____ (hereinafter referred to as the "Letter of Sanction") which forms an integral part of these presents, and copy whereof is annexed hereto and marked as Annexure-I, agreed to make in favour of the Obligors grants-in-aids of Rs. _____ (Rupees _____ Only) for the purpose of _____, (description of the project) at _____, out of which the sum of Rs. _____ (Rupees _____ only) have been paid to the Obligors (the receipt of which the obligors do hereby admit and acknowledge) on condition of the Obligors executing a bond in the terms and manner contained hereinafter which the obligors have agreed to do.

NOW the conditions of the above written obligation is such that if the Obligors duly fulfill and comply with all the conditions mentioned in the letter of sanction, the above written Bond or obligation shall be void and of no effect. But otherwise, it shall remain in full force and virtue. The Obligors will abide by the terms and conditions of the grants-in-aid by the target dates, if any specified therein.

THAT the Obligors shall not divert the grants-in-aid and entrust execution of the Scheme or work concerned to another institution(s) or organization(s).

THAT the Obligors shall abide by any other conditions specified in this agreement and in the event of their failing to comply with the conditions or committing breach of the bond, the Obligors individually and jointly will be liable to refund to the President of India, the entire amount of the grants-in-aid with interest of 10% per annum thereon, if a part of the grants-in-aid is left unspent after the expiry of the period within which it is required to be spent, interest @ 10% per annum shall be charged up to the date of its refund to the Government, unless it is agreed to be carried over.

The obligors agree and undertake to surrender / pay the Government the monetary value of all such pecuniary or other benefits which it may receive or derive/ have received or derived through / upon unauthorized use of (such as letting out the premises on adequate or less than adequate consideration or use of the premises for any purpose other than that for which the

grants-in-aid was intended of the property) buildings created/ acquired constructed largely from out of the grants-in-aid sanctioned by the Government of India, Ministry of Food Processing Industries or the administrative Head of the Department concerned. As regards the monetary value aforementioned to be surrendered / paid to the Government, the decision of the Government will be final and binding on the Obligers.

AND THESE PRESENTS ALSO WITNESS THAT the decision of the Secretary to the Government of India in the Ministry of Food Processing Industries on the question whether there has been breach or violation of any of the terms or conditions mentioned in the sanction letter shall be final and binding upon the Obligers and

IN WITNESS WHEREOF these presents have been executed as under on behalf of the Obligers the day herein above written in pursuance of the Resolution No. _____ Dated _____ passed by the governing body of the Obligers, a copy of whereof is annexed hereto as Annexure-II and by _____ for and on behalf of the president on the date appearing below:-

Signature of AUTHORIZED SIGNATORY

SIGNED FOR AND ON BEHALF OF

(Name of the obliger in block letters)

(seal/ stamp) of Organization)

1. Signature of witness

Name & Address

2. Signature of witness

Name & Address

TO BE FILLED UP BY

THE MINISTRY OF FOOD PROCESSING INDUSTRIES (ACCEPTED)

For and on behalf of the President of India

Name: _____

Designation: _____

Dated: _____

Notary Seal &
Signature

**[Refer Appendix-I, Para (3) Sub Para (a) ii, Sub Para (b) i & Sub Para (c) i]
CA Certificate Format
(Letter Head of the CA)**

CA certificate (With membership No. and firm registration No. of CA) in the following format:-

i. Project Cost: (Rs. in lakh)

Sl. No.	Name of the Component/Item	Cost approved by the Ministry	Actual expenditure incurred as on -----
1.	Land/development charges		
2.	Civil works — Technical civil works — Other civil works		
3.	Plant & Machinery		
4.	Misc. Fixed Assets		
5.	Others		
	TOTAL		

ii. Means of Finance: (Rs. in lakh)

Sl. No.	Item	Means of finance approved by the Ministry	Actual expenditure incurred as on -----
1	Promoter's Equity		
2	Term Loan		
3	Grant from MFPI		
4	Unsecured loan*		
5	Others		

*Details of unsecured loans along with PAN No. of lenders, if any, duly certified by CA.

Signature and Seal of C.A (Statutory Auditor in case of company)

Date: _____

(The certification by CA should be based on the verification of books of accounts, bills, invoices, work orders, bank statements, etc. related to the project.)

Counter signature of promoter/ authorized signatory of company with Seal

Annexure to CA certificate certifying details of payments made for Plant & Machinery and Technical Civil Work

Sl. No.	Name of Party	Components	Voucher /Bill no.	Date of Voucher/Bill	Basic Cost (only for P&M)	Taxes, freight, installations, insurance costs (for P&M)	Total Cost	Date of Payment as per bank statement	Mode of Payment

[Refer Appendix-I, Para (3) Sub Para (a) iii, Sub Para (b) ii & Sub Para (c) ii]

**CE Certificate (Civil) Format for Technical Civil Work:
(Letter Head of the CE)**

CE certificate (With membership/registration No. of CE) in the following format:

Name of Project:

Location with address:

Date of site Visit by Chartered Engineer:

Project Progress: (If project has multiple locations, the location wise details should be submitted in below format for each location)

Sl. No.	Name of Component	Proposed/ appraised Area (sqm)	Proposed/ appraised Cost (Lakh Rs)	Actual Area(sqm)	Actual Cost(Lakh Rs)	Rate/ Unit(Rs/Sqm)	Remarks about the status of implementation	Comments on quality, construction standards, market rates
	Total							

It is certified that the material/ components used in the Technical Civil Work are new.

Signature and Seal of C.E.

Counter signature of promoter/ authorized signatory of company with Seal

Annexure-V

[Refer Appendix-I, Para (3) Sub Para (a) iv, Sub Para (b) iii & Sub Para (c) iii]

**CE Certificate (Mechanical) Format for Plant & Machinery:
(Letter Head of the CE)**

CE Certificate (With membership/registration No. of CE) in the following format:-

Name of project:

Location with address:

Date of Visit by Chartered Engineer:

Project Progress (If project has multiple locations, the location wise details should be submitted in below format for each location)

Sl. No.	Name of Component	Proposed/ appraised Quantity	Proposed/ appraised Cost (Lakh Rs)	Actual Quantity	Actual Cost (Lakh Rs)		Supplier/ Manufacturer	Status of implementation	Comments on quality, specifications, etc.
					Basic Cost	Taxes, Freight, installation, insurance			
	Component -1							Such as: •Ordered •Received at site •Installation in progress •Installed •Commissioned	
	Component -2								
	Component -3								
	TOTAL								

It is certified that all the plant and machinery for which grant has been approved are new.

Signature and Seal of C.E.

Counter signature of promoter/ authorized signatory of company with Seal

[Refer Appendix-I, Para (3) Sub Para (a) v, Sub Para (b) iv & Sub Para (c) iv]

(Letter Head of the Bank)

Certificate

1. Certified that this bank has appraised the project of M/s.....(Name and Address of the project) for grant as per scheme guidelines of the Ministry of Food Processing Industries and also sanctioned term Loan of Rs.lakh.
2. It is further certified that we have released Rs.lakh (----% of sanctioned term loan) and Rs.....lakh (1st/ 2nd Installment of grant-in-aid) to M/s (Name and Address of the project).
3. We have no objection in releasing 1st/ 2nd / 3rd (delete whichever not applicable) installment of grant.

Signature with seal
(Name of authorised signatory)
(Branch Name)

Counter Signature of promoter/ Authorized
Signatory of company with seal

Utilization Certificate
[Refer Appendix-I, Para (3) Sub Para (b) vi & Sub Para (c) vi]

PROFORMA AS PER GFR 19-A
(See General Financial Rule 212 (1))

S. No.	Letter No. & Date	Amount
1.		

Certified that out of Rs. _____ of grant-in-aid sanctioned during the year _____ in favour of _____ under this Ministry/ Department letter No. given in the margin and Rs. _____ on account of unspent balance of the previous year, a sum of Rs. _____ has been utilized for the purpose of _____ for which it was sanctioned, that the balance of Rs. _____ remaining un-utilized at the end of the year ____ has been surrendered to Government (vide No. ____ dated ____) / will be adjusted towards the grants-in-aid payable during the next year _____.

2. Certified that I have satisfied myself that conditions on which the grant-in-aid was sanctioned have been duly fulfilled/ are being fulfilled and that I have exercised the following checks to see that the money was actually utilized for the purpose for which it was sanctioned.

Kinds of checks exercised:

- 1.
- 2.
- 3.

Signature of Promoter/ Authorized signatory of Company with seal _____

Date_____

Counter signature of
Chartered Accountant
with CA Registration
No.

F.No. 16-MFPI/14-CEFPPC
भारत सरकार
Government of India
खाद्य प्रसंस्करण उद्योग मंत्रालय
Ministry of Food Processing Industries
पंचशील भवन, अगस्त क्रांती मार्ग
Panchsheel Bhavan, August Kranti Marg
नई दिल्ली New Delhi – 110 049

Date: 11.07.2017

Subject: Operational Guidelines for the Scheme for Creation / Expansion of Food Processing & Preservation Capacities under KISAN SAMPADA YOJANA (KSY).

Government of India (GoI) has approved a new Central Sector Scheme – KISAN SAMPADA YOJANA (KSY) for the period upto 2019-20 to be implemented by Ministry of Food Processing Industries (MoFPI). Under KSY, a new Scheme for Creation / Expansion of Food Processing & Preservation Capacities (CEFPPC) has been approved. After detailed interactions with the stakeholders, the operational guidelines for implementation of the Scheme for Creation / Expansion of Food Processing & Preservation Capacities have been formulated.

The operational guidelines for implementation of the scheme for Creation / Expansion of Food Processing & Preservation Capacities (CEFPPC) are attached for the information of all the stakeholders and public at large. These operational guidelines will be applicable to the proposals to be invited by this Ministry in future under this Scheme.

Encl: as above


(Dr Jitendra P Dongare)

M.O.
Tel No. 26406554
Email: jp.dongre@nic.in

MINISTRY OF FOOD PROCESSING INDUSTRIES

Operational Guidelines for implementation of Scheme for Creation / Expansion of Food Processing & Preservation Capacities

1. Objectives:

The main objective of the Scheme is creation of processing and preservation capacities and modernization /expansion of existing food processing units which will help in increasing the level of processing, value addition and thereby lead to reduction of wastage and enhancement of farmer's income.

2. Eligible sectors:

Food processing sectors eligible under the Scheme includes –

- (i) Fruits & vegetables processing,
 - (ii) Milk Processing
 - (iii) Meat/poultry/fish processing,
 - (iv) Ready to Eat / Ready to Cook Food Products/ Breakfast cereals/ Snacks / *bakery* and other food products.
 - (v) Grains/pulses, oil seed milling and processing based on modern technology.
 - (vi) Modern Rice milling, *preference will be given to Eastern (Odisha, W. Bengal, Bihar & Jharkhand) & North Eastern States.*
 - (vii) Other agri-horti products including spices, coconut, soybean, mushroom processing, honey processing etc.
 - (viii) *Fruits/ Honey based wines.*
 - (ix) *Natural Food flavors, food additives/ food extracts & colours, oleoresins (not synthetic), guar gum, cocoa products etc.*
 - (x) *Processing plants that makes food products fit for human and animal consumption to be set up in Mega Food Parks.*
- The activities related to manufacture of aerated water, packaged drinking water and carbonated drinks will not be considered for financial assistance under the Scheme.
 - For the proposals under grain milling sector (i.e. Rice, Pulse, Flour milling) 15% of the total allocated budget *may* be utilized each year for release of grant.

3. Indicative list of eligible processing activities–

The processing units undertake a wide range of processing activities which result in value addition, enhancing shelf life of the products and reduction of wastage. An indicative list of processing activities which may be undertaken by the processing units is given below.

- (a) sorting, grading, washing, peeling, cutting, sizing;
- (b) blanching, crushing, extraction, pulping;
- (c) drying, de-husking, de-hulling, splitting, depodding, deseeding, colour sorting, pulverization, extrusion, freeze drying / dehydration, frying, etc.;
- (d) Pasteurization, homogenization, evaporation, concentration, etc.
- (e) Packaging facilities like canning, aseptic packaging, vacuum packaging, bottling, edible packaging, labelling, any other specialized packaging etc.
- (f) Chemical preservation, pickling, fermentation or any other specialized facility required for preservation activities etc.
- (g) Individual Quick Freezing (IQF), blast freezing, plate freezing, spiral quick freezing etc.
- (h) Controlled temperature transport like coolers / refrigerated / insulated / ventilated transport.
- (i) All other processing / preservation/ transport / storage facilities etc. adjunct to value

addition and shelf life enhancement of food products would be eligible. Standalone activities like temperature controlled transportation/ storage facilities etc. will not be considered under this scheme. The project should include and result in creation/ increase in processing capacity.

Note: The above list is only illustrative and not exhaustive list of food processing activities. Food Processing Industry is fast growing industry and several innovative processing technologies are being developed day by day which will also be considered under this scheme with recommendations of technical committee.

4. Eligible organizations:

- (i) Organizations such as Central and State PSUs / Joint Ventures / Farmer Producer Organizations (FPOs)/ NGOs / Cooperatives / SHG's / Public and Pvt. companies / limited liability Partnerships, corporate entity/ proprietorship firms/ Partnership firms engaged or propose to engage in creation/ expansion/ modernization of food processing and preservation capacities would be eligible for financial assistance under the scheme.
- (ii) Grant in aid to any eligible organization, including its subsidiary company/ Group Company or any other company/ entity wherein any of the same person/ persons are holding controlling stake, would be limited to one unit.

5. Preference to the proposals:

The order of preference for selection of projects will be as under:

- a) Allocation of Food processing units shall be done on the basis of notional State-wise allocation. The State-wise allocation of units is provided at Appendix 'A'. The allocation of the units shall be done through EOI.
- b) The proposals for creation/ expansion/ modernization of food processing & preservation unit in Mega Food Parks assisted by the Ministry will be given preference within the State allocation.
- c) In order to approve the proposal for financial assistance within a State, preference will be given to the units being set up in the Mega food parks in that State, irrespective of the merit order of the proposals. **(Illustration:** *In case the proposal to be located in Mega Food Park gets 60 marks and proposal to be located in non-Mega Food Park location gets 70 marks in the same State, in such a scenario both are meeting the benchmark criterion of minimum 60 marks (refer Appendix-J), however, preference will be given to the proposals to be located in Mega Food Parks*)
- d) In case of lack of suitable proposals with in a State, MoFPI would reserve the right to allocate such proposals to the other States with preference to units proposed in MFPs of that State. **(Illustration:** *For example total 9 proposals are to be considered from Haryana State. In response to EOI, if only 3 eligible proposals are received which are to be located in Mega Food Park and 3 eligible proposals are received for non- mega food Park locations, then total 6 eligible proposals will be considered of Haryana State and remaining 3 proposals will be allocated to those States where allocation of proposals is lesser than the eligible proposals received, which are to be located in Mega Food Park of respective States*)

6. Pattern of assistance:

The scheme envisages financial assistance to food processing units in the form of grant-in-aid as under:

- 35% of the eligible project cost subject to a maximum of Rs. 5.00 crore in General Areas;
- 50% of the eligible project cost subject to a maximum of Rs. 5.00 Crores in North Eastern States including Sikkim and Difficult areas including Himalayan States (Himachal Pradesh, J&K & Uttarakhand), State Notified ITDP areas and Islands.

7. **Project Management Agency (PMA):**

- (i) MOFPI will engage professional agencies as PMAs to assist in implementation of the scheme.
- (ii) Project Management Agencies will be selected on bidding basis for examination, evaluation and monitoring of the proposals. They will be paid professional fees as per lowest quoted rate. Roles and responsibilities of the PMA are given in **Appendix –M**.

8. **Ineligible components:** The following items will not be eligible for calculation of the grant for the unit

8.1 **Ineligible items of civil works:**

- a) (i) Compound wall. (ii) Administrative Office Building. (iii) Labour quarters for employees/ workers. (iv) any other civil work not directly related to the production and processing.
- b) Cost of land shall not be considered as part of eligible project cost.

8.2 **Ineligible list of plant and machinery:**

- (i) Fuel, consumables, spares and stores.
- (ii) Computers, AC with ducting and allied office furniture.
- (iii) Personal Transport vehicles.
- (iv) Second hand/ old machines / refurbished machinery.
- (v) All types of service charges, carriage and freight charges, pre-operative expenses.
- (vi) Expenditure on painting of machinery.

Other ineligible items:

- (vii) Stationery items.
- (viii) Consultancy Fee, Margin Money, working capital and contingencies shall not be considered as part of eligible project cost for calculating grant in aid.

This is only an illustrative list and not exhaustive list of ineligible items.

The Inter Ministerial Approval Committee (IMAC) will be the final authority to decide on the admissibility of the grant and the eligibility or otherwise of the items for this purpose.

8.3 **Eligible Project Cost :**

Includes the cost of plant & Machinery and Technical civil work except for ineligible items as mentioned in paras 8.1 & 8.2 above. Cost of 'Utilities' essential for the plant i.e. Water pipeline, DG set, Boiler, Solid waste treatment plant, ETP etc. will be considered under eligible project cost subject to restriction of above cost being maximum 25% of the total project cost.

9. **Receipt of applications:**

The procedure for receipt of applications is as follows :

Applications under the scheme will be invited through Expression of Interest (EoI). An applicant is initially required to submit their loan application to the bank for appraisal and sanction of the Term loan for the project. The application for financial assistance in the prescribed format need to be submitted online and subsequently hard copy has to be sent by the applicant directly to MoFPI within stipulated time as prescribed in EoI notice.

The proposals have to meet the following basic eligibility criteria to be considered under the scheme :

- i. Before submitting the grant application, applicant shall ensure fulfillment of following eligibility criteria to avail grant in aid under the scheme:
 - a. The promoter's capital/ equity investment on the project should not be less than 20% of the total project cost in case of General areas and 10% of the total project cost in case of NER & Difficult areas. (not applicable to Govt. proposals).
 - b. Availing term loan from the bank/ Financial Institution minimum *20% of the total project cost*.
 - c. Only those proposals shall be eligible in which sanction of term loan has been accorded by the Nationalized Banks/ Private Bank / Scheduled Banks / FI *after the date of advertisement of EoI of this scheme*.
 - d. Date of commercial production should not be prior to the date of submission of application to the Ministry.
 - e. Proposal should have eligible project cost more than Rs. 3 (three) crore. {Ref. para 8.3 for eligible project cost}
 - f. The subsidiary company/ related company / group company of the applicant company has not already availed the grant in aid under this scheme. {refer para 4 (ii)}
 - g. Applicants/ Promoters who have availed assistance under any other scheme of the Ministry and apply again under this scheme, then in such cases the previous project (s) should have achieved completion and commenced commercial operation/ production and *successfully completed at least one year* before the date of advertisement of EoI of this scheme.
- ii. The applicant fulfilling the above eligibility criteria under the scheme is required to submit the online application in the prescribed format (**Appendix-B**) attaching therewith complete documents as prescribed in the guidelines at para 12 with continuous numbering on all attached documents in hard copy.
- iii. On receipt of the complete application by the Ministry, an acknowledgement receipt of the application will be sent on registered email IDs to the applicant for future reference.
- iv. Ministry does not hold any responsibility for any proposal pending/ delayed at any level, which could not be submitted to Ministry within the prescribed time limit of EOI. Such proposals shall not be considered.
- v. Applicant shall thoroughly examine and ensure all the documents to be uploaded/ forwarded with the application are in conformity with the scheme guidelines. Incomplete information, deficient documents etc. submitted by the applicant along with application will lead to rejection of proposals.
- vi. Whenever required the applicant would submit the original documents to MoFPI for further processing of the application.
- vii. Mere submission of application with required documents against the EOI does not confer any right on the applicant for claim of grant in aid under the scheme. The grant in aid will be sanctioned on merit and preference criteria based on evaluation of the proposal as per the assessment criteria laid down in the guidelines of the scheme. Grant will be released subject to availability of funds under scheme to the approved projects as per merit order and preference as laid down herein.

10. Procedure for approval of applications / project proposals for financial assistance:

- i. The proposals found prima facie eligible based on the criteria as per para 9 (i) will be evaluated as per the assessment criteria at **Appendix -J** of these guidelines.
- ii. Project Management Agencies (PMAs) will be appointed to examine, evaluate and monitor the project proposals during their implementation.
- iii. The applications complete in all respect will be evaluated by the PMA based on the assessment criteria. The proposals evaluated by the PMA will be examined by the Technical committee for recommending merit based on marks and preference.
- iv. The proposals recommended by the Technical committee will be placed before the Inter Ministerial Approval Committee (IMAC). Details of TC and IMAC is at **Appendix-K**
- v. As per the decision of the IMAC, approval/ rejection/ modification/ revision in proposal or project components, if any, will be communicated to the Applicant with suitable instructions.

11. Procedure for Disbursement of grant:

Grant will be disbursed through bank that has sanctioned term loan for the project. Grant will be credit linked but not back ended and will be released in two instalments each @50% of grant in the following manner:

11.1 Release of 1stinstallment:

The first installment of grant would be released after the firm has utilized 50% of the term loan as well as 50% of promoter's contribution and on production of the following documents by the applicant.

- (i) **Duly notarized Surety Bond** – To be executed by the beneficiary company on Non-Judicial stamp paper of not less than Rs. 100/- (**Appendix-F**).
- (ii) **Bank Certificate** certifying that they have released 50% of term loan and the required expenditure has been made on the project. (**Appendix-D**).
- (iii) **CA certificate** –for actual expenditure incurred on the project as per the means of finances.(**Appendix-H**).
- (iv) **Jt. inspection report of PMA & Bank** –Inspection report verifying the actual physical progress made by the project on the ground, matching the expenditure claimed in CA certificate. (**Appendix-C**).
- (v) **NOC from Pollution Control Board** (consent to establish)
- (vi) **PFMS Registration** – Controller General of Accounts (CGA) registration of firm under agency type “private sector companies” and under the scheme name “National Mission on Food Processing (SAMPADA) CS (9535)”.

A) The applicant/ Bank needs to create one dedicated bank (Escrow) account with respect to the Promoter(s) contribution and term loan for implementation of the project. Details of these bank accounts are to be provided in the ECS mandate form as provided in **Appendix-L** so as to transfer the grant in same account.

B) **Compliance of any other Terms & conditions** mentioned in the approval letter of the grant in aid issued by the Ministry.

11.2 Release of 2nd Installment:

The second instalment of the grant would be released only after confirming the commencement of commercial production through joint physical verification by the PMA & bank and submission of documents specified below regarding utilization of 1st instalment of grant and 100% of Term Loan as well as 100% of Promoter's contribution as per the approved means of finances.

- (i) **Chartered Accountant Certificate** – Actual expenditure incurred on the project as per the approved means of finance and 100% utilization of Promoters contribution and 100% of Term loan **(Appendix-H)**.
- (ii) **Bank Certificate** – certifying that they have released 100% of term loan and Bridge loan if any and 1st installment released has been credited in dedicated account and request to conduct joint inspection **(Appendix- E)**.
- (iii) **Statement of Expenditure/ utilization of funds released:** Indicating the details of the payments made towards implementation of the project. **(Appendix-I)**
- (iv) **Chartered Engineer Certificates** – certifying the Item wise and cost wise details of Technical civil works completed duly certified by Chartered Engineer (Civil) and Item wise and cost wise details of Plant & Machinery installed duly certified by Chartered Engineer (Mechanical).
- (v) **NOC of Pollution Control Board** - (Consent to operate)
- (vi) Valid copy of License issued under **FSS Act, 2006**.
- (vii) **Joint inspection report of PMA and Bank** – Inspection report verifying the actual physical progress of the project at the ground including commercial production. **(Appendix- N)**.

A) Compliance of any other Terms & conditions mentioned in the approval letter of the grant in aid issued by the Ministry.

B) Before release of 2nd (final) installment of grant in aid, eligible grant in aid for the project will be recalculated based on the appraised/ actual cost, whichever is less, for the already approved items and grant will be released accordingly.

11.3 Other conditions:

- i. The decision of the Ministry in all matters relating to eligibility, acceptance or rejection of the applications, mode of selection, grant approved and imposition of penalty will be final and binding on the applicant.
- ii. In case the banks/ FIs utilize the amount released, in contravention of the scheme guidelines, the Bank/FIs shall be liable to refund such amount to the Government alongwith interest at PLR of the said bank. In case of a dispute about the correctness of the said demand, the matter shall stand referred to the Competent Authority of Arbitrators as established by the Government of India.

12. Documents required to be submitted at the time of submitting the application by applicant:

(application required to be submitted **online** and following documents need to be uploaded with application in pdf format)

- (i) Application in the prescribed format **(Appendix-B)**. *(fillable application template will be available in online platform of the Ministry)*
- (ii) Detailed Project Report (DPR) (indicating financial and technical profile of the promoter (s), domain expertise available with firm, raw material availability in the area, arrangements for raw material procurement, marketing strategy of proposed products, process flow diagram of proposed products with production capacity per day, technology proposed for the various activities in process line, financial estimates with key financial parameters, P&L statement, employment generation (Direct, Indirect) , number of farmers to be benefitted & farmer linkages etc.)
- (iii) Bank appraisal and techno-economic viability report. *(The copy of DPR stamped by the bank will not be acceptable as bank appraisal)*
- (iv) Sanction letter of term loan from bank / financial institutions. (Clearly indicating the

- amount of term loan approved and sanctioned)
- (v) Certificate of incorporation/registration of the organization, Memorandum and Articles of Association and Bye laws of the society (if applicable)/ partnership deed etc.
- (vi) Latest Annual Report and Audited Statement of Accounts, in case of expansion / modernization proposals/cases. This will not be applicable for new entrepreneur.
- (vii) Item wise and cost wise details of Technical civil works envisaged duly certified by Chartered Engineer (Civil).
- (viii) Item wise and cost wise details of Plant & Machinery envisaged duly certified by Chartered Engineer (Mechanical).
- (ix) An undertaking to be furnished by the applicant as per **Appendix- G**
- (x) Notarized English version of land allotment/ ownership document (in case it is in any of the regional languages).
- (xi) IEM registration/ Entrepreneur's Memorandum etc.

13. Implementation and monitoring of the projects sanctioned:

- i. The implementation schedule for the projects would be 18 months from the date of the issue of approval letter. In exceptional circumstances, for the reasons beyond the control of the promoter (s), the implementation period may be extended with approval of IMAC.
- ii. In case of non-adherence of time lines, *a penalty of 1% of the quantum of instalment amount due for release for that instalment, will be imposed for each month's delay beyond the stipulated timeline. The maximum amount of penalty, however, shall not exceed 10% of the instalment to be released to the project.*
- iii. It will also be binding on the applicant to allow inspection/ physical verification of the unit at any time by representatives of Ministry.
- iv. Promoter would be required to prominently display on the front of the project building/ vehicles stating that the **"Project is assisted by the Ministry of Food Processing Industries, Government of India"**.

14. Recall of Grant :

The Ministry will have the authority to recall the grant -

- i. If the project is not completed in time within the approved project period including extension if any, then the grant-in-aid released to the applicant, will have to be refunded to the Ministry of Food Processing Industries forthwith but not later than 30 days after a notice is given by MOFPI in this regard.
- ii. If the assisted project stops its commercial operations within three (3) years from the date of commencement of commercial production of the project.
- iii. MoFPI will have the discretion to recall the grant, if during such period, it comes to the notice of the Ministry that the grant has been availed by manipulating / concealment of information / facts or that the grant has been utilized for purposes other than those for which it was sanctioned.

15. Jurisdiction of Court :

Any dispute arising out of selection of proposals and implementation of approved project under this scheme guideline will be subject to Courts/ Tribunals having jurisdiction over Delhi.

State-wise share of Agri Produce

Sr. No.	State	2010-11	2011-12	2012-13	2013-14	2014-15	Overall	No of units	No of units* allocated
1	Andhra Pradesh	6.07%	6.00%	6.33%	6.32%	5.68%	6.08%	15.20	12
2	Arunachal Pradesh	0.09%	0.12%	0.11%	0.11%	0.12%	0.11%	0.27	3
3	Assam	1.57%	1.51%	1.63%	1.50%	1.76%	1.59%	3.99	5
4	Bihar	5.46%	5.89%	6.14%	5.52%	5.56%	5.71%	14.28	11
5	Chhattisgarh	2.01%	1.95%	2.08%	2.11%	2.18%	2.07%	5.16	6
6	Goa	0.09%	0.10%	0.08%	0.09%	0.09%	0.09%	0.23	3
7	Gujarat	6.54%	6.54%	6.16%	6.90%	6.57%	6.54%	16.36	12
8	Haryana	4.48%	4.56%	4.39%	4.47%	4.35%	4.45%	11.13	9
9	Himachal Pradesh	0.80%	0.70%	0.69%	0.73%	0.70%	0.72%	1.81	4
10	Jammu & Kashmir	1.13%	1.07%	0.99%	0.99%	0.94%	1.02%	2.56	4
11	Jharkhand	1.34%	1.56%	1.62%	1.53%	1.60%	1.53%	3.82	5
12	Karnataka	5.70%	5.40%	5.25%	5.19%	5.38%	5.38%	13.46	11
13	Kerala	2.34%	2.32%	2.23%	2.20%	1.82%	2.18%	5.45	6
14	Madhya Pradesh	5.69%	7.00%	8.16%	7.76%	9.10%	7.54%	18.86	14
15	Maharashtra	7.17%	6.81%	6.39%	7.31%	6.34%	6.80%	17.01	13
16	Manipur	0.18%	0.19%	0.16%	0.19%	0.18%	0.18%	0.45	3
17	Meghalaya	0.16%	0.16%	0.16%	0.18%	0.19%	0.17%	0.43	3
18	Mizoram	0.08%	0.10%	0.09%	0.10%	0.10%	0.09%	0.23	3
19	Nagaland	0.15%	0.19%	0.18%	0.23%	0.23%	0.20%	0.49	3
20	Orissa	2.92%	2.88%	2.99%	2.95%	3.05%	2.96%	7.39	7
21	Punjab	6.46%	6.26%	6.25%	6.23%	6.08%	6.26%	15.64	12
22	Rajasthan	6.68%	6.48%	6.37%	6.18%	6.81%	6.50%	16.26	12
23	Sikkim	0.05%	0.05%	0.05%	0.05%	0.05%	0.05%	0.13	3
24	Tamil Nadu	6.10%	6.14%	5.04%	5.47%	5.18%	5.59%	13.96	11
25	Telangana	3.13%	2.86%	3.11%	3.14%	3.00%	3.05%	7.62	7
26	Tripura	0.30%	0.29%	0.32%	0.33%	0.34%	0.32%	0.79	3
27	Uttar Pradesh	14.55%	14.73%	14.75%	14.44%	14.42%	14.58%	36.45	24
28	Uttarakhand	0.82%	0.80%	0.79%	0.76%	0.76%	0.79%	1.96	4
29	West Bengal	7.64%	7.03%	7.24%	6.78%	7.19%	7.18%	17.94	13
30	A & N Islands	0.04%	0.04%	0.04%	0.04%	0.04%	0.04%	0.09	3
31	Chandigarh	0.01%	0.01%	0.01%	0.01%	0.01%	0.01%	0.03	3
32	D & N Haveli	0.01%	0.01%	0.01%	0.01%	0.01%	0.01%	0.02	3
33	Delhi	0.22%	0.20%	0.15%	0.15%	0.13%	0.17%	0.42	3
34	Daman & Diu	0.01%	0.00%	0.01%	0.01%	0.01%	0.01%	0.01	3
35	Lakshadweep	0.01%	0.01%	0.01%	0.01%	0.01%	0.01%	0.03	3
36	Pondicherry	0.04%	0.03%	0.04%	0.04%	0.04%	0.04%	0.09	3
								250.00	250.00

*All the 36 States/ UTs have been allocated 3 units each and thereafter remaining 142 units allocated as per the overall production percentage of the respective States.

Application Format for Scheme for Creation/ Expansion of Food Processing & Preservation Capacities.

S.No.	Particulars	Details
1. State/UT:		
2. Whether the unit is proposed to be set up in a MFP in a state and name of MFP (enclose documents in proof of the same):		
A. Promoters		
1.	Name & Address of the Promoter including telephone, fax, e-mail etc. Aadhar No, PAN /TIN/TAN Number	
2.	Type of organisation like Govt. Institution /organisation, Pvt. Ltd. Co, FPO, NGO, Co-operative, Proprietorship, Partnership Co. etc.	
3.	Background/credentials of applicant organisation	
4.	Financial Status (Net worth of Promoters/company, details of existing company etc to be enclosed separately alongwith details)	
5.	Existing Industry if any	
B. Project Description		
6.	Name of the Project	
7.	Location/Area of the project	
8.	Products/By Products	
9.	Process with complete flow chart	
10.	Technology (Indigenous/ imported)	
11.	Capacity of the Plant/Unit	
12.	In case of expansion/modernisation of existing facilities/unit (details of existing capacity and proposed capacity after expansion, alongwith capacity utilisation)	
C. Project Cost		
13.	Capital Investment (Fixed Capital) i. Land Area Cost ii. Building iii. Civil Works iv. Technical Civil Works	
14.	Plant & Machinery (Indigenous) (Capacity/Specification /Cost)	
15.	Imported Plant &Machinery (Capacity/Specification /Cost)	
16.	Pre-operative expenses	
17.	Working Capital	
18.	Raw Material/Packaging (Source/Quantity/Cost)	
19.	Labour (Quantity/Cost)	
20.	Effluent Disposal (Method/Machinery/Cost)	

20 (A)	Any other items (Please specify)		
D. Means of Finance (indicating proposed & appraised means of finance, separately)			
21.	Means of Financing a) Equity (Promoter/Foreign/Other) b) Loan (Term/working capital) c) Grant in aid d) other sources (Venture capital etc)		
	TOTAL		
22.	Financial Benchmarks a) Cash Flow b) Break Even Point c) Internal Rate of Return d) Debt Equity Ratio e) Debt Service Coverage Ratio		
23.	In case of expansion/modernisation all the above benchmarks to be given separately- existing as well as projected		
24.	In case of expansion/modernisation proposals Audited Balance sheet of last three years to be enclosed.		
E. Marketing			
25.	Marketing a) Existing Market b) Future Demand c) Marketing Strategy d) Linkage to farm/backward linkages e) Forward market linkages		
F. Implementation Schedule			
26.	Item of work	Date of implementation (Bar charts/ Milestone Charts may be enclosed)	
G. Personnel			
27.	Details of technical & Managerial personnel (Operation, Maintenance, managerial, finance, marketing etc.) required & available with qualification and experience.		
H. Employment Generation- Direct/Indirect			
28.	a) Direct b) Indirect		

Date:
Place:

Signature
Name and Designation
Seal of the organisation

Joint Inspection Report

Date: _____

To,

The Jt. Secretary,
Ministry of Food Processing Industries
Panchsheel Bhavan, August Kranti Marg
New Delhi - 110049

Subject : Inspection & Physical verification of M/s _____ (Name of the firm with address of project location) for consideration of the release of grant-in-aid under the Scheme for Creation/ Expansion of Food Processing & Preservation Capacities.

The details of the unit:

S.No.	Particulars	Details	
A	Project Details		
1.	Name of the Project		
2.	Location/Area of the project/ Name of State/UT.		
3.	Whether the project is in MFP, name and plot no.		
4.	Products/By Products to be manufactured (list of products)		
5.	Capacity of the project (MT/ annum)		
6.	In case of expansion/modernisation of existing facilities/unit (details of existing capacity and proposed capacity after expansion & alongwith capacity utilisation)		
B	Project Cost	(Amount in Crores)	
		As appraised by the bank	Actual as on _____
	i. Land /Plot area Cost		
	ii. Civil Works		
	iii. Cost of Plant & Machinery		
	iv. Others		
	Total cost		
C	Means of Finance (appraised means of finance)		
	i. Equity (Promoter/Foreign/Other)		
	ii. Loan (Term) (please indicate if TL also included Grant in aid component)		
	iii. Grant in aid		
	iv. other sources		
	TOTAL		
D	Estimated Grant in aid		
1.	Eligible cost of Technical Civil work estimated		
2.	Eligible cost of Plant & Machinery estimated		
3.	Total of the Eligible cost		
4.	Estimated grant in aid worked out (@35%/ 50%)		
E.	Financial Benchmarks (As per bank appraisal report)		

	a) Break Even Point b) Internal Rate of Return c) Debt Equity Ratio d) Debt Service Coverage Ratio	
	In case of expansion/modernisation, all the above benchmarks to be given separately- existing as well as projected	
F. Implementation Schedule (Actual/ proposed dates)		
	(a) date of acquiring land (b) date of start of construction of building (c) date of completion of building (d) date for placing order for plant & machinery (e) date of installation/erection (f) date of trial production and (g) date of commercial production.	
G. Employment Generation- Direct/Indirect		
	a) Direct b) Indirect	
H.	Availability of raw material for the project	
I.	Techno-economic viability of the project :	

The above information is indicated as per the physical verification of the documents for above project. The proposal is recommended for consideration of release of 1st / 2nd instalment of grant in aid as per the guidelines of Scheme for Creation/ Expansion of Food Processing & Preservation Capacities.

(Signature of the Bank Officer with Seal)

Name: _____

Name of the Bank: _____

Address: _____

Phone/ Fax/ Mobile No. _____

Email: _____

Place: _____

Date: _____

(Signature of the PMA)

Name: _____

Address: _____

Phone/ Fax/ Mobile No. _____

Email: _____

Place: _____

Date: _____

**(Recommendation of Bank for release of 1st installment of grant)
[REFER PARA 11.1 (ii)]**

To
The Under Secretary
Ministry of Food Processing Industries
Panchsheel Bhawan
August Kranti Marg
New Delhi- 110049

**Subject: Recommendation for release of 1st installment of financial assistance in respect of project of M/s
..... (Name & Address of project) -reg.**

Sir,

With reference to Ministry's approval letter no. dated, it is hereby recommended that Ministry may consider release of 1st installment i.e. 50% of approved grant amount in respect of project of M/s (address of project location) Village District State Till now our bank has released..... % of term loan to this project. Following is certified for consideration of release of grant:-

It is certified that:-

- i. The promoter has utilized 50% of promoter's contribution and 50% of term loan of the approved project cost on the implementation of the project.
- ii. The term loan in the project is not sanctioned for one or few components but for the entire project as appraised.
- iii. Activity and component considered in the project for loan are new. No old plant & machinery or component is recommended for consideration of grant.
- iv. Loan has not been given as advance or as reimbursement of expenditure already incurred by the promoter.
- v. The grant so released by the Ministry to the bank shall be deemed as estimated (tentative) only and it would be credited in TRA/Escrow Account Number.....
- vi. In the event of bank recovering its loan liabilities from the promoter in case of default and/ or contravention of the scheme guidelines by the promoter, the Banks shall refund to the Government the grant amount in proportion to its own dues as finally recovered from the defaulter.

(Signature of the Bank Officer with Seal)

Name: _____

Name of the Bank: _____

Address: _____

Phone/ Fax/ Mobile No. _____

Email: _____

Place: _____

Date: _____

**(Forwarding letter of Bank for recommending conduct of Joint Inspection before release of 2nd and Final Installment of grant)
[REFER Para11.2]**

To

The Under Secretary

Ministry of Food Processing Industries

Panchsheel Bhawan

August Kranti Marg

New Delhi- 110049

Subject: Request for conduct of Joint Inspection in respect of project of M/s (Name & Address of project) –reg.

Sir,

The Ministry of Food Processing Industries has released Rs..... as 1st Installment of grant in respect of project of M/s (address of project location) Village..... District..... State..... vide sanction letter no..... dated The grant amount of 1st Installment released to the project has been credited in TRA/ Escrow account no. of the bank and utilized for the project. Now project is complete and has commenced commercial operations on (DD/MM/YYYY). The bank has also disbursed full term loan sanctioned for the above mentioned project. Following documents required for Joint Inspection are submitted with the request to conduct Joint Inspection of the project in connection with release of 2nd and final installment of grant:-

S.No.	Particulars	Yes/No
1.	Details of date-wise release of term loan	
2.	Completion of the project and start of commercial operation by the unit	
3.	Statement of <i>eligible components used for assessing component wise cost and eligible project cost.</i>	
4.	Chartered Engineer Certificates for completed TCW & Installed P/M	
5.	Statement of TRA/ Escrow account of bank in which 1 st Installment of grant has been credited	
6.	C.A. Certificate as per Appendix G	
7.	Copy of consent to Operate from Central/State Pollution Control Board	
8.	Copy of License under Food Safety and Standards Act, 2006	

It is certified that:-

- i. The promoter has spent 100% of promoter's contribution and 100% of term loan of the approved project cost on the implementation of the project.

(Signature of the Bank Officer with Seal)

Name: _____

Name of the Bank: _____

Address: _____

Phone/ Fax/ Mobile No. _____

Email: _____

Place: _____

Date: _____

SURETY BOND

KNOW ALL MEN BY THESE PRESENTS that we, M/s _____, a _____ (Type of organization) incorporated / registered under the _____ (Name of the Act) and having its registered office at _____ (hereinafter called the "Obligors") are held fully and firmly bound to the President of India (hereinafter called the "Government") for the sum of Rs. _____ (Rupees _____ only) well and truly to be paid to the Government on demand and without a demur for which payment we firmly bind ourselves and our successors and assignees by these presents.

SIGNED on the _____ day of _____ in the year Two Thousand _____.

WHEREAS on the Obligors' request, the Government as per Sanction Order No. _____ Dated _____ (hereinafter referred to as the "Letter of Sanction") which forms an integral part of these presents, and a copy whereof is annexed hereto and marked as Annexure-I, agreed to make in favour of the Obligors grants-in-aids-in-aid of Rs. _____ (Rupees _____ only) for the purpose of _____ (description of the project) at _____ out of which the sum of Rs. _____ (Rupees _____ only) have been paid to the Obligors (the receipt of which the Obligors do hereby admit and acknowledge) on condition of the Obligors executing a bond in the terms and manner contained hereinafter which the Obligors have agreed to do.

NOW the conditions of the above written obligation is such that if the Obligors duly fulfill and comply with all the conditions mentioned in the letter of sanction, the above written Bond or obligation shall be void and of no effect. But otherwise, it shall remain in full force and virtue. The Obligors will abide by the terms & conditions of the grants-in-aid by the target dates, if any specified therein.

THAT the Obligors shall not divert the grants-in-aids and entrust execution of the Scheme or work concerned to another institution(s) or organization(s).

THAT the Obligors shall abide by the clauses indicated in the scheme guidelines under which the above grant has been sanctioned and any other conditions specified in this agreement and in the event of their failing to comply with the conditions or committing breach of the guidelines/ bond, the Obligors individually and jointly will be liable to refund to the President of India, the entire amount of the grants-in-aid with interest of 10% per annum thereon. If a part of the grants-in-aid is left unspent after the expiry of the period within which it is required to be spent, interest @10% per annum shall be charged upto the date of its refund to the Government, unless it is agreed to be carried over.

The Obligors agree and undertake to surrender / pay the Government the monetary value of all such pecuniary or other benefits which it may receive or derive / have received or derived through / upon unauthorized use of (such as letting out the premises on adequate or less than adequate consideration or use of the premises for any purpose other than that for which the grants-in-aid was intended of the property) buildings created / acquired constructed largely from out of the grants-in-aid sanctioned by the Government of India, or the administrative Head of the Department concerned. As regards the monetary value aforementioned to be surrendered / paid to the Government, the decision of the Government will be final and binding on the Obligors.

AND THESE PRESENTS ALSO WITNESS THAT the decision of the Secretary to the Government of India on the question whether there has been breach or violation of any of the terms or conditions mentioned in the sanction letter shall be final and binding upon the Obligors and;

IN WITNESS WHEREOF these presents have been executed as under on behalf of the Obligors the day herein above written in pursuance of the Resolution No. _____ Dated _____ passed by the governing body of the Obligors, a copy whereof is annexed hereto as Annexure-II and by _____ for and on behalf of the President of India _____ on the date appearing below:-

Signature of the AUTHORISED SIGNATORY
Signed for and on behalf of
(Name of the Obliger in block letters)
(Seal / Stamp of Organization)

1. Signature of witness
Name & Address

2. Signature of witness
Name & Address

TO BE FILLED UP BY THE MINISTRY OF FOOD PROCESSING INDUSTRIES
(ACCEPTED)
For and on behalf of the PRESIDENT OF INDIA

Name: _____
Designation: _____
Dated: _____

Notary Seal & Signature

UNDERTAKING
[REFER PARA 12 (ix)]

I.....(Name of the Lead Promoter/Director) Son of Mr.....(father's name)
 resident of(residential address) do hereby solemnly affirm and
 declare/undertake as under:

1. That I am promoter/ director/ partner/ proprietor of M/s..... (name of beneficiary) having its Registration no.Registered Office at (office address of beneficiary).
2. I hereby make application and I am duly authorized in my own right/by management vide its resolution no.dated.....to apply and sign all required documents including this undertaking on behalf of company/partnership firm/cooperative society etc. named as; and am fully aware of the facts relating to the setting up of food processing unit at Survey No....., Village....., Tehsil....., District....., State..... (location of the main facility) for.....(activities to be undertaken by project) and application is being made to the Ministry of Food Processing Industries (MoFPI) under the Central Sector Scheme for Creation/ Expansion of Food Processing & Preservation Capacities.
3. That the term and conditions of the above scheme of the MoFPI under which an application is made by the applicant have been properly read and understood by me and I affirm that the project/ proposal comply with all the terms and conditions of the approval letter and provisions enshrined in the scheme guidelines.
4. That the proposed activities to be undertaken by the project/proposal are covered under the above scheme of MoFPI and no part of the scheme/infrastructure of the project is designed or assigned to be used for any activity other than the activities specified in the application at present or in the near future.
5. It is certified that _____ (name of applicant/Promoter) has not obtained or applied for grants for the same project, component, purpose or activity from any other Ministry or Department of the Government of India or State Government or their agencies.
6. It is certified that the organization's subsidiary company (s)/ related company / group company as well as the applicant company itself availed / not availed financial assistance for a food processing project in the past from the Ministry of Food Processing Industries (MoFPI) or From State Government (Name of the State) under NMFP, if availed, the details thereof furnished as enclosed.
7. It is certified that our company including its subsidiary company (s)/ related company / group company, will not avail more than one grant for creation/ expansion/ Modernization of processing / preservation capacities under this scheme.
8. I also solemnly affirm/undertake that the proposed project components in the application are a completely new activity and not a pre-existing activity or any component thereof.

9. In case of concealment of any facts in this regard, the MoFPI would have right to reject my application out right at any stage.
10. I will meet any shortfall in means of finance due to less admissibility of grant or any future reduction in grant-in-aid or any escalation caused in the cost of the project.
11. I shall not dispose-off or encumber or utilize the assets created wholly or substantially out of government grant for purpose other than those for which they have been sanctioned, without obtaining the prior approval of the sanctioning authority of grant-in- aid.
12. After submission of application for grant under above scheme, I shall not change the ownership of the project, location of project, Name of the company, promoters of the company, Bank /FI without explicit written permission from the Ministry.
13. In case of non-implementation/ delayed implementation of the project the Ministry will have absolute right in cancelling the approval granted and also recall the grant released, if any, along with interest as per the scheme guidelines.
14. I also undertake that all the information furnished in the application and the DPR with respect to the eligibility conditions, etc. are true and correct to the best of my knowledge and belief and nothing material has been concealed therefrom.

Date: _____

Place: _____

Signature of the Applicant/Lead Promoter

(Letter Head of the CA)

CA certificate (With membership No. of CA) in the following format:-

(i) Project Cost:

(Rs. in lakh)

Sl No.	Name of the Component/Item	Project Cost	Cost appraised by the Bank	Actual Cost
1.	Land			
2.	Building / Civil Works			
3.	Plant & Machinery			
4.	Misc. Fixed Assets			
5.	Others			
	Total			

(ii) Means of Finance:

(Rs. in lakh)

Sl. No.	Item	Project Cost	As per appraisal report	Actual Cost
1.	Promoter's Equity			
2.	Term Loan			
3.	Unsecured Loan			
4.	MoFPI Grant			
5.	Others			
	Total			

Details of unsecured loans, if any, duly certified by CA.

Signature and Seal of C.A.

Statement of expenditure/ utilization of the funds released

Certified that Rs. _____ of grant-in-aid sanctioned by the Ministry of Food Processing Industries towards first/ second instalment of grant in favour of _____ (name & address of the project) has been utilized for the purpose for which it was sanctioned. A statement of accounts showing the expenditure/ utilization of funds released duly signed by the undersigned and counter signed by the Chartered Accountant is enclosed as an **Annexure**.

Signature of Promoter/ Authorized signatory of Company

With Seal

Date._____

Counter signature of Chartered Accountant
With CA membership No.

Annexure

Statement of expenditure/ utilization of the funds released

SL No	Name of the party	Components	Voucher/ Bill No	Date of Voucher/ Bill	Basic Cost (only for P&M)	Taxes, Freight, installations, Insurance costs (for P&M)	Total Cost	Date of Payment as per Bank Statement	Mode of Payment

Signature of Promoter/ Authorized signatory of Company

With Seal

Date._____

Counter signature of Chartered Accountant
With CA membership No.

Criteria for Evaluation of proposals under Scheme for creation of food Processing & Preservation capacities

[REFER PARA 10 (i)]

The proposals found *prima facie* eligible based on conditions stipulated in the guidelines will be evaluated as per the following assessment criteria: (A proposal would have to obtain a minimum of 60 marks in order to become eligible for consideration of grant-in-aid.)

S.No	Criteria for Evaluation of the proposal		Marks	Max marks	Reference documents to be reviewed
1	Priority Sector				
	a.	For Perishable Products (<i>Fruits & Veg, Meat & Poultry, Milk & Aqua Products etc.</i>)	25	25	DPR/ Bank appraisal and IEM
	b.	For Consumer products (<i>Bakery/Snacks/Breakfast cereals/RTE products etc.</i>)	15		
	b.	For Non- Perishable Products (<i>Grain/Pulse/Oil milling etc.</i>)	10		
2	Leveraging of Investment in the project				
	For General areas			15	DPR/ Bank appraisal
	a.	Proposed private investment including equity and unsecured loan excluding land cost \geq 2 times of grant sought	15		
	b.	Proposed private investment including equity and unsecured loan excluding land cost $<$ 2 times of grant sought	10		
	For NE/ Himalayan States, Island areas & ITDP areas.				
	a.	Proposed private investment including equity and unsecured loan excluding land cost \geq grant sought	15		
	b.	Proposed private investment including equity and unsecured loan excluding land cost $<$ grant sought	10		
3	Investment on Eligible Project cost				
	a.	More than Rs.15 crore	12	12	DPR/ CE Certificate.
	b.	More than Rs 9 crore to 15 crore	08		
	c.	Between Rs. 3 crore to 9 crore	04		
4	Economic Viability of project based on Bank appraisal (key financial parameters viz. IRR, DSCR)				
4a	Internal Rate of Return (IRR)				
	a.	More than 20%	11	11	Bank Appraisal Report
	b.	Between 17% to 20%	08		
	c.	Between 14% to 16.99%	05		
	d.	Less than 14%	00		
4b	Debt Service Coverage Ratio (DSCR)				
	a.	More than 3.0	12	12	Bank Appraisal Report
	b.	Between 2.5 to 2.9	10		
	c.	Between 2.0 to 2.4	08		
	d.	Between 1.5 to 1.9	05		
	e.	Less than 1.5	00		
5	Status of project land				
	a.	Land in possession of applicant with approval for Industrial use.	10	10	CLU permission document.
	b.	Land in possession of applicant without approval for Industrial use.	05		
6	Location of the project				

	a.	Nearness of project from domestic consumption centre/ exports i.e. Metro/ Tier 1 cities/ Ports (within 40 Kms)	05	05	Copy of map
	b.	Nearness of project from domestic consumption centre/ exports i.e. Metro/ Tier 1 cities/ Ports (more than 40 Kms)	03		
7	Days of operations of the core processing facility				
	a.	More than 300 days	10	10	Crop seasonality matrix and data on marketable surplus of the focused crops in the catchment area around the unit.
	b.	More than 250 to 300 days	07		
	c.	Less than 250 days	05		
		Total		100	

INTER-MINISTERIAL APPROVAL COMMITTEE (IMAC)

- | | |
|--|------------------|
| 1. Hon'ble Minister, Food Processing Industries. | - Chairperson |
| 2. Hon'ble Minister of States, FPI | - Co-Chairperson |
| 3. Secretary, FPI, Ministry of Food Processing Industries | - Member |
| 4. Additional Secretary/ Jt. Secretary & Financial Adviser, MoFPI | - Member |
| 5. Joint Secretary, MIDH, Department of Agriculture & Co-operation,
Ministry of Agriculture & FW | - Member |
| 6. Joint Development Commissioner, O/o Development Commissioner
(MSME), Ministry of Micro, Small and Medium Enterprises | - Member |
| 7. Chief Executive Officer (CEO), NITI Aayog | - Member |
| 8. <i>State Government representative</i> | - Member |
| 9. Joint Secretary, (Dealing with scheme), Ministry of Food Processing Industries | - Secretary |

TECHNICAL COMMITTEE (TC)

- | | |
|---|----------------------|
| 1. Joint Secretary, (Dealing with scheme), Ministry of Food Processing Industries | - Chairperson |
| 2. Joint Secretary, Finance, Ministry of Food Processing Industries | - Member |
| 3. Economic Adviser, MoFPI | - Member |
| 4. Director, APEDA, Ministry of Commerce & Industries | - Member |
| 5. Jt. AMA, DMI, Ministry of Agriculture & FW | - Member |
| 6. Managing Director, National Horticulture Board | - Member |
| 7. HOD, Food Process Engineering, IICPT, Thanjavur | - Member |
| 8. HOD, Department of Food Engineering & Technology, NIFTEM | - Member |
| 9. Subject matter specialist (as and when required) | - Special
Invitee |
| 10. <i>State Government representative</i> | - Member |
| 11. Director (Dealing with scheme), Ministry of Food Processing Industries | - Secretary |

Travelling allowance will be reimbursed to the special invitees as per Government rules subject to submission of TA bill alongwith original tickets and bills etc.

Mandate Form
[REFER PARA 11.1.1)]

**ELECTRONIC CLEARING SERVICE (CREDIT CLEARING) /REAL TIME GROSS SETTLEMENT (RTGS)
FACILITY FOR RECEIVING PAYMENTS**

DETAILS OF ACCOUNT HOLDER:

NAME OF ACCOUNT HOLDER	
COMPLETE CONTACT ADDRESS	
TELEPHONE NUMBER/FAX/EMAIL	
PAN/TIN/TAN Number	

BANK ACCOUNT DETAILS:-

BANK NAME	
BRANCH NAME WITH COMPLETE ADDRESS	
TELEPHONE NUMBER AND EMAIL	
BRANCH'S IFSC CODE	
TYPE OF BANK ACCOUNT (SB/CURRENT/CASH CREDIT)	
COMPLETE BANK ACCOUNT NUMBER (LATEST)	
MICR CODE OF BANK	

DATE OF EFFECT:-

I hereby declare that the particulars given above are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete or incomplete or incorrect information I would not hold the Ministry of Food Processing Industries responsible.

Date

Signature of Customer

Certified that the particulars furnished above are correct as per our records.

(Signature and Seal of Bank)

(Note: Please attach a self-attested photocopy of cheque along with the verification obtained from the bank)

ROLE AND RESPONSIBILITIES OF PROGRAMME MANAGEMENT AGENCY**[REFER PARA 7]**

- (i) Scrutiny of the Proposals received against the EOI/advertisement and assist the Ministry in selection of eligible proposals.
- (ii) Appraisal of the DPR/projects indicating financial viability, commercial sustainability and socio-economic impact and presentation of the appraisal to the Ministry for approval.
- (iii) Assist the Ministry in issue of approval letters to the selected projects.
- (iv) Assist/advise the Ministry in release of the grant to the approved projects. Scrutiny of the proposals for release of grant as per the scheme guidelines. Undertake site inspections to assess the actual physical progress and verify the claims/documents submitted by the applicant for release of grant and make recommendations to the Ministry. In addition to carrying out mandatory site inspections before release of 1st and 2nd installment of grant, the PMA will also carry out quarterly site inspections and additional site inspections as and when requested by the Ministry to ascertain the status of implementation of a particular project.
- (v) Monitoring and reporting the progress of the projects to the Ministry periodically (Yearly for five year) on the basis of defined milestones or as directed by the Ministry.
- (vi) Updating the data regularly in the online dashboard monitoring system for monitoring the progress of the assisted projects. The portal will have to be kept updated at all times.
- (vii) Provide suitable technical inputs on any aspect of the processing/ preservation activities of the project and related matter as and when required by the Ministry.
- (viii) Assist in formulating, analysis and evaluation of the scheme guidelines.
- (ix) Provide inputs for preparing reports, templates, forms and check lists related to the effective implementation of the scheme.
- (x) Provide inputs for preparation of the agenda notes and minutes of the Technical Committee and Inter-Ministerial Approval Committee (IMAC) for the scheme.
- (xi) Assist the Ministry in analysis of nation wise, state wise and cluster wise requirements of the creation/ expansion of processing/ preservation capacities.
- (xii) Checking the authenticity of the documents submitted by the applicants.
- (xiii) Any other duty and responsibility assigned by the Ministry from time to time.

Joint Inspection Report for final installment

Date: _____

To,

The Jt. Secretary,
Ministry of Food Processing Industries
Panchsheel Bhavan, August Kranti Marg
New Delhi - 110049

Subject : Inspection & Physical verification of M/s _____ (Name of the firm with address of project location) for consideration of the release of grant-in-aid under the Scheme for Creation/ Expansion of Food Processing & Preservation Capacities.

The details of the implementation of the project:

S.No.	Particulars	Details	
A	Project Details		
1.	Name of the Project		
2.	Location/Area of the project/ Name of State/UT.		
3.	Whether the project is in MFP, name and plot no.		
4.	Products/By Products to be manufactured (list of products)		
5.	Capacity of the project (MT/ annum)		
6.	In case of expansion/modernisation of existing facilities/unit (details of existing capacity and proposed capacity after expansion & alongwith capacity utilisation)		
B	Project Cost	(Amount in Crores)	
		As appraised by the bank	Actual as on _____
	v. Land /Plot area Cost		
	vi. Civil Works		
	vii. Cost of Plant & Machinery		
	viii. Others		
	Total cost		
C	Means of Finance (appraised means of finance)		
	v. Equity (Promoter/Foreign/Other)		
	vi. Loan (Term)		
	vii. Grant in aid		
	viii. other sources		
	TOTAL		
D	Estimated Grant in aid		
1.	Eligible cost of Technical Civil work Actual or appraised <u>whichever is less</u>		
2.	Eligible cost of Plant & Machinery Actual or appraised whichever is less		
3.	Total of the Eligible cost		
4.	Estimated grant in aid worked out (@35% / 50%)		
E. Implementation Schedule (Actual dates)			

	(a) Date of completion of building (d) Date of installation/erection of plant & machinery (f) Date of trial production and (g) Date of start of commercial production.	
F. Employment Generation- Actual		
	c) Direct d) Indirect	
G.	Validity period of FSSAI license.	
H.	Validity of PCB certificate (consent to operate)	
I.	Photographs of the units to be attached.	
J.	Other remarks, if any	

The above information is indicated as per the physical verification of the documents for above project. The proposal is recommended for consideration of release of 1st / 2nd instalment of grant in aid as per the guidelines of Scheme for Creation/ Expansion of Food Processing & Preservation Capacities.

(Signature of the Bank Officer with Seal)

Name: _____

Name of the Bank: _____

Address: _____

Phone/ Fax/ Mobile No. _____

Email: _____

Place: _____

Date: _____

(Signature of the PMA)

Name: _____

Address: _____

Phone/ Fax/ Mobile No. _____

Email: _____

Place: _____

Date: _____

F. No. M-14011/8/2016-MFP Division
भारत सरकार/Government of India
खाद्य प्रसंस्करण उद्योग मंत्रालय
Ministry Food Processing Industries
पंचशील भवन, अगस्त क्रांति मार्ग
Panchasheel Bhawan, August Kranti Marg
नई दिल्ली/New Delhi-110049

दिनांक: 07.07.2017

Subject:- Operational Guidelines for the Scheme for Creation of Infrastructure for Agro-processing Clusters under KISAN SAMPADA YOJANA (KSY).

Government of India (GOI) has approved a new Central Sector Scheme – KISAN SAMPADA YOJANA (KSY) for the period upto 2019-20 to be implemented by Ministry of Food Processing Industries (MoFPI). Under KSY, a new Scheme for Creation of Infrastructure for Agro Processing Clusters has been approved. After detailed interaction with the stakeholders, the operational guidelines for implementation of the Scheme for Creation of Infrastructure for Agro Processing Clusters have been formulated.

The operational guidelines for the Scheme has for Creation of Infrastructure for Agro-processing Clusters are attached for the information of all the stakeholders and public at large. These operational guidelines will be applicable to the proposals to be invited by this Ministry in future under this Scheme.

(Surendra Singh)
Deputy Industrial Adviser
Tel. No. 26406538
Email: surindersingh@nic.in

**F. No. M-14011/8/2016-MFP Division
Ministry of Food Processing Industries
Government of India
Panchsheel Bhawan, August Kranti Marg,
New Delhi-110049**

Dated: 07.07.2017

**Subject:- Operational Guidelines for the Scheme for Creation of Infrastructure for
Agro-processing Clusters**

1. Introduction:

- 1.1 The Ministry has formulated the Scheme for Creation of Infrastructure for Agro Processing Clusters as a sub-scheme of Central Sector Scheme - "Kisan SAMPADA Yojana" coterminous with the 14th Finance Commission cycle.
- 1.2 The scheme aims at development of modern infrastructure to encourage entrepreneurs to set up food processing units based on cluster approach. The scheme is to be implemented in area of horticulture / agriculture production identified through a mapping exercise. These clusters will help in reducing the wastage of the surplus produce and add value to the horticultural / agricultural produce which will result in increase of income of the farmers and create employment at the local level.
- 1.3 There are certain capital intensive common facilities which are required to be created by food processing units irrespective of nature of their processing. These capital intensive facilities like cold storages, blast freezers, specialized packaging, IQF, warehousing etc if developed as common facilities, will encourage entrepreneurs to set up more food processing units. The nature of operation of the food processing units also require developed basic enabling infrastructure to take care of continuous process, water supply, effluent treatment and clean surrounding, etc. There is a lack of such modern infrastructure in the country which is hampering the development of food processing sector. If this infrastructure is made available with the financial support from the government, there is a potential of developing food processing sector with much higher speed than it is today.

2. Objectives of the Scheme

The major objectives of the scheme are:

- i. To create modern infrastructure for food processing closer to production areas.

- ii. To provide integrated and complete preservation infrastructure facilities from the farm gate to the consumer.
- iii. To create effective backward and forward linkages by linking groups of producers / farmers to the processors and markets through well-equipped supply chain.

3. Salient Features of the Scheme

3.1. At least 5 food processing units with an aggregate investment of minimum Rs. 25 crore will be set up in the Agro-processing cluster. These units may be setup by the promoters and associates of Project Execution Agency (PEA) and by other entrepreneurs. The investment in these units will not be eligible under this scheme.

3.2. Food processing units will be set up simultaneous to the creation of core infrastructure in the cluster. The core infrastructure facilities being developed in the agro-cluster shall be as per the requirement of food processing units to be set up in the cluster or as per the available raw material for processing in the area.

3.3. Agro-processing clusters may be developed by:

- the promoter(s) willing to set up own units in the cluster and also allow utilization of common infrastructure to other units in the area;
- the promoter(s) willing to develop common infrastructure for use by the units to be set up in the food processing cluster by other entrepreneurs;
- the promoter(s) willing to develop common infrastructure in the existing food processing clusters

However, lead promoter shall setup at least one food processing units in the cluster with an investment of not less than Rs. 5 crore.

3.4. The extent of land required for establishing the agro-processing cluster would depend upon the business plan of Project Execution Agency (PEA), which may vary from project to project. At least **10 acres** of land for the project shall be arranged by the PEA either by purchase or on lease of at least **50 years**. The GOI grant shall not be used for procurement / purchase of land.

3.5. Preference will be given to setting up agro-clusters in agri-horti clusters identified by Central / State Governments, if any.

3.6. It is expected that on an average, each project may have around 5-10 food

processing units to be set up in each Agro-processing cluster with an employment generation potential, both direct and indirect of about 500 to 1500 persons. This employment generation will provide livelihood to about 6000 persons based on an average household size of 4 members. However, the actual configuration of the project may vary depending upon the business plan for each Agro –processing cluster.

3.7. The food processing industries that make food products fit for human and animal consumption (except alcoholic products) may be permitted to be set up in these clusters. Packaging facilities of food products as ancillary to the food processing industries (proposed to be setup in the cluster) may also be allotted land in the agro cluster.

4. Components of the Scheme:

4.1. The scheme will have following components:

- (i) **Basic enabling infrastructure:** It will include site development including development of industrial plots, boundary wall, roads, drainage, water supply, electricity supply including power backup, effluent treatment plant, parking bay, weigh bridges, common office space etc. However, the cost of basic enabling infrastructure not exceeding 40 percent of the eligible project cost would be eligible for grant purpose. The cost of any basic enabling infrastructure outside the boundary wall of the agro cluster will not be eligible for grant assistance.
- (ii) **Core infrastructure:** The common facilities will be based on the needs of the units which will be set up in these clusters. The common facilities of capital intensive nature may include like food testing laboratory, cleaning, grading, sorting and packing facilities, steam generation boilers, dry warehouse, cold storage, pre-cooling chambers, ripening chambers, IQF, specialized packaging, other common processing facilities, etc.

The above mentioned facilities are only illustrative and the exact nature of facilities may vary from project to project based on requirements of the units in the cluster and availability of agriculture / horticulture produce in the catchment area of the project.

4.2. Any modification in the common facilities / core infrastructure after approval of the proposal will not be approved by the IMAC, unless request for modifications submitted with a compelling rationale and endorsed by the lending institutions.

5. Pattern of Assistance

5.1 The Scheme envisages grants-in-aid @ 35% of eligible project cost in general areas and @50% of eligible project cost in the North East States including Sikkim and difficult areas namely Himalayan States (i.e. Himachal Pradesh, Jammu & Kashmir and Uttarakhand), State notified ITDP areas & Islands subject to max. of Rs. 10.00 crore per project. The grants-in-aid will be credit linked but not back-ended. The eligible project cost will exclude cost of land, pre-operative expenses and margin money for working capital from the total project cost.

5.2 The registered value of the land would be taken as part of the total project cost. The GoI grant shall not be used for procurement/purchase of land. In case of land acquired by PEA on lease, such cost may not be part of project cost and may be considered part of operating cost.

6. Project Execution Agency (PEA):

6.1 Project Execution Agency (PEA) / organizations such as Govt. / PSUs / Joint Ventures / NGOs / Cooperatives / Self Help Groups (SHGs) / Farmer Producer Organizations (FPOs) / Farmer Producer Companies (FPCs) / Private Sector / partnership firm / individuals etc. will be eligible for financial assistance under the scheme.

6.2 The Project Execution Agency (PEA) would be responsible for the following:

- i. To formulate the Detailed Project Report (DPR) and execute the project in a transparent, efficient and timely manner.
- ii. To procure/purchase land and ensure external infrastructure linkages for the project.
- iii. To obtain statutory approvals/clearances including environmental clearances, which are prerequisite for commencement and operation of the Project.
- iv. To achieve financial closure and ensure timely completion of the project in specified timelines.

- v. To own and maintain the enabling infrastructure and common facilities.
- vi. To receive grant-in-aid under the Scheme, and to ensure its utilization in a transparent and judicious manner.
- vii. To maintain proper accounts of the project implementation and the maintenance of infrastructure and common facilities after commissioning of the project.
- viii. Upload monthly progress report with pictures / photographs of site.
- ix. Every PEA will publish the user charges/hiring rates for common facilities and lease rental rates / sale price for plots in agro-processing cluster on their websites and also on a board at the gate of the agro cluster for wider information of the prospective investors. Rate of plots in the Agro Processing Cluster will also be made available to Ministry of Food Processing Industries and State Government concerned for uploading on their websites.
- x. PEA may sell / lease plots in agro-processing cluster to other food processing units. But the common facilities in the cluster cannot be sold or leased out. They can only be offered to units on rental basis.

7. Eligibility criteria for PEA:

- 7.1 The combined net worth of the promoter(s) should not be less than 1.5 times of the grant amount sought.
- 7.2 Promoter(s) needs to bring in at least 20% of the total project cost as equity / contribution in general areas and at least 10% of the total project cost in the North East States including Sikkim and difficult areas namely Himalayan States (i.e. Himachal Pradesh, Jammu & Kashmir and Uttarakhand), State notified ITDP areas & Islands.
- 7.3 Promoter(s) needs to bring in term loan from the Bank/Financial Institution for an amount not less than 20% of the project cost.
- 7.4 The land for the project shall be arranged by the PEA either by purchase or on lease of at least 50 years.
- 7.5 Only one agro-processing cluster will be sanctioned in a district. In case of more than one proposal from same District, the proposal having higher score in the merit based on criteria for assessment as per **Annexure-I** will be considered. However, in case there are more than one proposal with same marks, the proposal with higher equity

/ contribution (in Rupees term) will be considered.

- 7.6 Any entity / applicant which has availed grant from MoFPI for any project under another scheme of the Ministry, shall, in future, not be considered eligible for another grant until one year after operationalization of earlier project.
- 7.7 The same applicant / entity shall not be entitled for more than two grants in five years under the schemes of MoFPI.
- 7.8 Agro processing cluster will not be sanctioned in the same district where CPC of Mega Food Park (MFP) is located. The promoters, who have been sanctioned Mega Food Parks, will not be eligible under the scheme for a period of two years from the date of completion of the MFP.

8. Program Management Agency (PMA)

- 8.1 In the interest of expeditious implementation of the projects, the Ministry may engage Program Management Agency (PMA) to assist MoFPI in implementation of the scheme. The PMA will be a reputed institution with extensive experience in project development, management, financing and implementation of infrastructure projects of similar nature. The expenses of PMAs, promotional activities, office and travel expenses will be met from 5% of the allocation of the grant-in-aid for the scheme.
- 8.2 The PMA will have the following role:
- i. To assist the Ministry in organizing workshops/media campaigns aimed at sensitizing the potential stakeholders about the scheme.
 - ii. To assist the Ministry in inviting applications for projects under the Scheme.
 - iii. To assist the Ministry in selection of projects through evaluation/appraisal of techno-feasibility reports and DPRs submitted for projects. Appraisal of the DPRs will include examination of financial viability and sustainability of Ownership & Management structure of the projects.
 - iv. To assist in the evaluation of any amendments to the projects/DPRs.
 - v. To assist the PEAs in achieving financial closure and obtaining necessary clearances from various authorities for the Project.
 - vi. To assist the Ministry in release of the grant under the Scheme.
 - vii. To monitor and report the progress of the agro-processing cluster projects to the Ministry periodically.
 - viii. To maintain and update the database of the projects on monthly basis in the software decided by the Ministry.

9. Expression of Interest

In response to the notice inviting Expression of Interest (EoI) by Ministry for selection of Projects, a proposal for the proposed agro-processing cluster will be submitted by the applicant in the prescribed application format **(Annexure-II)** including the information/documents to be covered in the EoIs **(Annexure-III)** along with following information/documents:

- (a) Detailed Project Report (DPR) consisting of technical, commercial, financial and management aspect of the project. The proposal would have tentatively identified location of the cluster, availability of land, potential investors for food processing units in the cluster, proposed level of investment including the estimated project cost, the proposed means of finance and the number and type of food processing units along with complete details.
- (b) In-principle or final term loan sanction from the Bank/ Financial Institution.
- (c) A detailed appraisal note from the Bank / Financial Institution.
- (d) Certificate of incorporation/ registration of the applicant firm, Memorandum and Articles of Association in case of Company/ Bye laws of the Society, Co-operative, Self Help Group/ Registered partnership deed, etc.
- (e) Bio-data/background/ experience of the project promoter(s).
- (f) Documents in support of net-worth of the promoter(s) / proposed shareholder(s) of PEA.
- (g) Annual reports and Audited Financial Statement of Accounts of the applicant firm/company/cooperative/ Partnership/ Self Help Group, etc. for last three years.
- (h) Documents in support of land title in the name of the applicant or land lease, duly registered with the competent authority for not less than the period of 50 years. The proposals having ownership and possession of suitable land with Change in Land Use (CLU) for the project will be given preference.
- (i) Undertaking by PEA as per **Annexure-IV**

Note: All pages of the proposal are to be properly numbered and the proposal should contain an Index as first page of the proposal indicating the various documents submitted along with page number, failing which the proposal is likely to be rejected.

10. Approval to the project:

- 10.1 Technical Committee (TC) headed by the Special / Additional / Joint Secretary (MoFPI) would scrutinize the proposals and provide its recommendations to the Inter-Ministerial Approval Committee (IMAC). The other members of the Technical Committee (TC) shall be as follows:

- (i) Joint Secretary (MIDH), Department of Agriculture & Cooperation or his nominee - Member
- (ii) Joint Secretary, Department of Animal Husbandry, Dairying and Fisheries or his nominee- Member
- (iii) Chairman, APEDA or his nominee - Member
- (iv) Representative of NITI Aayog - Member
- (v) Joint Secretary/Director (Finance) MoFPI - Member
- (vi) Joint Secretary, MNRE or his nominee - Member
- (vii) Principal Secretary / Secretary of the concerned State or his nominee - Member
- (viii) NABARD as Financial institution - Member
- (ix) Representative of National Horticulture Board - Expert Member
- (x) Director, MoFPI - Member Secretary

The criteria for evaluation of EOI/ proposals by TC is given at **Annexure-I**.

10.2 The Inter-Ministerial Approval Committee (IMAC) headed by Hon'ble Minister of Food Processing Industries shall select the projects and grant approval to the projects keeping in view the TC recommendations. The IMAC will also monitor the implementation of the projects sanctioned under the Scheme. The members of the Committee shall be as follows:

- (i) Hon'ble Minister of Food Processing Industries- Chairperson
- (ii) Hon'ble Minister of State of Food Processing Industries- Vice Chairperson
- (iii) Secretary, MoFPI - Member
- (iv) Additional / Joint Secretary & Financial Advisor, MoFPI - Member
- (v) Special / Additional / Joint Secretary, In-charge, Agro-processing cluster Scheme, MoFPI - Convener & Member
- (vi) Principal Secretary / Secretary (Industries / FPI) of the concerned State or his nominee – Member
- (vii) Joint Secretary (MIDH), Department of Agriculture & Cooperation, Ministry of Agriculture or his nominee - Member
- (viii) Joint Secretary, Department of Animal Husbandry, Dairying and Fisheries or his nominee - Member
- (ix) Joint Secretary, Department of Commerce or his nominee – Member
- (x) Joint Secretary, MNRE or his nominee - Member

- (xi) Representative of NABARD as Financial Expert - Member

11. Role of State Government:

The role of the State Government is envisaged in the following areas:

- i. Providing assistance to PEA in procurement/purchase of suitable land.
- ii. Providing all the requisite statutory clearances including permission for sub-leasing of land by PEA, wherever needed, for setting up the agro-processing cluster
- iii. Providing the necessary connecting infrastructure for Power, Water, approach roads and other external infrastructure to the project
- iv. Providing flexible and conducive labour environment and consider special facilities like exemption of stamp duty, Tax exemption etc. for the agro-processing cluster and the units located in the agro-processing cluster.
- v. Monitor the implementation of projects.

12. Dovetailing of Assistance and Revisions in Project Cost:

Considering the complexities and challenges associated with agricultural infrastructure projects of this nature, the PEA may dovetail assistance available under various other schemes of other Central / State Governments, which would improve the viability of the project. While dovetailing such assistance, it will be ensured that there is no duplication of assistance for the same component/activity of the project.

13. Release of Funds:

The grants-in-aid will be released to PEA in three installments as below:

(I). First installment of 35% of the total approved grant will be released to the PEA in the designated Bank account after incurring an expenditure of 35% of the bank term loan and 35% promoters contribution / equity on eligible project cost and submission of following documents:

- a) Establishment of Trust & Retention Account (TRA) and signing the TRA agreement with the designated Bank. Draft TRA agreement will be shared by the Ministry with PEA.
- b) CA certificate for actual expenditure on the components of the basic enabling

infrastructure of the project duly certified by the promoter(s) indicating utilization of at least 35% of term loan & 35% promoters' contribution / equity as per **Annexure-V**.

- c) **Certificate from Chartered Engineer (Civil)** for technical civil works indicating item wise progress on approved components, cost, quantity, manufacturers/suppliers and comment on quality and status of implementation duly countersigned by the promoter (**Annexure-VI**).
- d) **Certificate from Chartered Engineer (Mechanical)** for plant and machinery indicating item wise progress on approved components, cost, quantity, manufacturers/suppliers and comment on quality and status of implementation duly countersigned by the promoter (**Annexure-VII**).
- e) **Certificate** from the concerned bank/ financial institution (**Annexure-VIII**) which has sanctioned and disbursed term loan for the project certifying that:-
 - (i) It has disbursed 35% of the total sanctioned term loan and the same being used on the approved components; and
 - (ii) Has no objection for disbursement of 35% of the grant-in-aid being released by the Ministry.
- f) Surety Bond (**Annexure-IX**) to be executed by the PEA on a Non-Judicial stamp paper of not less than Rs.100, duly notarized and signed by two independent witnesses (other than promoters) along with Board resolution/certificate from Board of Directors/promoters (as applicable) authorizing one of the directors/partners as authorized signatory of documents. Surety Bond is not required to be executed by the Central /State Government and its entities whose budget is approved by respective Government.
- g) "Consent to Establish" for the project from Central / State PCB.
- h) PFMS (CGA) Registration of PEA and Mandate Form (**Annexure-X**).
- i) Inspection report of the PMA based on site visit recommending release of the installment.
- j) Any other condition which may be specified from time-to-time.

(II). Second installment of 40% of the total approved grant will be released to the PEA in the designated Bank account after incurring an expenditure of 75% of the bank term loan and 75% of promoters' contribution / equity on eligible project cost and submission of the following documents:

- a) Statement indicating 100% utilization of first installment of grant duly signed by the PEA and countersigned by the CA (**Annexure-XI**).
- b) CA certificate for actual expenditure on each of the components of the project duly certified by the promoter(s) indicating utilization of 75% of term loan and 75% promoters' contribution / equity.
- c) Details of unsecured loan (along with PAN numbers of lenders) or bridge loan, if any, duly certified by Chartered Accountant and countersigned by the promoter are to be given (**Annexure-V**).
- d) Completion of enabling infrastructure
- e) Statement of TRA from the Bank / Financial Institution relating to the project.
- f) **Certificate from Chartered Engineer (Civil)** for technical civil works indicating item wise progress on approved components, cost, quantity, manufacturers/suppliers and comment on quality and status of implementation duly countersigned by the promoter.
- g) **Certificate from Chartered Engineer (Mechanical)** for plant and machinery indicating item wise progress on approved components, cost, quantity, manufacturers/suppliers and comment on quality and status of implementation duly countersigned by the promoter.
- h) **Certificate** from the concerned bank/ financial institution which has sanctioned and disbursed term loan for the project certifying that:-
 - (i) It has disbursed 75% of the total sanctioned term loan and the same being used on the approved components; and
 - (ii) Has no objection for disbursement of 40% of the grant-in-aid being released by the Ministry.
- i) Proof of 100% allotment of leasable plots / areas to food processing units.
- j) Recommendation of PMA after site visit certifying the fulfillment of conditions as per guidelines of the scheme.
- k) Any other condition which may be specified from time-to-time.

(III). Third & final installment of 25% of the approved grant will be released to PEA in the designated Bank account on completion of the project and submission of following documents:

- a) Statement indicating 100% utilization of second installment of grant duly signed by the PEA and countersigned by the CA (**Annexure-XI**).
- b) CA certificate for actual expenditure on each of the components of the project duly certified by the promoter(s) indicating utilization of 100% of term loan and 100% promoter's contribution / equity.
- c) Details of unsecured loan (along with PAN numbers of lenders) or bridge loan, if any, duly certified by Chartered Accountant and countersigned by the promoter are to be given (**Annexure-V**).
- d) Statement of TRA from the Bank / Financial Institution relating to the project.
- e) Proof of setting up and operationalization of at least five food processing units with an aggregate investment of Rs. 25.00 crore in the cluster along with copies of licenses issued under Food Safety and Standards Act, 2006.
- f) Valid Consent to Operate from Pollution Control Board along with submission of Statutory Clearance(s) / Approval(s) for power, water connections etc.
- g) **Certificate from Chartered Engineer (Civil)** for technical civil works indicating item wise progress on approved components, cost, quantity, manufacturers/suppliers and comment on quality and status of implementation duly countersigned by the promoter.
- h) **Certificate from Chartered Engineer (Mechanical)** for plant and machinery indicating item wise progress on approved components, cost, quantity, manufacturers/suppliers and comment on quality and status of implementation duly countersigned by the promoter.
- i) **Certificate** from the concerned bank/ financial institution which has sanctioned and disbursed term loan for the project certifying that:-
 - (i) It has disbursed 100% of the total sanctioned term loan; and
 - (ii) Has no objection for disbursement of 25% of the grant-in-aid being released by the Ministry.
- j) Declaration of completion of the project and start of commercial operation, duly certified by the Bank.

- k) Recommendation of PMA after site visit certifying the fulfillment of conditions as per guidelines of the scheme.
- l) Any other condition which may be specified from time-to-time.

14. Time Schedule:

14.1 The time schedule for completion and operationalization of project will be 20 months from the date of approval for general areas and 24 months for North East States including Sikkim and difficult areas namely Himalayan States (i.e. Himachal Pradesh, Jammu & Kashmir and Uttarakhand), State notified ITDP areas & Islands, unless extended by IMAC for the reasons to be recorded.

14.2 Schedule for release of grants-in-aid:

Sl. No.	Particulars	Time Period
General Areas		
1.	Date of approval to release of 1 st installment	7 months
2.	1 st installment to release of 2 nd installment	7 months
3.	2 nd installment to release of 3 rd installment	6 months
Difficult Areas		
1.	Date of approval to release of 1 st installment	8 months
2.	1 st installment to release of 2 nd installment	8 months
3.	2 nd installment to release of 3 rd installment	8 months

14.2 The PEA shall make all possible efforts to complete the project as per the stipulated timelines committed to while seeking approval for the project. In case of non-adherence to stipulated timeline, except in case of force de majeure or reasons beyond the control of PEA, the IMAC may consider imposing appropriate penalty in terms of reducing the grant amount, on case to case basis.

14.3 In case of non-adherence of time lines, a penalty of 1% of the quantum of installment amount due for release for that installment, will be imposed for each month's delay beyond the stipulated timeline. The maximum amount of penalty, however, shall not exceed 10% of the installment to be released to PEA.

14.4 In the event of PEA withdrawing from executing the project and the project not being completed by the PEA for any reason, the grant-in-aid amount released will be returned by the PEA alongwith interest (as per GFR) accrued thereon to MoFPI

within 30 days of communication of the order for refund of such grant.

15. Project Monitoring and Evaluation:

- 15.1 The Ministry will periodically review the progress of the projects under the Scheme.
- 15.2 Pre and post inspection would also be undertaken by the Ministry officials, PMA and State Govt. to find out the physical, financial and operational progress as and when required.
- 15.2 The decision of the IMAC shall be final and binding on all concerned parties on the interpretation of the provisions of these guidelines and the matters related / incidental thereto.

16. Court's Jurisdiction:

Any dispute arising out of selection of proposals and implementation of approved project under this scheme guideline will be subject to Courts/ Tribunals having jurisdiction over Delhi.

Criteria for Assessment/ Evaluation of EoIs/ Proposals

Sl. No.	Criteria	Max. Score	Reference Documents to be reviewed
A	Land	50	
A 1	Possession of Appropriate Land	25	
a)	Complete title and possession of land in the name of PEA along with CLU	25	CLU and Land Ownership Documents
b)	Complete title and possession of land in the name of PEA (without CLU)	15	Land Ownership documents
c)	Allotment letter from State Govt. Agencies in the name of the PEA	10	State Govt. land allotment letter
d)	Agreement to Sale/Purchase of Land in the name of PEA	5	Copy of Agreement
e)	Land identified, but not acquired	0	
A 2	Location of Land	25	
a)	Proof of Water and Power Connection (5 marks each)	10	Letter/Certificate from respective Municipal body/Govt. authority
b)	Availability of Approach Road	5	Letter from local body confirming the availability of approach road
c)	Nearness to the location of the crop production cluster	10	DPR/ Cluster Analysis and Project Components / concerned State Govt. Authority letter
B	Viability of Cluster	15	
a)	Synchronization of Core Processing facilities with requirements of food processing units & crops in agro cluster	15	DPR/ Cluster Analysis and Project Components
b)	Synchronization of Core Processing facilities with requirements of food processing units	10	DPR/ Cluster Analysis and Project Components
c)	Synchronization of Core Processing facilities with crops in agro cluster	5	DPR/ Cluster Analysis and Project Components
d)	No synchronization	0	
C	Details of Promoters	25	
C 1	Net-worth of promoters	15	Audited Balance Sheet/ CA Certificate/ Related Net-worth Documents
a)	More than 20 crore	15	
b)	Rs 15 cr - Rs 20 cr	10	
C 2	Food Processing Experience of promoter having at least 10% shareholding in PEA	10	Balance Sheet of existing operations / FSSAI license

a)	Turnover > Rs.5 crore*	10	"
b)	Turnover from Rs.1 crore to Rs.5 crore*	5	"
D	Special Strength	10	
a)	Adoption of modern technology for reducing carbon foot print, energy efficiency, fast-tracking & optimizing operations / use of automated technology / systems	5	Supporting documents
b)	Projects proposing to use renewable/ alternate energy source (either fully or partially)	5	Supporting documents
	Total	100	

*Turnover of the promoter claiming food processing experience shall be in at least two of the years out of previous three and current financial year.

APPLICATION FORM**1. Details of the applicant:**

Sl. No.	Particulars	Details
i.	Name of company/firm with complete contact details / address, Tel/Fax No. , Mobile No., E-mail	
ii.	Legal status of applicant (Govt. Institution / organization / PSUs, Joint Venture, NGO, Co-operative/ Company/ partnership firm/ proprietorship, Farmer Producer Company, Self Help Group, etc.)	
iii.	Registration No. /CIN	
iv.	PAN / TIN /TAN	
v.	Aadhar Registration No.	

2. Details of the Director(s)/ Promoter(s)/Partner(s)

Sl. No.	Name of Promoter (s)/Partn er(s)	Address	Tel/Fax No. / Mobile No. / E-mail	Aadhar No.	PAN No.	Shareholding pattern	Net-worth
Please add additional rows, if needed.							

3. Experience of the lead Promoter(s)/Partner(s)/ Applicant Entity in Food / agro produce processing

Sl. No.	Name of lead Promoter(s)/Partner(s)/ Applicant Entity	Details of Experience	Details of Turnover (year-wise)	Supporting Document attached, if any (Yes/No)

4. PROFILE OF THE PROPOSED PROJECT:**(a) Details of location of Agro processing cluster proposed to be set up**

- (i). Proposed location of land for agro cluster (Name Village/Dist./state)
- (ii). Area of Land required (In acres)

- (iii). Status of possession (Owned/ leased**)
- (iv). Status of Land Use Conversion (CLU)
- (v). Proof of water and power connection
- (vi) Availability of Approach Road
- (vii) Connectivity Details. Distance (in Kms.) from: National Highway; State Highway; Freight corridor, Golden Quadrilateral, nearest agri-horti clusters
- (viii). Coordinate Details (Longitude & Latitude)
- (vxi). Agro commodities to be sourced

(b). Proposed Core Processing facilities in Agro processing cluster

Sl. No.	Type of facilities proposed to be created *	No.	Total Capacity [MT, MT/Hr., where ever applicable]	Built-up Area	Estimated Investment	No. of Days of operation of each facility in a year
i.	CA Store					
ii.	Normal cold store/ warehouse					
ii.	Frozen store					
iv.	Pre-cooling Chambers					
v.	Sorting, Grading, Waxing, Weighing, Packing facility					
vi.	Ripening Chambers					
vii.	IQF					
viii.	Blast Freezing					
	Any other facilities as per the requirement of food processing units in the cluster					

* Only indicative list.

(c) Food processing units proposed

Type of food processing units	No. of units	Land to be allotted	Product mix	Estimated investment (In crore)	Estimated turnover (In crore)	Estimated employees	
						Direct	In-direct

(d) Enabling basic Infrastructure

Type of infrastructure	Capacity /Built-up Area	Estimated Investment

(e). Non-core Infrastructure

Type of infrastructure	Capacity /Built-up Area	Estimated Investment

(f). Utilities Requirement:

Utility	Units	Requirement
Power (maximum demand)	KW	
Water- industrial	Kilo Liters / Day	
Water- potable	Kilo Liters / Day	
Gas	Cubic Meters / Day	
Telephone (including fax)	No. of lines	
Waste disposal requirement (solid)	Kg / Day	
Waste disposal requirement (effluents)	Kilo Liters / Day	

5. PROJECT FINANCIALS AND BUSINESS PLAN:

a. Estimated Project Cost Details

Item	Amount (Rs. in crore)
Land	
Land development	

Basic enabling Infrastructure	
Core Processing Infrastructure	
Non-core Infrastructure	
Other Pre-operative expenses	
Margin money for working capital	
Contingencies/ pre-operative expenses	
Total	

b. Proposed Means of Finance

Source	Amount (Rs. in crore)
Promoter's contribution / equity	
Bank loan	
Grants-in-aid from MoFPI	
Unsecured Loan/ Bridge Loan	
Total	

c. Basic Revenue Projections

Item	Year 1	Year 2	Year 3	Year 4	Year 5
Days of operations of each of the core facilities					
Revenue earning from different facilities					
Turnover					
Cost of operations					
Gross profit					
Profit before taxation					

d. Financial Parameters (as per Bank Appraisal Note)

S No.	Particulars	Details (Ratio/%)	Ref Page No. in DPR*
i.	Internal Rate of Return (IRR) - with grant - without grant]		
ii.	Avg. Debt Service Coverage Ratio (DSCR)		
iii.	Break Even Point (BEP)		
iv.	Debt-Equity Ratio		

e. Other Details:

Proposed strategy/methodology for building supply chain to ensure supply of raw materials to the food processing units inside agro cluster, including estimated quantities	
Available raw material crop-wise in the catchment area indicating source of data	
Crop matrix for seasonal availability of raw materials indicating source of data	
Estimated turnover of the proposed food processing units covered in the project	
Any other relevant details / documents	

6. No. of farmers expected to be benefitted

7. Employment Generation projections

a. Direct Employment:

b. Indirect Employment :

8. Details of renewable/ alternate energy sources including solar energy, if any, proposed to be used for operating the project including inter alia, details of power generation.

Signature of the Applicant/Lead Promoter

Date: _____

Place: _____

The list of the Points / Information to be covered in the EoIs / Proposals

1. Profiles of the applicant firm / company

- 1.1. Names and brief profiles of the proposed promoters along with their contact details.
- 1.2. Indicate the nature and location of existing operations of the Promoters.
- 1.3. Audited balance sheets for last 3 years or Chartered Accountant (CA) Certificates that would establish the net worth of each of the promoters. In case of companies, CA certificates need to be certified by their statutory auditors.
- 1.4. A brief note as to why the promoters are keen to undertake the Agro Processing Cluster, their vision etc.
- 1.5. Any other relevant information that would establish the credentials and suitability of the promoters in the context of the Scheme.

2. Profile of the Proposed Project

- 2.1. Rationale for proposed cluster/location in terms of availability of agricultural produces and marketable surplus, with focus on perishable produces.
- 2.2. Proposed Area and availability of requisite land for establishment of Agro Processing Cluster.
- 2.3. Selection of site needs to be justified in terms of connectivity and availability of basic infrastructure including power, water, approach road etc.
- 2.4. In case of land being available with promoter(s), proof of possession of land in form of sale deed/lease deed (CLU if applicable).
- 2.5. Details of the proposed core processing facilities and rationale for their selection in terms of availability of raw materials/market and type of food processing units being targeted.
- 2.6. Details of proposed enabling basic infrastructure including requirements of basic utilities like power, water, effluent treatment along with rationale in terms of overall business plan
- 2.7. Details of proposed non-core infrastructure and their justification
- 2.8. Above details for various project components should include area required, estimated capacities and costs for various facilities
- 2.9. Proposed strategy/methodology for building supply chain to ensure supply of raw materials to the food processing units inside agro cluster, including estimated quantities
- 2.10. Estimated turnover of the proposed food processing industry units covered in the project, after successful execution of the project
- 2.11. Estimated direct and indirect employment generation out of implementation of the project, and other impact on the industry and farm produce in the project area
- 2.12. Any other related information.

3. Project Financials and Business Plan

- 3.1. Summary of estimated cost of each of the eligible components of the project for funding by Government as outlined in the Scheme
- 3.2. Proposed means of finance to fund the project: equity, debt etc
- 3.3. The amount of grant support needed for the project, as per the Scheme
- 3.4. Tie-ups with Financial Institutions/Banks, if any, for funding of the Project
- 3.5. Proposed Business Plan –Estimated revenue sources and assumptions, Estimated operating costs and assumptions, Projected profit and loss statements, balance sheets and cash flows based on these assumptions
- 3.6. Key financial indicators such as IRR, DSCR based on above financial assumptions

4. Documents in support of network:

- a. The net-worth in case of Companies would be calculated based on the definition of net-worth in the Companies Act 2013. However, the re-valuation reserves may be considered as part of the net-worth only if the same is reflected in the Audited Balance Sheet of the Company and continue to be reflected in the Audited Balance Sheet of the Company.
- b. In case of land / building forming part of the network, the ownership documents, duly authenticated by the competent State Revenue Authority with jurisdiction over the said property shall be submitted. The valuation of the immovable assets on the basis of circle rates (as on date of application) declared by the concerned State Government should be duly certified by the competent State Revenue Authority with jurisdiction over the said property.
- c. In case of investment in shares of the listed companies, proofs of the market value of the share at the time of calculation of the value of the investment shall be submitted.
- d. In case of investment in unlisted companies, the latest audited financial statements alongwith complete schedules and notes forming part thereof, duly certified by the Statutory Auditors shall be submitted in order to calculate the value of shares in that company.
- e. The miscellaneous assets shall be clearly specified and basis of calculation of their value, duly certified by the concerned Govt. approved valuer shall be submitted.
- f. The above valuation must be carried out within a period of 30 days preceding EOI bid submission date.
- g. In the case of proposed shareholders, if there is cross holding of the net-worth amongst the Members (e.g. both a company as well as the shareholders that company are the proposed shareholders), the net-worth of the company would be considered in full, however, net-worth of the individual would be considered only to the tune after discounting its shareholding in the company which is a proposed shareholder.

UNDERTAKING

I (Name of the Lead Promoter/ Director/ Partner/ Proprietor etc.) son of Mr..... (father's name) resident of (residential address) do hereby solemnly affirm and declare/undertake as under:

1. That I am promoter/ director/ partner/ proprietor of M/s..... (name of applicant) having its Registration no.and Registered Office at (office address of applicant).
2. I hereby make application and I am duly authorized in my own right/by management vide its resolution no.dated.....to apply and sign all required documents including this undertaking on behalf of company/partnership firm/cooperative society etc. named as; and am fully aware of the facts relating to the setting up of Agro-processing Clusters project at Survey/ Plot No....., Village....., Tehsil....., District....., State....., PIN code (location of the main facility) for.....(activities to be undertaken by project) and application is being made to the Ministry of Food Processing Industries (MoFPI) under the Central Sector Scheme for Agro-processing Clusters.
3. That the term and conditions of the above scheme of the MoFPI under which an application is made by the applicant have been properly read and understood by me and I affirm that the project/ proposal comply with all the terms and conditions of the approval letter and provisions enshrined in the scheme guidelines.
4. That the proposed activities to be undertaken by the project/proposal are covered under the above scheme of MoFPI and no part of the scheme/infrastructure of the project is designed or assigned to be used for any activity other than the activities specified in the application at present or in the near future.
5. It is certified that (name of applicant) has not obtained or applied for grants for the same project, component, purpose or activity from any other Ministry or Department of the Government of India or State Government or their agencies.
6. It is certified that applicant's sister concern (s)/ related company / group company/firms as well as the applicant itself has not availed any financial assistance for a food processing project in the past from MFPI [if availed, the details shall be furnished separately].
7. I also solemnly affirm/undertake that the proposed project components in the application are a completely new activity and not a pre-existing activity or any component thereof.
8. In case of concealment of any facts in this regard, the MoFPI would have right to reject/ cancel my application/project out right at any stage.
9. I will meet any shortfall in means of finance due to less admissibility of grant or any future reduction in grant-in-aid or any escalation caused in the cost of the project.

10. I shall not dispose-off or encumber or utilize the assets created wholly or substantially out of government grant for purpose other than those for which they have been sanctioned, without obtaining the prior approval of the sanctioning authority of grant-in-aid.
11. In case of non-implementation/ delayed implementation of the project the Ministry will have absolute right in cancelling the approval granted and also recall the grant released, if any, along with interest as per the scheme guidelines.
12. In case of failure to operate the project for at least three years after commencement of commercial operation, I shall return the entire grant-in-aid with interest @ 10% per annum.
13. User charges/hiring rates of the facilities created under the project will be disseminated to the public including uploading of the same on the website of the project/ organization. A copy of the same will also be made available to the Ministry.
14. I also undertake that all the information furnished in the application and the DPR with respect to the eligibility conditions, etc. are true and correct to the best of my knowledge and belief and nothing material has been concealed therefrom.

Date: _____

Place: _____

Signature of the Applicant/Lead Promoter

**CA Certificate Format
(Letter Head of the CA)**

CA certificate (With membership No. and firm registration No. of CA) in the following format:-

i. Project Cost: (Rs. in lakh)

Sl. No.	Name of the Component/Item	Cost approved by the Ministry	Actual expenditure incurred as on -----
1.	Land/development charges		
2.	Civil works — Technical civil works — Other civil works		
3.	Plant & Machinery		
4.	Misc. Fixed Assets		
5.	Others		
	TOTAL		

ii. Means of Finance: (Rs. in lakh)

Sl. No.	Item	Means of finance approved by the Ministry	Actual expenditure incurred as on -----
1	Promoter's Equity		
2	Term Loan		
3	Grant from MFPI		
4	Unsecured loan*		
5	Others		

*Details of unsecured loans along with PAN No. of lenders, if any, duly certified by CA.

Signature and Seal of C.A (Statutory Auditor in case of company)

Date: _____

(The certification by CA should be based on the verification of books of accounts, bills, invoices, work orders, bank statements, etc. related to the project.)

Counter signature of promoter/ authorized signatory of company with Seal

Annexure to CA certificate certifying details of payments made for Plant & Machinery and Technical Civil Work

Sl. No.	Name of Party	Components	Voucher /Bill no.	Date of Voucher/Bill	Basic Cost (only for P&M)	Taxes, freight, installations , insurance costs (for P&M)	Total Cost	Date of Payment as per bank statement	Mode of Payment

**CE Certificate (Civil) Format for Technical Civil Work
(Letter Head of the CE)**

CE certificate (With membership/registration No. of CE) in the following format:

Name of Project:

Location with address:

Date of site Visit by Chartered Engineer:

Project Progress: (If project has multiple locations, the location wise details should be submitted in below format for each location)

Sl. No.	Name of Component	Proposed / appraised Area (sqm)	Proposed / appraised Cost (Lakh Rs)	Actual Area(sqm)	Actual Cost(Lakh Rs)	Rate/ Unit(Rs/Sqm)	Remarks about the status of implementation	Comments on quality, construction standards, market rates
	Total							

It is certified that the material/ components used in the Technical Civil Work are new.

Signature and Seal of C.E.

Counter signature of promoter/ authorized signatory of company with Seal

Annexure-VII**CE Certificate (Mechanical) Format for Plant & Machinery
(Letter Head of the CE)****CE Certificate (With membership/registration No. of CE) in the following format:-****Name of project:****Location with address:****Date of Visit by Chartered Engineer:****Project Progress (If project has multiple locations, the location wise details should be submitted in below format for each location)**

Sl. No.	Name of Component	Proposed/ appraised Quantity	Proposed/ appraised Cost (Lakh Rs)	Actual Quantity	Actual Cost (Lakh Rs)		Supplier/ Manufacturer	Status of implementation	Comments on quality, specifications, etc.
					Basic Cost	Taxes, Freight, installation, insurance			
	Component -1							Such as: •Ordered •Received at site •Installation in progress •Installed •Commissioned	
	Component -2								
	Component -3								
	TOTAL								

It is certified that all the plant and machinery for which grant has been approved are new.**Signature and Seal of C.E.**

Counter signature of promoter/ authorized signatory of company with Seal

(Letter Head of the Bank)

Certificate

1. Certified that this bank has appraised the project of M/s.....(Name and Address of the project) for grant as per scheme guidelines of the Ministry of Food Processing Industries and also sanctioned term Loan of Rs.lakh.
2. It is further certified that we have released Rs.lakh (----% of sanctioned term loan) and Rs.....lakh (1st/ 2nd Installment of grant-in-aid) to M/s (Name and Address of the project).
3. We have no objection in releasing 1st/ 2nd (delete whichever not applicable) installment of grant.

Signature with seal
(Name of authorised signatory)
(Branch Name)

Counter Signature of promoter/ Authorized
Signatory of company with seal

SURETY BOND

KNOW ALL MEN BY THESE PRESENTS that we, M/s _____, a _____ (Type of organization) incorporated / registered under the _____ (Name of the Act) and having its registered office at _____ (hereinafter called the "Obligors") are held fully and firmly bound to the President of India (hereinafter called the "Government") for the sum of Rs. _____ (Rupees _____ only) well and truly to be paid to the Government on demand and without a demur for which payment we firmly bind ourselves and our successors and assignees by these presents.

SIGNED on the _____ day of _____ in the year Two Thousand _____

WHEREAS on the Obligors' request, the Government as per Ministry of Food Processing Industries' Sanction Order No. _____ Dated _____ (hereinafter referred to as the "Letter of Sanction") which forms an integral part of these presents, and copy whereof is annexed hereto and marked as Annexure-I, agreed to make in favour of the Obligors grants-in-aids of Rs. _____ (Rupees _____ Only) for the purpose of _____, (description of the project) at _____, out of which the sum of Rs. _____ (Rupees _____ only) have been paid to the Obligors (the receipt of which the obligors do hereby admit and acknowledge) on condition of the Obligors executing a bond in the terms and manner contained hereinafter which the obligors have agreed to do.

NOW the conditions of the above written obligation is such that if the Obligors duly fulfill and comply with all the conditions mentioned in the letter of sanction, the above written Bond or obligation shall be void and of no effect. But otherwise, it shall remain in full force and virtue. The Obligors will abide by the terms and conditions of the grants-in-aid by the target dates, if any specified therein.

THAT the Obligors shall not divert the grants-in-aid and entrust execution of the Scheme or work concerned to another institution(s) or organization(s).

THAT the Obligors shall abide by any other conditions specified in this agreement and in the event of their failing to comply with the conditions or committing breach of the bond, the Obligors individually and jointly will be liable to refund to the President of India, the entire amount of the grants-in-aid with interest of 10% per annum thereon, if a part of the grants-in-aid is left unspent after the expiry of the period within which it is required to be spent, interest@10% per annum shall be charged up to the date of its refund to the Government, unless it is agreed to be carried over.

The obligors agree and undertake to surrender / pay the Government the monetary value of all such pecuniary or other benefits which it may receive or derive/ have received or derived through / upon unauthorized use of (such as letting out the premises on adequate or less than adequate consideration or use of the premises for any purpose other than that for which the grants-in-aid was intended of the property) buildings created/ acquired constructed largely from out of the grants-in-aid sanctioned by the Government of India, Ministry of Food Processing Industries or the administrative Head of the Department concerned. As regards the monetary value aforementioned to be surrendered / paid to the Government, the decision of the Government will be final and binding on the Obligors.

AND These Presents Also Witness that the decision of the Secretary to the Government of India in the Ministry of Food Processing Industries on the question whether there has been breach or violation of any of the terms or conditions mentioned in the sanction letter shall be final and binding upon the Obligers and

IN WITNESS WHEREOF these presents have been executed as under on behalf of the Obligers the day herein above written in pursuance of the Resolution No. _____ Dated _____ passed by the governing body of the Obligers, a copy of whereof is annexed hereto as Annexure-II and by _____ for and on behalf of the president on the date appearing below:-

Signature of AUTHORIZED SIGNATORY
SIGNED FOR AND ON BEHALF OF
(Name of the obliger in block letters)
(seal/ stamp) of Organization)

1. Signature of witness
Name & Address

2. Signature of witness
Name & Address

TO BE FILLED UP BY
THE MINISTRY OF FOOD PROCESSING INDUSTRIES (ACCEPTED)

For and on behalf of the President of India

Name: _____

Designation: _____

Dated: _____

Notary Seal &
Signature

Mandate Form**ELECTRONIC CLEARING SERVICE (CREDIT CLEARING) /REAL TIME GROSS SETTLEMENT (RTGS) FACILITY FOR RECEIVING PAYMENTS****DETAILS OF ACCOUNT HOLDER:**

NAME OF ACCOUNT HOLDER	
COMPLETE CONTACT ADDRESS	
TELEPHONE NUMBER/FAX/EMAIL	

BANK ACCOUNT DETAILS:-

BANK NAME	
BRANCH NAME WITH COMPLETE ADDRESS TELEPHONE NUMBER AND EMAIL	
BRANCH'S IFSC CODE	
TYPE OF BANK ACCOUNT (SB/CURRENT/CASH CREDIT)	
COMPLETE BANK ACCOUNT NUMBER (LATEST)	
MICR CODE OF BANK	

DATE OF EFFECT:-

I hereby declare that the particulars given above are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information I would not hold the Ministry of Food Processing Industries responsible.

Date**Signature of Customer**

Certified that the particulars furnished above are correct as per our records.

(Signature and Seal of Bank / Financial Institution)

(Note: Please attach a self-attested photocopy of cheque along with the verification obtained from the bank)

Statement indicating expenditure / utilization of the grant-in-aid released

Certified that Rs. _____ of grant-in-aid sanctioned by the Ministry of Food Processing Industries towards first / second installment of grant-in-aid in favour of _____ has been utilized for the purpose for which it was sanctioned.

Signature of Authorized Signatory of PEA with Seal

Date_____

Countersigned of Chartered Accountants with CA registration number

F. No. 5-3/2017-Infra (ICC)

भारत सरकार

Government of India

खाद्य प्रसंस्करण उद्योग मंत्रालय

Ministry of Food Processing Industries

पंचशील भवन, अगस्त क्रांति मार्ग

Panchsheel Bhawan, August Kranti Marg

नई दिल्ली/ New Delhi - 110049

Dated: 14.07.2017

Subject: Guidelines for the Scheme for Creation of Backward and Forward Linkages under KISAN SAMPADA YOJANA (KSY) – reg.

Government of India has approved a new Central Sector Scheme – KISAN SAMPADA YOJANA (KSY) for the period upto 2019-20 to be implemented by Ministry of Food Processing Industries (MoFPI). Under KSY, a new Scheme for Creation of Backward and Forward Linkages has been approved. After detailed interactions with the stakeholders, the guidelines for implementation of the Scheme for Creation of Backward and Forward Linkages has been formulated.

The guidelines for implementation of the Scheme for Creation of Backward and Forward Linkages are attached for the information of all the stakeholders and public at large. These guidelines will be applicable to the proposals to be invited by this Ministry in future under this Scheme.

Encl : as above

(Sanjai Bajpai)

Under Secretary to the Govt. of India

Tel No. 011-26406584

Email: sanjai.bajpai@nic.in

MINISTRY OF FOOD PROCESSING INDUSTRIES

GUIDELINES FOR THE SCHEME FOR CREATION OF BACKWARD AND FORWARD LINKAGES

1. Background

During 9th plan the Ministry of Food Processing Industries operated, inter-alia, the scheme for creation of backward linkages with the objective of increasing capacity utilization of food processing units including fruit based wine industry by ensuring regular supply of raw materials through contract farming. The scheme was continued to be implemented during 10th plan with the addition of component Forward Integration. In order to plug the gaps in the backward and forward integration and to optimize the capacity utilization of food processing units the Ministry proposes to launch the revamped scheme for creation of backward and forward linkages for processed food industry by assisting in setting up of primary processing centers/collection centers at farm gate and modern retail outlets at the front end along with connectivity through insulated/refrigerated transport. The Scheme is applicable to perishable horticulture and non-horticulture produce such as, fruits, vegetables, dairy products, meat, poultry, fish, etc.

2. Objective

The objective of the scheme is to provide effective and seamless backward and forward integration for processed food industry by plugging the gaps in supply chain in terms of availability of raw material and linkages with the market. The scheme will enable linking of farmers to processors and the market thereby ensuring remunerative prices for their produce.

3. Eligible Sectors

Following food processing sectors are eligible to avail the assistance under the scheme:-

- a) Horticulture
- b) Milk & Milk products
- c) Meat, Poultry, Fishery, Marine, Piggery
- d) Ready to Eat/ Ready to Cook Food Products
- e) Honey, Coconut, Spices, Mushroom
- f) Retail Shops for Perishable Food Products

4. Eligible Components:-

4.1 Following are the eligible components and facilities linked to food processing for which assistance may be availed:-

(a) Backward Linkage:-

- i. Integrated Pack-house(s) (with mechanized sorting & grading line/ packing line/ waxing line/ staging cold rooms/cold storage, etc.)
- ii. Milk Chilling Centre(s) /Bulk Milk Cooler(s)
- iii. Pre Cooling Unit(s)/ Chillers
- iv. Reefer boats
- v. Machinery & equipment for minimal processing and/or value addition such as cutting, dicing, slicing, pickling, drying, pulping, canning, waxing, etc.
- vi. Machinery & equipment for packing/ packaging.

(b) Forward Linkage: -

- i. Retail chain of outlets to be set up by processors and/or organizations with farm level infrastructure under component at **(a)** above for perishable food products. These would have facilities such as frozen storage/ deep freezers/ refrigerated display cabinets/cold room/ chillers/ packing/ packaging, etc.
- ii. Distribution center associated with the retail chain of outlets as above with facilities like cold room/ cold storage/ ripening chamber.

Note: The retail outlets can also be set up in rural areas or near the farm gate as well.

(c) Transport:-

- i. Refrigerated/ Insulated transport / Reefer Vans in conjunction with components at **(a)** and/or **(b)** above.

- 4.2** The exact nature of infrastructure to be supported under the scheme will be decided on the basis of agriculture/horticulture produce in the catchment area of the project. Food Processing Industry is fast growing industry and several innovative storage, preservation and minimal processing technologies are being developed day by day which will also be considered under this scheme with the recommendations of Technical Committee.
- 4.3** To avail financial assistance under this scheme, the applicant may set up any one or more of the aforementioned facilities on a viable project basis. Standalone activities like temperature controlled transportation/ storage facilities etc. will not be considered under this scheme.
- 4.4** Considering the functional nature of the facilities and with a view to plug in the gaps in the supply chain and to enhance the capacity utilization and viability of the project, the applicant may avail the assistance under this scheme in conjunction with other schemes being implemented by other Central Ministries/ Departments/ Organizations or State Government. However, no assistance will be provided for the components/facilities for which grant-in-aid has already been approved/availed.

5. Ineligible items:

- 5.1** The following items will be considered ineligible for grant purposes:-
- (a)** Compound Wall
 - (b)** Approach Road
 - (c)** Cost of Land and site development

- (d) Administrative Office Building
- (e) Canteen
- (f) Security/ Guard Room or enclosure
- (g) Consultancy fee, insurance etc.
- (h) Margin money, working capital and contingencies
- (i) Fuel, consumables, spares and stores
- (j) Computers and allied office furniture
- (k) Transport vehicles other than the reefer trucks/vans/refrigerated carrier/insulated vans/milk tankers
- (l) Pre-operative expenses
- (m) Second hand/ old/ refurbished/reconditioned machines
- (n) All types of service charges etc.
- (o) Expenditure on painting of machinery
- (p) Closed Circuit TV Camera and security system related equipment
- (q) Stationery items
- (r) Plant & machinery not directly related to the proposed project.

Note: The above list is only illustrative and not exhaustive.

6. Eligible organizations/entities

6.1 Following would be eligible for financial assistance under the scheme:-

- (a) Promoters of food processing units.
- (b) Entrepreneurs desirous of entering into food processing supply chain.
- (c) Groups of producers such as Co-operatives, Farmer Producer Organizations (FPOs), Farmer Producer Companies (FPCs), Self Help Groups (SHGs) etc. linked to food processing units or desirous of setting up minimal processing/ value addition centers.
- (d) Retailers having linkages with farm level and/or with processors.

6.2 The applicants in the above categories maybe organizations such as Central and State PSUs / Joint Ventures /Farmer Producer Organization (FPOs)/ NGOs / Cooperatives / SHGs / Public & Private Companies / Limited Liability Partnerships, Corporate Entity / Proprietorship Firms / Partnership Firms, etc.

7. Eligible Project Cost:-

Includes the cost of Plant & Machinery and Technical Civil Work except for ineligible items as mentioned in Para 5.1above.

8. Pattern of assistance: -

The maximum admissible grant for each project would be @ 35% of the eligible project cost for general areas and @ 50% for North East States, Himalayan States, ITDP Areas and Islands respectively, subject to maximum of Rs. 5.00 crore per project.

Note: (i) The grant will be provided only in respect of technical civil work and eligible plant & machinery.

(ii) Cost norms of Mission for Integrated Development of Horticulture (MIDH) issued by Department of Agriculture, Cooperation and Farmers Welfare will be followed wherever available. For facilities not covered under MIDH guidelines, cost norms as determined by the Ministry will be followed. Details of cost norms determined by the Ministry are available at http://mofpi.nic.in/sites/default/files/cost_norms_3.pdf

9. Pattern of release of grant:

The grant-in-aid will be released in three installments of 25%, 40% and 35% as per following schedule:-

- (a) **1st installment of 25%** of the approved grant under the scheme will be released after ensuring that 25% of the promoter's contribution and 25% of the term loan have been spent on the eligible project cost and after site inspection conducted to ascertain the commensurate physical progress of the project. The promoter shall submit the documents along with the request for 1st installment within 8 months (10 months in case of North East States, Himalayan States, ITDP Areas and Islands) from the date of issue of the approval letter.
- (b) **2nd installment of 40%** of the approved grant under the scheme will be released after ensuring the (i) utilization of first installment of grant released, (ii) 65% of promoter's contribution and 65% of term loan have been spent on the eligible project cost and (iii) after conduct of site inspection to ascertain commensurate physical progress of the project. The promoter shall submit the documents along with the request for 2nd installment within 14 months (16 months in case of North East States, Himalayan States, ITDP Areas and Islands) from the date of issue of the approval letter.
- (c) **3rd and final installment of remaining 35%** of the approved grant under the scheme will be released after ensuring the (i) utilization of the second installment of grant released, (ii) 100% of promoter's contribution and 100% of term loan has been invested in the eligible project cost, (iii) the project has achieved completion and commercial operation has started and (iv) after joint inspection by a team consisting of the representatives of MoFPI, NHB or APEDA or DADF, the Bank (which has sanctioned the Term Loan) & PMA to ascertain the completion of the project and start of commercial operation /production. The promoter shall submit the documents along with the request for 3rd installment within 18 months (20 months in case of North East States, Himalayan States, ITDP Areas and Islands) from the date of issue of the approval letter.
- (d) The documents to be submitted by the promoter for the release of 1st, 2nd and 3rd installment of the grant are at **Appendix-I**.
- (e) As an incentive to those projects where criteria for release of 2nd and 3rd installments have been fulfilled by the promoter, both 2nd and 3rd installments can be released together as one installment. In such cases, the promoter shall submit all the required documents along with statement of accounts showing the expenditure/ utilization of the 1st installment - in a single application - for release of balance 75% of the

approved grant. All the formalities and due diligence as stated above for release of 2nd and 3rd installments shall be carried out before releasing the grant.

10. Implementation Schedule and Penalty:

- 10.1** The implementation schedule for the project would be 18 months in general areas and 20 months in North East States, Himalayan States, ITDP Areas and Islands from the date of issue of the approval letter for the financial assistance. No extension of time for implementation of the project will be given. In exceptional circumstances, for the reasons beyond the control of the promoter(s), the implementation period may be extended with the approval of the Inter Ministerial Approval Committee (IMAC).
- 10.2** In case of non-implementation of the project as per the approval letter, the Ministry would have the discretion to cancel the approval granted to the project and to recall the grant, if any, released, with interest @ 10% per annum.
- 10.3** In case of failure to operate the project for at least three years after commencement of commercial operation, the promoter shall return the entire grant-in-aid with interest @ 10% per annum.
- 10.4** In case of the failure of the promoter(s) to refund the grant-in-aid amount with interest, in the event of non-implementation of the project as approved and / or utilization of the grant for purposes other than on the approved components, the due amount shall be recovered as an arrear of land revenue as per the relevant law in force.
- 10.5** In case of any dispute arising out of interpretation of any of the terms and conditions as contained in the Scheme Guidelines and/or Approval Letter, the interpretation and decision there on of Ministry of Food Processing Industries shall be final and binding.
- 10.6** The Ministry may seek any clarification and/ or any document/ information at any stage of the project. The Ministry reserves the right to modify the Scheme Guidelines or any other terms and conditions as contained herein.
- 10.7** If at any point of time, it comes to the notice of the Ministry that the grant has been availed by manipulation/ concealment of information/ facts, the same shall be withdrawn immediately and the amount, if any, released shall be refunded along with interest at the rate of 10% per annum.
- 10.8** The assets created wholly or substantially out of the Government Grant shall not be disposed-off or encumbered or utilized for purposes other than those for which the grant has been sanctioned, without obtaining the prior approval of the Ministry. In case of non-compliance of this condition, the promoter(s) will be liable to refund the grant with interest @ 10% per annum. In case of the failure of the promoter(s) to refund the grant-in-aid amount with interest, the due amount shall be recovered as an arrear of land revenue as per the relevant law in force.
- 10.9** The promoter(s) of the completed projects will submit the following documents every year to the Ministry for next five years from the date of release of the final installment

of the approved grant:-

- (a) Audited Annual Financial Statement of the entity showing balance sheet, profit & loss account, schedule and notes to accounts of the project.
- (b) Percentage capacity utilization of the project.

10.10 The promoter shall make all possible efforts to complete the project as per the stipulated timelines mentioned in the approval letter. In case of non-adherence to stipulated timelines, except in case of *force de majeure* or reasons beyond the control of promoter, the IMAC may consider imposing penalty in terms of reducing the grant amount, on case to case basis as per following:

- (a) The timeline for each installment of the scheme guidelines and /or as approved by IMAC at the time of according approval shall be applicable for this purpose. Only, *force de majeure*, reason will be accepted as genuine reasons for delay in cases where promoter fails to adhere to the timeline and request the Ministry for relaxation of penal action.
- (b) In case of non-adherence to the timeline of a particular installment due to the project, a penalty amounting to 1% of the quantum of installment due for release will be imposed for each month's delay beyond the stipulated timeline. The maximum amount of penalty, however, shall not exceed 5% of the installment to be released.
- (c) The penalty will be imposed for such delay till the date of submission of the complete documents to the Ministry for release of installment of the grant.
- (d) The decision of the IMAC shall be final and binding on imposition of the penalty, quantum of the penalty and the period for which the penalty is to be imposed.

11. Expression of Interest (EOI):

11.1 Applications under the scheme will be invited through EOI. Ministry of Food Processing Industries has introduced a system for online filing of applications on its website www.mofpi.nic.in. The homepage of the website provides a link "Apply Online and Track Status here". After filing online application, applicant should take print out of the online application form and submit the same along with requisite fees.

11.2 Eligibility Criteria:

The proposals have to meet the following eligibility criteria under the scheme:

- (a) Final term loan sanction from the bank/financial institution for availing term loan for an amount not less than 20% of the project cost. The date of sanction of term loan should not be earlier than the date of issue of EOI.
- (b) A detailed appraisal note from the bank/financial institution specific to the proposal. Detailed Project Report /Techno Economic Viability Report merely stamped or endorsed by the Bank/ FI without detailed appraisal note shall not be considered as valid appraisal note and such proposals will not be considered for

financial assistance.

- (c) Infusion of equity of at least **20%** of the total project cost for projects in general areas and 10% for projects in North East States, Himalayan States, and ITDP Areas & Islands.
- (d) Grant in aid to any eligible organization, including its subsidiary company/ related company/ Group Company/Organization as well as the promoters of such companies/organizations would be limited to one project at a time only under the Scheme.
- (e) Any entity/ organization which has availed grant from Ministry of Food Processing Industries for any project under another scheme of the Ministry shall not be considered eligible for another grant until completion of earlier project.
- (f) Same applicant/ organization shall not be entitled for more than two grants in five years.
- (g) Applicants/ Promoters who have availed assistance under any other scheme of the Ministry and apply again under this scheme, then in such cases the previous project (s) should have achieved completion and commenced commercial operation/ production and successfully completed at least one year before the date of advertisement of EoI of this scheme.
- (h) Proposals envisaging modernization/ Upgradation of technology and plant & machinery would be considered for financial assistance. However, the grant in such cases will be restricted only to the components created subsequent to the issue of Expression of Interest. Annual Reports and Audited Statement of Accounts of last three years would also be required to be submitted by the applicant. In such cases, a pre-approval inspection may be carried out by the Ministry.
- (i) The grant will be restricted only to the plant & machinery and technical civil work created subsequent to the submission of the proposal.
- (j) Expansion projects would be considered for financial assistance provided separate technical civil work and plant & machinery are envisaged, distinct from the existing facility.

12. DOCUMENTS AND FEE REQUIRED:

12.1 Following documents are required to be uploaded on-line:

- (a) Detailed Project Report (DPR) in the prescribed template as at **Appendix-II**.
- (b) CA/Statutory Auditor certificate as per **Appendix-III**.
- (c) CE (Civil) certificate [**Appendix-IV**] and CE (Mech.) certificate [**Appendix-V**].
- (d) Proof of Infusion of equity of at least **20%** and **10%** of the total project cost respectively for projects in general areas and for projects in North East States, Himalayan States, and ITDP Areas & Islands duly certified by the lending bank/FI.
- (e) Final term loan sanction from the Bank/ Financial Institution for availing term loan for an amount not less than 20% of the project cost.
- (f) A detailed appraisal note from the Bank / Financial Institution.

- (g) Certificate of incorporation/ registration of the applicant firm, Memorandum and Articles of Association in case of Company/ Bye laws of the Society, Co-operative, Self Help Group/ Registered partnership deed, etc.
- (h) Bio-data/background/ experience of the project promoter(s).
- (i) Annual reports and Audited Financial Statement of Accounts of the applicant firm/company/cooperative/ Partnership/ Co-operatives, Farmer Producer Organizations (FPOs), Farmer Producer Companies (FPCs), Self Help Groups (SHGs), etc. for last two years.
- (j) Self-attested English/ Hindi version of land documents for the project in support of land title in the name of the applicant or land lease, duly registered with the competent authority for not less than the period of 15years.
- (k) Change in Land Use (CLU) permission for the project for the said land from the competent authority.
- (l) Certificate from lending Bank/ FI that the facility has not commenced commercial operations as on the date of issue of EOI or the date of bank certificate, whichever is later.
- (m) An undertaking to be furnished by the applicant as per **Appendix-VI**.
- (n) MoU/ Agreement for Backward Linkages and Forward Linkages duly authenticated by concerned District Authority pertaining to respective sectors.
- (o) Annual Reports and Audited Statement of Accounts of last three years, in case modernization/ upgradation of technology and plant & machinery is proposed. This will not be applicable for new entrepreneur.
- (p) Proof of submission of requisite fee.
- (q) Mandate form as per **Annexure-I** in respect of the applicant firm.
- (r) Self attested copy of a PAN card of applicant firm.
- (s) **PFMS (CGA) Registration** – Controller General of Accounts (CGA) registration on pfms.nic.in of firm under agency type “private sector companies” and under the scheme name “National Mission on Food Processing (SAMPDA) CS (9535)”.

12.2 Fee

The applicants are required to submit through RTGS/NEFT, Rs. 50,000 (Rupees Fifty Thousand only) as refundable security deposit and Rs. 5,000 (Rupees Five Thousand only) as non-refundable cost of EOI document in favor of “Pay and Accounts Officer Ministry of Food Processing Industries New Delhi”.

13. Selection of Proposals for Financial Assistance:

- 13.1** All proposals received against Eol will be scrutinized by the Technical Committee (TC) to ascertain prima-facie eligibility and further appraisal/ evaluation of proposals found prima facie eligible. The recommendation(s) of the TC on each proposal (eligible or otherwise) will be placed before Inter-Ministerial Approval Committee (IMAC) for consideration and approval.

The proposals found prima facie eligible based on the eligibility criteria mentioned in para 11.2 above will be evaluated as per the assessment criteria at **Appendix-VII** of these guidelines.

13.2 Technical Committee (TC):

The TC will have the following composition:-

- (a) Additional Secretary/ Joint Secretary, MOFPI, In-charge of the Cold Chain Scheme – Chairperson.
- (b) Managing Director, National Horticulture Board (NHB) or his nominee- Member
- (c) Economic Advisor, MoFPI-Member.
- (d) Joint Secretary, Department of Animal Husbandry, Dairying and Fisheries or his nominee-Member.
- (e) Joint Secretary, Ministry of MSME or his nominee – Member
- (f) Joint Secretary, Ministry of Rural Development or his nominee - Member
- (g) Director, SFAC or his nominee - Member
- (h) Joint Secretary/Director (Finance), MoFPI-Member.
- (i) Chairman, Agricultural & Processed Food Products Export Development Authority (APEDA) or his nominee-Member.
- (j) State Representative from the concerned State Food Processing Department/Mission Directorate (NMFP)-Member.
- (k) Two technical experts [(a)-Domain Expert and (b) Finance Expert – representative of NABARD/ Financial Institution] to be nominated by Secretary, FPI- Members.
- (l) Deputy Secretary/ Director, MoFPI-Member Secretary.

13.3 Inter-Ministerial Approval Committee (IMAC):

The IMAC will have following composition:-

- (a) Hon'ble Minister for Food Processing Industries- Chairperson.
- (b) Hon'ble Minister of State for Food Processing Industries – Vice Chairperson.
- (c) Secretary, MoFPI-Member.
- (d) Financial Adviser, MoFPI-Member.
- (e) Joint Secretary, In-charge Cold Chain Scheme, MoFPI– Convener& Member.
- (f) Joint Secretary, Department of Animal Husbandry, Dairying and Fisheries - Member.
- (g) Joint Secretary, In-charge, MIDH, Ministry of Agriculture, Cooperation & Farmers Welfare-Member.
- (h) Joint Secretary, Ministry of MSME – Member
- (i) Joint Secretary, Ministry of Rural Development – Member
- (j) Managing Director, SFAC or his nominee - Member
- (k) Principal Secretary, Industries/FPI of the concerned State-Member.

(I) Representative of NABARD as Financial Expert-Member.

- 13.4 The proposal(s) from FPOs/FPCs/SHGs/Women SHGs found eligible based on the eligibility criteria will be given priority.
- 14 **The Ministry shall have the final say regarding eligibility or otherwise of the proposals and selection of proposals for grant-in-aid.**
- 15 **Programme Management Agency (PMA):** The Ministry will implement the scheme with the assistance of Programme Management Agency (PMA). The role and responsibilities of the PMA are defined at **Appendix-VIII.**
- 16 **Technical Agency (TA):**The Ministry of Food Processing Industries may appoint Technical Agency(ies) to assist FPOs/ FPCs/ SHGs/ Women SHGs to participate in this scheme as well as other schemes of the Ministry. The consultancy fee as admissible to such Technical Agency(ies) would be borne by the Ministry as per terms & conditions of the assignment. The role and responsibilities of TA thus appointed are defined at **Appendix-IX.**
- 17 **Ministry's decision final: The decision of the Ministry in all matters relating to eligibility, acceptance or rejection of the applications, mode of selection, grant approved and imposition of penalty will be final and binding on the applicants.**
- 18 **Court's Jurisdiction:** Any dispute arising out of selection of proposals and implementation of approved project under this scheme guideline will be subject to Courts/ Tribunals having jurisdiction over Delhi.

Appendix-I
Terms and conditions for release of grant-in-aid to the project
[Refer Para 9 (d)]

- 1) The promoter shall submit to the Ministry the Acceptance Letter, confirming the capacities as detailed in the approval letter that would be created, within 30 days of issue of approval letter.
- 2) The promoter shall submit following documents within 60 days from the date of issue of approval letter: -
 - (a) Self-attested English/Hindi version of the land documents of project location, in support of land title in the name of the promoter or land lease, duly registered with the competent authority for not less than the period of 15 years.
 - (b) Change in land use (CLU) permission for the project land from the competent authority, wherever applicable.
 - (c) Latitudes and Longitudes Co-ordinates of the project facility.
 - (d) Revised implementation schedule, if any, of the project, detailing the specific dates/year for the completion of each stage of the implementation of the project duly certified by the concerned lending bank and countersigned by the promoter(s).
 - (e) The promoter needs to create three separate bank account(s) consisting of two separate current accounts with respect to the promoter(s) contribution and grant-in-aid, and a term loan account. Details of the bank account pertaining to grant-in-aid are to be provided in the ECS mandate form as provided in **Annexure-I**.
 - (f) The promoter is required to fill up the data relating to his project online on <http://sampada-mofpi.gov.in/login.aspx>. The promoter is also required to submit the claim for release of 1st, 2nd and 3rd instalment of grant-in-aid (as the case may be) online on the aforementioned portal as per the enclosed Check List. The online submitted documents will be scrutinized by the Programme Management Agency (PMA) and the Ministry. Final version of online submitted and accepted documents after complying with the requirements of the scheme guidelines, will also have to be furnished to the Ministry in hard copies, duly ink signed and stamped by the authorised signatory.

3) Release of Grant-in-aid

- (a) The promoter shall upload the following documents online on Kisan SAMPADA Yojna portal for 1st installment within 8 months (10 months in case of North East States, Himalayan States, ITDP Areas & Islands) from the date of issue of the approval letter:-
 - i. **Surety Bond as per Annexure-II** – To be executed by the beneficiary/applicant on a Non-Judicial stamp paper of not less than Rs.100, duly notarized and signed by two independent witnesses (other than promoters) along with Board resolution/certificate from Board of Directors/promoters (as applicable) authorizing one of the directors/partners as authorized signatory of documents.

- ii. **CA certificate-** Latest certificate of actual expenditure along with means of finance in the prescribed format duly certified by Chartered Accountant (CA) and countersigned by the promoter, which should establish that at least 25% of the promoter's contribution and at least 25% of the term loan has been utilized on the eligible project cost as per **Annexure-III**.
Details of unsecured loan (along with PAN numbers of lenders), if any, duly certified by Chartered Accountant and countersigned by the promoter are to be given as per **Annexure-III**.
 - iii. **Certificate from Chartered Engineer (Civil)** for technical civil works indicating item wise progress on approved components, cost, quantity, manufacturers/suppliers and comment on quality and status of implementation duly countersigned by the promoter as per **Annexure-IV**.
 - iv. **Certificate from Chartered Engineer (Mechanical)** for plant and machinery indicating item wise progress on approved components, cost, quantity, manufacturers/suppliers and comment on quality and status of implementation duly countersigned by the promoter as per **Annexure-V**.
 - v. **Certificate** from the concerned bank/ financial institution which has sanctioned term loan for the project, as per **Annexure-VI**, certifying that:-
 - a. It has disbursed 25% of the term loan of the total sanctioned term loan; and
 - b. Has no objection for disbursement of 25% of the grant-in-aid being released by the Ministry.

Bank Statement(s) –Certified bank statements of all accounts from where payments are received and made till date of expenditure of 25% of promoter's contribution and 25% of term loan on the eligible project cost as per implementation schedule and highlighting payments (including advance payments) made to suppliers/vendors/contractors.
 - vi. **Major invoices/receipts** from suppliers/ vendors (on eligible project expenditure incurred so far).
 - vii. The Building plan of the Facility, approved (NOC Certificate) by the Municipal Corporation / Town & Country Planning Department or a competent authority, for locations within a city/town or from the Village Panchayat for locations outside a city/town.
 - viii. Submission of Valid Consent to Establish from the Central/ State Pollution Control Board, wherever applicable.
 - ix. Any other condition which may be specified from time-to-time.
- (b) The promoter shall upload the following documents online on Kisan SAMPADA Yojna portal for 2nd installment of grant within 14 months (16 months in case of North East States, Himalayan States, ITDP Areas and Islands) from the date of issue of approval letter:-
- i. **CA certificate-** Latest certificate of actual expenditure on the project along with means of finance in the prescribed format duly certified by Chartered Accountant (CA) and countersigned by the promoter, which should ensure that 65% of the promoter's contribution and 65% of the

term loan along with grant-in-aid released has been utilized on the eligible project cost as per **Annexure-III**.

Details of unsecured loan (along with PAN numbers of lenders), if any, duly certified by Chartered Accountant and countersigned by the promoter are to be given as per **Annexure-III**.

- ii. **Certificate from Chartered Engineer (Civil)** for technical civil works indicating item wise progress on approved components, cost, quantity, manufacturers/suppliers and comment on quality and status of implementation duly countersigned by the promoter as per **Annexure-IV**.

- iii. **Certificate from Chartered Engineer (Mechanical)** for plant and machinery indicating item wise progress, cost, quantity, manufacturers/suppliers and comment on quality and status of implementation duly countersigned by the promoter as per **Annexure-V**.

Certificate from the concerned **bank/ financial institution** which has sanctioned term loan for the project, as per **Annexure-VI**, certifying that:-

- a. It has disbursed 65% of the term loan of the total sanctioned term loan and has also released 1st installment of grant-in-aid; and
- b. Has no objection for disbursement of 40% of the grant-in-aid being released by the Ministry.

Bank Statement(s) –Certified bank statements of all accounts from where payments are received and made till date of expenditure of 65% of promoter's contribution and 65% of term loan on the eligible project cost as per implementation schedule and highlighting payments (including advance payments) made to suppliers/vendors/contractors.

- iv. **Major invoices/receipts** from suppliers/vendors (on eligible project expenditure incurred so far).
- v. A statement of accounts showing the expenditure/ utilization of the funds released, to be signed by the promoter and counter signed by the Chartered Accountant, as per **Annexure-VII**.
- vi. Valid Consent to Establish/ Operate, as the case may be, from the Central/ State Pollution Control Board, wherever applicable.

- (c) The promoter shall upload the following documents online on Kisan SAMPADA Yozna portal for 3rd and final installment of grant within 18 months (20 months in case of North East States, Himalayan States, ITDP Areas and Islands) from the date of issue of approval letter:-

- i. **CA certificate**- Latest certificate of actual expenditure on the project along with means of finance in the prescribed format duly certified by Chartered Accountant (CA) and countersigned by the promoter, which should ensure that 100% of the promoter's contribution, 100% of the term loan and 2nd installment of grant-in-aid has been utilized on the eligible project cost as per **Annexure-III**.

Details of unsecured loan (along with PAN numbers of lenders), if any, duly certified by Chartered Accountant and countersigned by the promoter are to be given as per **Annexure-III**.

- ii. **Certificate from Chartered Engineer (Civil)** for technical civil works indicating item wise progress on approved components, cost, quantity,

- manufacturers/suppliers and comment on quality and status of implementation duly countersigned by the promoter as per **Annexure-IV**.
- iii. **Certificate from Chartered Engineer (Mechanical)** for plant and machinery indicating item wise progress, cost, quantity, manufacturers/suppliers and comment on quality and status of implementation duly countersigned by the promoter as per **Annexure-V**.
 - iv. **Certificate** from the concerned **bank/ financial institution** which has sanctioned term loan for the project, as per **Annexure-VI**, certifying that:-
 - c. It has disbursed 100% of the term loan of the total sanctioned term loan and has also released 2nd installment of grant-in-aid; and
 - d. Has no objection for disbursement of 35% of the grant-in-aid being released by the Ministry.
- Bank Statement(s) –Certified bank statements of all accounts from where payments are received and made till date of expenditure of 100% of promoter's contribution and 100% of term loan on the eligible project cost as per implementation schedule and highlighting payments (including advance payments) made to suppliers/vendors/contractors.
- v. **Major invoices/receipts** from suppliers/vendors (on eligible project expenditure incurred so far).
 - vi. A statement of accounts showing the expenditure/ utilization of the funds released, to be signed by the promoter and counter signed by the Chartered Accountant, as per **Annexure-VII**.
 - vii. Valid Consent to Establish/ Operate, as the case may be, from the Central/ State Pollution Control Board, wherever applicable.
 - viii. Declaration of completion of the project and start of commercial operation, duly certified by the Bank.
 - ix. Display of information prominently on the front of the project building/ vehicles stating that the **“Project is assisted by the Ministry of Food Processing Industries, Government of India”**.
 - x. Statutory Clearance(s) / Approval(s) for power & water connections.
 - xi. License under Food Safety and Standards Act, 2006.
 - xii. Registration certificate of reefer vans and insulated vehicles.
 - xiii. Any other condition which may be specified from time-to-time.

[Refer Para 12.1 (a)]

Template of DPR

1. Name of the applicant/ company / firm with details of registration no. of company / firm along with names of the directors/promoters in the prescribed format:

S No.	Particulars	Details
i.	Name of Applicant	
ii.	Legal Status of Applicant (Govt. Institution / organisation, NGO, Co-operative/ Company/ partnership firm/ proprietorship firm/ Farmer Producer Organizations (FPOs)/ Farmer Producer Company/ Self Help Groups (SHGs)/ Joint Ventures, etc.)	
iii.	Registration No. of Applicant/CIN	
iv.	PAN of Applicant	
v.	Is the applicant registered with SFAC/ NABARD/ NDDB/ other Government Agency ¹	

2. Contact details of the Promoter(s)/Partner(s) including addresses, telephone, mobile, fax, e-mail, website, PAN etc.

S No.	Name of Promoter(s)/ Partner(s)	Address	Telephone No.	Mobile No.	E-mail Id	PAN No.	Any other details
Please add additional rows, if needed.							

3. Experience of the lead Promoter(s)/Partner(s)/ Applicant Entity in Food Processing (and) / Cold Chain (and) / Agri-produce logistics (Pl. enclose documentary evidence regarding experience and turnover)

S No.	Name of lead Promoter(s)/Partner(s)/ Applicant Entity	Details of Experience	Details of Turnover (year-wise)	Supporting Document attached, if any (Yes/No)

¹Pl. enclose documentary evidence regarding the existing registration / association with any Government agency.

4. Project Details:

a. Components under the scheme as applicable to the project:

S No.	Type of Components	Details of the components	Numbers Proposed
i.	Forward Linkage : Distribution Hub / Retail outlets / Meat Shops etc.		
ii.	Backward Linkage : Farm Level Infrastructure / Collection centre / BMCs etc.		
iii.	Transport : Reefer/ Insulated Vehicles		

b. Sector of Project (Fruits & Vegetables/Dairy/Marine/Poultry/Fishery/Ready to Eat/Ready to Cook/ Mixed etc.):

c. Type of Operating Model (Rental, Rental+ Captive, Captive Use etc.).....

5. Land Details.

(i) Proposed Locations of Land for all project facilities and status of their acquisition along with longitude & latitude coordinates

Location of Land	Facility (Forward Linkage/ Backward Linkage)	Type of Components	Area (Sqm)	Status of possession (Owned/ leased**) (Document Submitted (Yes/No)	In case of lease (Period of lease in years**) (Documents Submitted (Yes/No)	Status of Land Use Conversion (CLU) (Document Submitted Yes/No)	Connectivity Details. Distance (in kms) from: a. National Highway b. State Highway c. Freight corridor d. Golden Quadrilateral	Distance from Catchment Area (kms) (Please furnish details of both primary & secondary catchment area (as applicable)	Coordinate Details (Longitude & Latitude)	Ref Pg. no. in DPR*
Land1	Forward Linkage									
Land2	Backward Linkage									
Please add additional rows in case of multiple locations										

*DPR should have a detailed chapter on proposed land, raw material production and supply statics for the catchment area.

** In case of leased land, period of lease should be not less than 15 years.

6. Proposed facilities [Refer para 4 of Scheme Guidelines]

S. No.	Type of facilities proposed to be created (Pl. modify as per your business plan)	No. of Units	Total Capacity [MT, Ltrs, MT/Hr., where ever applicable]	Location		No. of Days of operation of each facility in a year
				Forward Linkage	Backward Linkage	
i.	Integrated Pack-house(s) (with mechanized sorting & grading line/ packing line/ waxing line/ staging cold rooms, etc.)					
ii.	Mechanized sorting & grading line/ packing line/ waxing line/ staging cold rooms, etc.)					
iii.	Milk Chilling Centres					
iv.	Bulk Milk Coolers (BMCs)					
v.	Pre-cooling Chambers					
vi.	Chillers					
vii.	Reefer boats					
viii.	Ripening Chamber(s)					
ix.	Retail chain of outlets for perishables					
x.	Frozen store					
xi.	Deep Freezers					
xii.	Normal cold store					
xiii.	Machinery & equipment for minimal processing and/or value addition					
xiv.	Machinery & equipment for packing/ packaging					
xv.	Refrigerated cabinets / display cabinets					
xvi.	Transport:- Refrigerated/ Insulated transport / Reefer Vans					
Add other components not listed above						

7. In case modernization/ upgradation of technology/ plant & machinery of existing facilities is proposed, please furnish details of technology, upgradation/modernization of plant & machinery along with details of existing capacity and proposed capacity after induction of new technology and plant & machinery in the following format:

S. No.	Details of existing facilities	Details of existing capacities	Type of facilities proposed to be modernized/upgraded	Proposed capacities after modernization/upgradation	Location of the facility	Whether covered under Backward Linkages or Forward Linkages

8. Annual Reports and Audited Statement of Accounts for last three years. This will not be applicable for new entrepreneur.

9. Proposed Project Financials

a. Estimated Project cost details

Item	Amount (In Rs. Lakh)
Land (Including FLIs / CCs / value added centre / distribution centre)	
Site Development	
Technical Civil Work (TCW)	
Other Civil Works	
Plant & Machinery (P&M)	
Common Utilities like Water/ETP/ STP, etc.	
Pre-operative Expenses	
Interest During Construction	
Margin Money for Working Capital	
Contingencies	
Add other items not listed above	
Total Project Cost	

b. Means of finance

Item	Amount (In Rs. lakh)
Promoter's Equity	
Term loan	
Eligible grant	
Unsecured loan	
Total	

c. Basic Revenue Projections

Item	Year 1	Year 2	Year 3	Year 4	Year 5
Turnover					
Cost of Operations					
Gross Profit					
Earnings Before Interest, Tax, Depreciation and Amortization (EBITDA)					
Profit before taxation					
Profit after taxation					

d. Financial Parameters (as per Bank Appraisal Note)

S No.	Particulars	Details (Ratio/%)	Ref Page No. in DPR*
i.	Internal Rate of Return (IRR) [(a) With and (b) without grant]		
ii.	Avg. Debt Service Coverage Ratio (DSCR)		
iii.	Break Even Point (BEP)		
iv.	Debt-Equity Ratio		

*To be provided for section under the bank appraisal note highlighting the aforementioned detail.

10. Availability of Raw Material in the Catchment Area - provide details such as Adequate Volume, Wider Mix of Raw Materials, Days of Operation in a Year along with supporting data along with authentic source.

11. Details of the catchment area of the project.

S.No.	Location of the Catchment (Primary/secondary)	Name Village/Dist./AP MC	Commodities to be sourced	Quantities to be sourced [MT/KLD- in case of milk] (per annum)	Ref. Pg. no. in DPR*

*DPR should comprise of detailed chapter on proposed catchment (production and supply statistics).

10. Details of the Forward / Market Linkage:

a) Details of the existing market linkage / Proposed market Linkage

- b) MoUs/Contract documents/Undertaking/LoA
- c) Target consumption centres / key domestic markets
- d) Export targets/ plans, if any
- e) In case of export, details of volume to be exported /export destination/ statutory norms of export destination should be provided in the DPR

11. Employment Generation projections

Direct Employment:

Contractual Employment with no. of days:

Indirect Employment (specify):

13. List of Manufacturers/ Suppliers of P&M (enclose quotations)

Date: _____

Signature of the Applicant/Lead Promoter

Place: _____

**CA Certificate Format
(Letter Head of the CA)
[Refer Para 12.1 (b)]**

CA certificate (With membership No. and firm registration No. of CA) in the following format:-

i. Project Cost:

Sl. No.	Name of the Component/Item	Amount (Rs. in lakh)
1.	Land/development charges	
2.	Civil works — Technical civil works — Other civil works	
3.	Plant & Machinery	
4.	Misc. Fixed Assets	
5.	Others	
	TOTAL	

ii. Means of Finance:

Sl. No.	Item	Amount (Rs. in lakh)
1	Promoter's Equity	
2	Term Loan	
3	Grant from MFPI	
4	Unsecured loan*	
5	Others	

*Details of unsecured loans along with PAN No. of lenders, if any, duly certified by CA.

Signature and Seal of C.A (Statutory Auditor in case of company)

Date: _____

Counter signature of promoter/ authorized signatory of company with Seal

**CE Certificate (Civil) Format for Technical Civil Work:
(Letter Head of the CE)
[Refer Para 12.1 (c)]**

CE certificate (With membership/registration No. of CE) in the following format:

Name of Project:

Location with address:

Date of site Visit by Chartered Engineer:

Project Progress: (If project has multiple locations, the location wise details should be submitted in below format for each location)

Sl. No.	Name of Component	Proposed Area (sq.m)	Proposed Cost (Lakh Rs)	Rate/ Unit(Rs/Sqm)
	Total			

Signature and Seal of C.E.

Counter signature of promoter/ authorized signatory of company with Seal

**CE Certificate (Mechanical) Format for Plant & Machinery:
(Letter Head of the CE)
[Refer Para 12.1 (c)]**

CE Certificate (With membership/registration No. of CE) in the following format:-

Name of project:

Location with address:

Date of Visit by Chartered Engineer:

Project Progress (If project has multiple locations, the location wise details should be submitted in below format for each location)

Sl. No.	Name of Component	Proposed Quantity	Proposed Cost (Lakh Rs)		Supplier/ Manufacturer (Supported by quotations)
			Basic Cost	Taxes, Freight, installation, insurance	
	Component -1				
	Component -2				
	Component -3				
	TOTAL				

Signature and Seal of C.E.

Counter signature of promoter/ authorized signatory of company with Seal

UNDERTAKING
[Refer Para 12.1 (m)]

I (Name of the Lead Promoter/Director/ Partner/ Proprietor etc.) Son of Mr..... (Father's name) resident of (Residential address) do hereby solemnly affirm and declare/undertake as under:

1. That I am promoter/ director/ partner/ proprietor of M/s..... (name of applicant) having its Registration no.and Registered Office at (office address of applicant).
2. I hereby make application and I am duly authorized in my own right/by management vide its resolution no.dated.....to apply and sign all required documents including this undertaking on behalf of company/partnership firm/cooperative society etc. named as; and am fully aware of the facts relating to the setting up of project at Survey/ Plot No....., Village....., Tehsil....., District....., State....., PIN code(location of the main facility) for.....(activities to be undertaken by project) and application is being made to the Ministry of Food Processing Industries (MoFPI) under the Central Sector Scheme for Creation of Backward and Forward Linkages.
3. That the term and conditions of the above scheme of the MoFPI under which an application is made by the applicant have been properly read and understood by me and I affirm that the project/ proposal comply with all the terms and conditions of the approval letter and provisions enshrined in the scheme guidelines.
4. That the proposed activities to be undertaken by the project/proposal are covered under the above scheme of MoFPI and no part of the scheme/infrastructure of the project is designed or assigned to be used for any activity other than the activities specified in the application at present or in the near future.
5. It is certified that (name of applicant) has not obtained or applied for grants for the same project, component, purpose or activity from any other Ministry or Department of the Government of India or State Government or their agencies.
6. It is certified that applicant's sister concern (s)/ related company / group company/firms as well as the applicant itself has not availed any financial assistance for a food processing project in the past from MFPI [if availed, the details shall be furnished separately].
7. I also solemnly affirm/undertake that the proposed project components in the application are a completely new activity and not a pre-existing activity or any component thereof.
8. In case of concealment of any facts in this regard, the MoFPI would have right to reject/ cancel my application/project out right at any stage.

9. I will meet any shortfall in means of finance due to less admissibility of grant or any future reduction in grant-in-aid or any escalation caused in the cost of the project.
10. I shall not dispose-off or encumber or utilize the assets created wholly or substantially out of government grant for purpose other than those for which they have been sanctioned, without obtaining the prior approval of the sanctioning authority of grant-in- aid.
11. In case of non-implementation/ delayed implementation of the project the Ministry will have absolute right in cancelling the approval granted and also recall the grant released, if any, along with interest as per the scheme guidelines.
12. In case of failure to operate the project for at least three years after commencement of commercial operation, I shall return the entire grant-in-aid with interest @ 10% per annum.
13. User charges/hiring rates of the facilities created under the project will be disseminated to the public including uploading of the same on the website of the project/ organization. A copy of the same will also be made available to the Ministry.
14. I undertake that all the information furnished in the application and the DPR with respect to the eligibility conditions, etc. are true and correct to the best of my knowledge and belief and nothing material has been concealed therefrom.
15. I also undertake that in the event of any information or facts furnished by me are found to be incorrect or material information concealed, during the course of implementation of the project or subsequent to implementation, the Ministry of Food Processing Industries may take action as per the provisions of scheme guidelines and/or as per the law of the land, as deemed fit and appropriate in the circumstances.

Date: _____ **Signature of the Lead Promoter**

Place: _____

[Refer Para 13.1]

S.No.	Criteria for Evaluation of Proposals to Establish Forward and Backward Linkages	Max Marks
1	Raw Material Availability, Adequate Volume and Wider Mix of Raw Materials/Days of Operation in a Year	10
	(a) Availability of raw materials, (Higher marks shall be given to the projects which provide the details of raw material in the catchment area supported by latest authentic data). (i) 5 marks for raw material availability backed by latest data with government source. (ii) 5 marks for availability of raw material if data is based on self-conducted survey, duly authenticated by block/district authority. (iii) 3 marks for availability of raw material data based on government source which is not the latest one but also not older than 3 years. (iv) 2 marks if the applicant has provided data for raw material availability, but has not provided the credible source (as above) for the furnished data.	5
	(b) No. of days of operation More than 250 – 3 Marks 180 – 250 Days – 2 Marks Less than 180 – 1 Mark	3
	(c) Product Mix	2
2	Agreement / Arrangements for Raw Material Procurement & Marketing of Products	15
	(a) 1 mark for each MoU/ Agreement for Backward Linkages with FPOs/ FPCs/ SHGs/ Producer Groups – max.10 marks (b) 0.5 mark for each MoU/Agreement for Backward Linkages other than FPOs/ FPCs/SHGs/Producer Groups – max.5 marks (c) 0.5 mark MoU/Agreement for Forward Linkages – max. 10 marks MOU/Agreement should be duly authenticated by concerned District Authority pertaining to respective sectors.	
3	Status of project land (a) Land in possession of the Applicant with approval for industrial use: 5 marks (b) Land in possession of the Applicant without approval for industrial use: 3 marks (c) Land not in possession of the Applicant but Agreement to sale executed: 2 marks	5
4	Details of existing business operations	30
	(a) (i) Food processing business including minimal processing having annual turnover of Rs. 1 Crore and above during a year:- 8 marks (ii) Food processing/ minimal processing business having annual turnover of less than Rs. 1Crore and above Rs. 50 lakh during a year:- 4 marks	8
	(b) If the Applicant is an FPO/FPC/SHG registered with SFAC/ State Government/ NABARD/ other Government Agency.	20
	(c) If the Applicant is Women SHG	2

5	Economic Viability of the proposal		10
		<p>Economic Viability of Project Based on Bank Appraisal (Key financial parameters viz. IRR, DSCR etc.)</p> <p><u>Max marks shall be given for IRR = 5</u></p> <p>(a) 5 marks shall be given if IRR>20%</p> <p>(b) 4 marks shall be given if IRR is between 17%-20%</p> <p>(c) 3 marks shall be given if IRR is between 14%-16.9%</p> <p>(d) 2 marks shall be given if IRR is between 10%-13.9%</p> <p>(e) Nil marks shall be given if IRR is less than 10%</p> <p><u>Max marks shall be given for DSCR = 5</u></p> <p>(a) 5 marks shall be given if DSCR ≥ 3.0</p> <p>(b) 4 marks shall be given if DSCR is between 2.5 and 2.9</p> <p>(c) 3 marks shall be given if DSCR is between 2.0-2.4</p> <p>(d) 2 marks shall be given if DSCR is between 1.5-1.9</p> <p>(e) Nil marks shall be given if DSCR < 1.5)</p>	10
6	Processing and Value Addition		10
	(a)	Project proposing processing and value addition	
7	Creation of Backward & Forward Linkages		20
	(a)	Project proposing creation of Backward Linkages, Forward Linkages and Transport: 20 marks	
	(b)	Project proposing creation of Backward Linkages and Transport: 15 marks	
	(c)	Project proposing creation of Forward Linkages and Transport: 15 marks	
	(d)	Project proposing creation of Backward Linkages and Forward Linkages: 15 marks	
	(e)	Project proposing creation of Backward Linkages only: 10 marks	
	(f)	Project proposing creation of Forward Linkages only: 10 marks	
Total			100

ROLE AND RESPONSIBILITIES OF PROGRAMME MANAGEMENT AGENCY (PMA)

[Refer Para15]

- (i) Scrutiny of the Proposals received against the EOI/advertisement and assist the Ministry in selection of eligible proposals.
- (ii) Appraisal of the DPR/projects indicating financial viability, commercial sustainability and socio-economic impact and presentation of the appraisal to the Ministry for approval.
- (iii) Assist the Ministry in issue of approval letters to the selected projects.
- (iv) Assist/advise the Ministry in release of the grant to the approved projects. Scrutiny of the proposals for release of grant as per the scheme guidelines. Undertake site inspections to assess the actual physical progress and verify the claims/documents submitted by the applicant for release of grant and make recommendations to the Ministry. In addition to carrying out mandatory site inspections before release of 1st and 2nd installment of grant, the PMA will also carry out additional site inspections as and when requested by the Ministry to ascertain the status of implementation of a particular project.
- (v) Monitoring and reporting the progress of the projects to the Ministry periodically on the basis of defined milestones or as directed by the Ministry.
- (vi) Updating the data regularly in the online dashboard monitoring system for monitoring the progress of the assisted projects. The portal will have to be kept updated at all times.
- (vii) Development and implementation of suitable Operation & Management (O&M) plan for the assisted projects.
- (viii) Assist in formulating, analysis and evaluation of the scheme guidelines.
- (ix) Provide inputs for preparing reports, templates, forms and check lists related to the effective implementation of the scheme.
- (x) Provide inputs for preparation of the agenda notes and minutes of the Review meeting, Technical Committee, Inter-Ministerial Approval Committee etc.
- (xi) Checking the authenticity of the documents submitted by the applicants.
- (xii) Any other duty and responsibility assigned by the Ministry from time to time.

ROLE AND RESPONSIBILITIES OF TECHNICAL AGENCY (TA)

[Refer Para 16]

- (i) Sensitization and awareness creation about the scheme amongst the FPOs/FPCs/SHGs/WSHGs.
- (ii) Assist the FPOs/FPCs/SHGs/WSHGs in conceptualizing projects and preparing comprehensive proposals/DPRs including business plan for onward submission to the Ministry of Food Processing Industries.
- (iii) Organizing capacity building workshops, training for BoDs and other key members of the Farmer Groups on entrepreneurship, business planning and management.
- (iv) Assist the identified Farmer Groups on meeting minimum compliance requirement as per scheme guidelines.
- (v) Assist the Farmer Group for sanction of term loan from Bank and to secure approval of financial assistance from MoFPI.
- (vi) Representing the interest of Farmer Groups along with their representatives in the Ministry.
- (vii) Handholding the approved proposals during implementation phase by providing all assistance relating to documentation for release of grant, liaison with the bank, securing various statutory approvals from central/state govt. authorities/agencies.
- (viii) Constant review and monitor the post implementation phase of the project till it achieves financial stability and commercial viability.
- (ix) Submission of quarterly progress report during implementation phase and also for three years during post implementation phase.
- (x) Developing market linkages for these FPO's by involving end users [Exporters, Processors, Retailers].
- (xi) Any other duty and responsibility assigned by the Ministry from time to time.

Mandate Form**ELECTRONIC CLEARING SERVICE (CREDIT CLEARING) /REAL TIME GROSS SETTLEMENT (RTGS) FACILITY FOR RECEIVING PAYMENTS****DETAILS OF ACCOUNT HOLDER:**

NAME OF ACCOUNT HOLDER	
COMPLETE CONTACT ADDRESS	
TELEPHONE NUMBER/FAX/EMAIL	

BANK ACCOUNT DETAILS:-

BANK NAME	
BRANCH NAME WITH COMPLETE ADDRESS TELEPHONE NUMBER AND EMAIL	
BRANCH'S IFSC CODE	
TYPE OF BANK ACCOUNT (SB/CURRENT/CASH CREDIT)	
COMPLETE BANK ACCOUNT NUMBER (LATEST)	
MICR CODE OF BANK	

DATE OF EFFECT:-

I hereby declare that the particulars given above are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information I would not hold the Ministry of Food Processing Industries responsible.

Date**Signature of Customer**

Certified that the particulars furnished above are correct as per our records.

(Signature and Seal of Bank)

(Note: Please attach a self-attested photocopy of cheque along with the verification obtained from the bank)

SURETY BOND

KNOW ALL MEN BY THESE PRESENTS that we, M/s _____, a _____ (Type of organization) incorporated / registered under the _____ (Name of the Act) and having its registered office at _____ (hereinafter called the "Obligors") are held fully and firmly bound to the President of India (hereinafter called the "Government") for the sum of Rs. _____ (Rupees _____ only) well and truly to be paid to the Government on demand and without a demur for which payment we firmly bind ourselves and our successors and assignees by these presents.

SIGNED on the _____ day of _____ in the year Two Thousand _____

WHEREAS on the Obligors' request, the Government as per Ministry of Food Processing Industries' Sanction Order No. _____ Dated _____ (hereinafter referred to as the "Letter of Sanction") which forms an integral part of these presents, and copy whereof is annexed hereto and marked as Annexure-I, agreed to make in favour of the Obligors grants-in-aids of Rs. _____ (Rupees _____ Only) for the purpose of _____, (description of the project) at _____, out of which the sum of Rs. _____ (Rupees _____ only) have been paid to the Obligors (the receipt of which the obligors do hereby admit and acknowledge) on condition of the Obligors executing a bond in the terms and manner contained hereinafter which the obligors have agreed to do.

NOW the conditions of the above written obligation is such that if the Obligors duly fulfill and comply with all the conditions mentioned in the letter of sanction, the above written Bond or obligation shall be void and of no effect. But otherwise, it shall remain in full force and virtue. The Obligors will abide by the terms and conditions of the grants-in-aid by the target dates, if any specified therein.

THAT the Obligors shall not divert the grants-in-aid and entrust execution of the Scheme or work concerned to another institution(s) or organization(s).

THAT the Obligors shall abide by any other conditions specified in this agreement and in the event of their failing to comply with the conditions or committing breach of the bond, the Obligors individually and jointly will be liable to refund to the President of India, the entire amount of the grants-in-aid with interest of 10% per annum thereon, if a part of the grants-in-aid is left unspent after the expiry of the period within which it is required to be spent, interest@10% per annum shall be charged up to the date of its refund to the Government, unless it is agreed to be carried over.

The obligors agree and undertake to surrender / pay the Government the monetary value of all such pecuniary or other benefits which it may receive or derive/ have received or derived through / upon unauthorized use of (such as letting out the premises on adequate or less than adequate consideration or use of the premises for any purpose other than that for which the grants-in-aid was intended of the property) buildings created/ acquired constructed largely from out of the grants-in-aid sanctioned by the Government of India, Ministry of Food Processing Industries or the administrative Head of the Department concerned. As regards

the monetary value aforementioned to be surrendered / paid to the Government, the decision of the Government will be final and binding on the Obligers.

AND THESE PRESENTS ALSO WITNESS THAT the decision of the Secretary to the Government of India in the Ministry of Food Processing Industries on the question whether there has been breach or violation of any of the terms or conditions mentioned in the sanction letter shall be final and binding upon the Obligers and

IN WITNESS WHEREOF these presents have been executed as under on behalf of the Obligers the day herein above written in pursuance of the Resolution No. _____ Dated _____ passed by the governing body of the Obligers, a copy of whereof is annexed hereto as Annexure-II and by _____ for and on behalf of the president on the date appearing below:-

Signature of AUTHORIZED SIGNATORY
SIGNED FOR AND ON BEHALF OF
(Name of the obliger in block letters)
(seal/ stamp) of Organization)

1. Signature of witness
Name & Address

2. Signature of witness
Name & Address

TO BE FILLED UP BY
THE MINISTRY OF FOOD PROCESSING INDUSTRIES (ACCEPTED)

For and on behalf of the President of India

Name: _____

Designation: _____

Dated: _____

Notary Seal &
Signature

**CA Certificate Format
(Letter Head of the CA)**

CA certificate (With membership No. and firm registration No. of CA) in the following format:-

iii. Project Cost: (Rs. in lakh)

Sl. No.	Name of the Component/Item	Cost approved by the Ministry	Actual expenditure incurred as on -----
1.	Land/development charges		
2.	Civil works — Technical civil works — Other civil works		
3.	Plant & Machinery		
4.	Misc. Fixed Assets		
5.	Others		
	TOTAL		

iv. Means of Finance: (Rs. in lakh)

Sl. No.	Item	Means of finance approved by the Ministry	Actual expenditure incurred as on -----
1	Promoter's Equity		
2	Term Loan		
3	Grant from MFPI		
4	Unsecured loan*		
5	Others		

*Details of unsecured loans along with PAN No. of lenders, if any, duly certified by CA.

Signature and Seal of C.A (Statutory Auditor in case of company)

Date: _____

(The certification by CA should be based on the verification of books of accounts, bills, invoices, work orders, bank statements, etc. related to the project.)

Counter signature of promoter/ authorized signatory of company with Seal

**CE Certificate (Civil) Format for Technical Civil Work:
(Letter Head of the CE)**

CE certificate (With membership/registration No. of CE) in the following format:

Name of Project:

Location with address:

Date of site Visit by Chartered Engineer:

Project Progress: (If project has multiple locations, the location wise details should be submitted in below format for each location)

Sl. No.	Name of Component	Proposed/ appraised Area (sqm)	Proposed/ appraised Cost (Lakh Rs)	Actual Area(sqm)	Actual Cost(Lakh Rs)	Rate/ Unit(Rs/Sqm)	Remarks about the status of implementation	Comments on quality, construction standards, market rates
	Total							

It is certified that the material/ components used in the Technical Civil Work are new.

Signature and Seal of C.E.

Counter signature of promoter/ authorized signatory of company with Seal

**CE Certificate (Mechanical) Format for Plant & Machinery:
(Letter Head of the CE)**

CE Certificate (With membership/registration No. of CE) in the following format:-

Name of project:

Location with address:

Date of Visit by Chartered Engineer:

Project Progress (If project has multiple locations, the location wise details should be submitted in below format for each location)

Sl. No.	Name of Component	Proposed/ appraised Quantity	Proposed/ appraised Cost (Lakh Rs)	Actual Quantity	Actual Cost (Lakh Rs)		Supplier/ Manufacturer	Status of implementation	Comments on quality, specifications, etc.
					Basic Cost	Taxes, Freight, installation, insurance			
	Component -1							Such as: •Ordered •Received at site •Installation in progress •Installed •Commissioned	
	Component -2								
	Component -3								
	TOTAL								

It is certified that all the plant and machinery for which grant has been approved are new.

Signature and Seal of C.E.

Counter signature of promoter/ authorized signatory of company with Seal

(Letter Head of the Bank)

Certificate

1. Certified that this bank has appraised the project of M/s.....(Name and Address of the project) for grant as per scheme guidelines of the Ministry of Food Processing Industries and also sanctioned term Loan of Rs.lakh.
2. It is further certified that we have released Rs.lakh (---% of sanctioned term loan) and Rs.....lakh (1st installment/ 2nd installment of grant-in-aid) to M/s (Name and Address of the project).
3. We have no objection in releasing 1st/ 2nd/ 3rd (delete whichever not applicable) installment of grant.

Signature with seal
(Name of authorised signatory)
(Branch Name)

Counter Signature of promoter/ Authorized
Signatory of company with seal

Statement of expenditure/ utilization of the funds released

Certified that Rs. _____ of grant-in-aid sanctioned by the Ministry of Food Processing Industries towards first/second instalment of grant in favour of _____ has been utilized for the purpose for which it was sanctioned. A statement of accounts showing the expenditure/utilization of funds released duly signed by the undersigned and counter signed by the Chartered Accountant is enclosed as per **Annexure VIII**

Signature of Promoter/ Authorized signatory of Company with seal _____

Date _____

Counter signature
of Chartered
Accountant with
CA Registration
No.

Statement of expenditure/ utilization of the funds released

Sl. No.	Name of Party	Components	Voucher /Bill no.	Date of Voucher/Bill	Basic Cost (only for P&M)	Taxes, freight, installations, insurance costs (for P&M)	Total Cost	Date of Payment as per bank statement	Mode of Payment

To be signed by
the Promoter and
Counter signed by
the CA.

Revised Guidelines
For
The Scheme of
Setting – up/Up-gradation of Food Testing
Laboratories
with effect from 01.01.2017

Government of India
Ministry of Food Processing Industries
Panchsheel Bhawan
August Kranti Marg
New Delhi - 110 049

Revised Guidelines for Grant-in-Aid for Setting-up/Up-gradation of Food Testing Laboratories w.e.f. 01.01.2017.

(1) Objectives:

Setting up / up-gradation of Food Testing Laboratories would benefit all stakeholders in ensuring safety and quality of food products. The objectives are:

- To analyse the samples received from food processing industry and other stakeholders.
- To reduce the time taken for analysis of samples by reducing transportation time of samples.
- To ensure compliance of domestic/international standards on food.
- To establish a surveillance system for monitoring the quality and composition of food.

(2) Pattern of Assistance:

- (i) Central/State Government and its organizations /universities (including Govt. owned deemed universities) are eligible for grant-in-aid of entire cost of laboratory equipment and 25% of the cost of technical civil work to house the equipment and furniture and fixtures associated with the equipment for general areas and 33% for difficult areas. In addition, they are also eligible for 80% of the monthly emoluments of two technical staff for two years from the date of completion of the laboratory i.e. on procurement and installation of all the equipment and completion of civil work of Food Testing Laboratory, provided this does not exceed the emoluments prescribed for Junior Research Fellow (JRF) under ICAR.

Note: In case of any dispute regarding issues related to service/emoluments of the staff to be employed, MoFPI will not be a party and this will be purely between the respective lab and the employed staff.

- (ii) All other implementing agencies/private sector organizations/ universities including deemed universities will be eligible for grant-in-aid of 50% of cost of laboratory equipment and 25% of the cost of technical civil work to house the Equipment and furniture and fixtures associated with the equipment for general areas and 70% of cost of lab equipment and 33% of technical civil work and furniture and fixtures for difficult areas.
- (iii) When the Ministry establishes / sponsors such food testing laboratories, there would be no ceiling to financial assistance and the amount to be approved will be decided on case to case basis with the approval of Competent Authority.

- (iv) The food testing facilities so created will be accessible to public and will be made available to the food processing units for testing their products.

Difficult areas include J&K, Himachal Pradesh, Uttarakhand, Sikkim, North-Eastern States, Andaman & Nicobar Islands, Lakshadweep and Integrated Tribal Development Project (ITDP) areas.

(3) Documents Required:

- (i) Application in the prescribed format as given in **Annexure- I** (Format available on website: <http://mofpi.nic.in>).
- (ii) Detailed Project Report clearly indicating the total project cost (with item-wise and cost - wise break-up), Means of Finance to meet the project cost, recurring expenditure, information on availability of land and building, qualified manpower available and proposed to be hired, implementation schedule, list of lab equipment available and proposed (their cost, purpose/parameters being tested/to be tested), Technical Civil Work (TCW) and the Furniture& Fixtures required etc.
- (iii) Sanction letter of term loan from bank / financial institution, if any.
- (iv) Certificate of incorporation/registration of the organization, Memorandum and Articles of Association and bye laws of the society (if applicable)/ partnership deed (notarized) etc.
- (v) Bio-data/background of the office bearers and promoters of the organization including details such as PAN/ Voter card / Aadhar card etc.
- (vi) Annual reports and Audited Statement of Accounts of last two years, in case of up gradation proposals with Service Tax Registration Number.
- (vii) Blue Print of the laboratory building Plan.
- (viii) For private organizations/universities, notarized copy of land document of owned land / building or rent / lease agreement with a validity period of minimum of 15 years, preferably with an extension clause (notarized English version, in case document is in regional language). For Government organizations/Universities, certificate regarding availability of land is required.
- (ix) Item wise and cost wise details of Technical Civil Work (TCW) proposed, duly certified by Chartered Engineer (Civil).

- (x) Item wise and cost wise details of lab equipment proposed duly supported by quotations and duly certified by Chartered Engineer (Mechanical). Each proposal with list of the commodities and equipment is to be given with parameters to be tested with equipment. In case of up-gradation of lab, list of existing lab equipment with complete details are also required to be furnished.
- (xi) ***A self-attested confirmation as per the following format (Annexure-II):***

“That the organization has not obtained/applied for or will not obtain any grant/subsidy from any Ministry/Department of Central Govt./Government organization/agencies and State Govt. for the same purpose/activity /same component.”
- (xii) ***A confirmation in the letter head of the organization/ Institute stating that the grant will be utilized for the purpose for which it is sanctioned (Annexure-III).***
- (xiii) Surety Bond (duly notarized) on non-judicial stamp paper of Rs.100/- by the applicants of private sector organizations, implementing agencies other than central/state government organizations/ universities. **(Annexure-IV).**
- (xiv) If the applicant is a Govt. organization / University / Public Sector institution and applies for assistance for 80% of cost of emoluments of two technical staff under the project, an undertaking on official letter head duly issued by the Head of the Department confirming that 20% of the monthly emolument of the technical staff to be employed under the project will be met by the applicant organization from its own resources.

(4) The Applicant Organization has also to confirm the following:

- (i) If the applicant is a Govt. organization / University / Public sector institution, the organization's share of expenditure is borne from their self-generated funds and not from other grants received from Govt. departments/bodies.
- (ii) The facility created out of financial assistance from MoFPI will be availed of by the food processing units for getting their products tested. The organization shall create awareness through wide publicity of such facility among the food processing units in and around the area.
- (iii) The gap in the means of finance between grant amount sought and approved by MoFPI shall be borne by the organization.
- (iv) The organization has adequate funds/ source of funds to meet recurring expenditure and maintain/upgrade testing facilities.

- (v) The organization has availability of qualified manpower available vis-à-vis the facility created or would recruit such manpower.
- (vi) *The organization would implement the schedule of the proposed laboratory within a period of 18 months from the date of issue of approval letter.*
- (vii) *The documents for claiming the 1st installment of Grant-in-Aid will be submitted within a time period of 8 months after issue of approval letter, failing which, the approval granted will automatically stand cancelled.*
- (viii) *The documents for claiming the 2nd installment of Grant-in-Aid will be submitted within a time period of 14 months after issue of approval letter.*
- (ix) The time period by which NABL accreditation would be obtained for the parameters to be tested after setting up/up-gradation of lab with MFPI assistance. For proposals pertaining to up-gradation of an existing laboratory, it has to be confirmed that NABL accreditation has been obtained for existing parameters being tested.
- (x) *The confirmation that the laboratory will strive to obtain Food Safety and Standards Authority (FSSAI) recognition / notification for carrying out the analysis of food samples under Section 45 of FSS Act, 2006.*

(5) Procedure for Approval and release of grant:

- (a) Proposals for financial assistance for setting up / up-gradation of Food Testing Laboratories will be received by **Director / Deputy Secretary, Ministry of Food Processing Industries, Panchsheel Bhavan, August Kranti Marg, New Delhi – 49.**
- (b) All proposals received for financial assistance will be placed before Techno Scrutiny Committee (TSC) constituted by **MoFPI** for examining such proposals from technical angle. Applicant organizations will make presentations before the TSC. The organizations will have to furnish information / documents as sought by the TSC.
- (c) Thereafter, the proposals recommended by TSC and complete in all respects will be placed before Project Approval Committee (PAC) constituted by **MoFPI** for consideration and approval.

(d) The following schedule will be adopted for release of grant assistance for Central/State Government and its organizations /universities (including Govt. owned deemed universities):-

- (i) 1st installment of 40% of the total grant will be released after receiving requisite documents / confirmations prescribed in para 3 and 4 above. ***The organization shall submit the documents along with the request for 1st Installment within 8 months from the date of issue of the approval letter.***
- (ii) 2nd installment of 40% of the total grant will be released only after ensuring full utilization of 1st installment of grant towards purchase of lab equipment, expenditure on Technical Civil Work (TCW) and fixing of Furniture & Fixtures for housing the equipment, as the case may be. ***The organization shall submit the documents along with the request for 2nd Installment within 14 months from the date of issue of the approval letter.***
- (iii) 3rd installment of 20% of the total grant will be released only after ensuring full utilization of 2nd installment of grant towards purchase of lab equipment, completion of Technical Civil Works (TCW) and fixing of Furniture & Fixtures for housing the equipment, as the case may be.
- (iv) The emoluments at the rate of 80 percent for the two technical staff for 2 years will be released as 4th and final installment after all the PAC approved equipment has been purchased, installed and the organisation has submitted the utilization certificate for 3rd installment along with the status of NABL accreditation.

(Note: 2nd and 3rd installment would be released on submission of utilization certificate (**Annexure -V**) and certificate from Competent Authority relating to the expenditure incurred at each stage along with detailed statement of expenditure as per format at **Annexure-VII, along with copies of invoices, receipts, delivery challans etc.**)

(e) The following schedule will be adopted for release of grant assistance for all other implementing agencies/private sector organizations/ universities including deemed universities:-

- (i) 1st installment of 40% of the total grant will be released after ensuring that 40% of the promoter's contribution and 40% of the term loan has been spent on the project. ***The promoter shall submit the documents along with the request for 1st Installment within 8 months from the date of issue of the approval letter.***

- (ii) 2nd installment of another 40% of the total grant will be released after ensuring utilization of first installment of grant and that 80% of promoter's contribution and 80% of term loan have been spent on the project. Utilization certificate (**Annexure-V**) of the first installment shall be submitted by the promoter at the time of making claim for the second installment. ***The promoter shall submit the documents along with the request for 2nd Installment within 14 months from the date of issue of the approval letter.***
- (iii) 3rd and final installment of remaining 20% of the grant will be released after ensuring that the second installment has been utilized fully and 100% of promoter's contribution and 100% of term loan has been spent in the project. It will be ensured that all the equipment that are approved by PAC have been procured, the project has achieved completion and commercial operation has started. Utilization Certificate (**Annexure-V**) of the second installment alongwith the status of NABL Accreditation shall be submitted by the promoter at the time of making claim for the 3rd and final installment.

(Note: 1st, 2nd and 3rd installment would be released on submission of certificates from Chartered Accountant relating to the expenditure incurred at each stage along with detailed statement of expenditure as per format at **Annexure-VII**, along with copies of invoices, receipts, delivery challans etc.)

- (f) ***The implementation schedule for the project would be 18 months as detailed below from the date of issue of approval letter, unless extended by Project Approval Committee (PAC) for reasons to be recorded:***

Sl.No	Particulars	Time Period
1	Date of issue of approval letter to 1 st installment	8 months
2	1 st installment to release of 2 nd installment	6 months
3	2 nd installment to release of 3 rd installment	4 months
	Total	18 months

The applicant organisation / promoter(s) shall make all possible efforts to complete the project as per the stipulated timelines. In case of non-adherence to stipulated timelines, except in case of force de majeure or reasons beyond the control of applicant organisation / promoter(s), the PAC may consider imposing appropriate penalty in terms of reducing the grant, on case to case basis.

- (g) The laboratory assisted under the scheme will submit the information in the prescribed format regarding procurement and installation of all the equipment and

completion of civil work of Food Testing Laboratory [**Annexure-VI(a)(b)(c)**]. This must be submitted along with the claim for release of 3rd installment (in case of private organization) and claim for emoluments of technical personnel (in case of government organization).

- (h) *Inspection to verify the progress before release of the final installment of grant may be carried out. Format for inspection report is at Annexure-VIII.*
- (i) Invariably, all the documents to be submitted at each step shall be countersigned by the applicant.

Note: The organization submitting the application as per above guidelines may ensure that the details/ documents are as per checklist (**Annexure-IX**).

Annexure-I**Application Form for Setting up/ up-gradation of Food Testing Laboratory**

S.No	Particulars	Details
1.	Name and Address of promoter(s) including Telephone, fax, email, Name of the laboratory with contact details etc.	
2.	Type of Organization like Government, Private, Industry Association, Public sector, Co-operative etc.	
3.	Background of the organization	
4.	Objectives of the Laboratory	
5.	In case of up-gradation of existing lab, details of lab equipment available and their utilization with products and parameters being tested.	
6.	In case of up-gradation of existing lab performance of the last three years indicating type of food products tested, parameters, with number of samples tested, revenue earned and any other relevant information.	
7.	Justification for the proposed equipment with reference to products and parameters to be tested as per Appendix-A	

8.	Number of Food Processing Industries situated in the region/ nearby area and other potential users who may avail testing facilities. Attach list of giving names & address of units along with their products.	
9.	<p>Total Project cost :</p> <p>a. Land- not eligible for grant</p> <p>b. Building</p> <p>(i) Technical civil work which includes only the constructed area required for housing the lab equipment, storage of samples/ chemicals/ consumables.</p> <p>(ii) Non-technical civil work such as office area, library, roads, boundary wall, canteen, guest house etc.</p> <p>c. Laboratory Equipment</p> <p>Indigenous</p> <p>Imported</p> <p>d. Recurring Expenditure</p> <p>(i) Consumables</p> <p>(ii) Salaries & Wages</p> <p>(iii) Any other expenses</p> <p>Furniture & Fixtures</p> <p>Any other items</p> <p style="text-align: center;">Total</p>	
10.	<p>Means of Finance</p> <p>(a) Promoters Contribution</p> <p>(b) Grant from MFPI</p> <p>(c) Term Loan from bank</p> <p>(d) Any other Source (please Specify)</p> <p><i>*Unsecured loans will not be considered</i></p> <p>Total</p>	

11.	Details of Equipment proposed to be installed in the laboratory indicating specifications, make, quantity, cost (Please furnish technical literature and quotations for each proposed equipment)	
12.	Total no. of manpower available and to be employed (with their qualifications and experience)	
13.	Implementation Schedule- Bar chart/ Mile Stone Chart	
14.	Recurring expenditure & how this will be met. Cash flow for the next five years	
15.	Details of NABL accreditation for existing parameters being tested (In case of up-gradation). In case of setting up of laboratory, time frame by which the NABL accreditation will be obtained may be furnished.	
16.	Any other relevant details	

Encl: List of documents attached

Signature

**Name and Designation
Seal of the Organization**

Annexure II**Undertaking****(Rule 209(1) of GFR 2005)**

(As undertaking on Official Letter Head)

ISon of ..., aged years, working asofhereby affirm and declare as under-:

1. That the organization has not obtained/applied for /will not obtain any grant/subsidy from any Ministry/Department of Central Govt / Govt organization/Agencies and State Government for the same purpose / activity / same component.

Place :

Signature of the Authorized Signatory

Date :

Name of the Institution

Annexure III**UNDERTAKING**

I,, aged, resident of do hereby solemnly affirm that the grant will be utilized for the purpose it is sanctioned.

Hence this undertaking

Place :

Signature of the Authorized Signatory

Date :

Name of the Institution

Annexure IV**(To be prepared on Non-Judicial Stamp paper of Rs. 100/-)****SURETY BOND**

KNOW ALL MEN BY THESE PRESENTS that we, _____ M/s
 _____, a
 _____(Type of organization) incorporated / registered
 under the _____
 _____(Name of the Act) and having its registered
 office at _____
 _____ (hereinafter called the “Obligors”) are
 held fully and firmly bound to the President of India (hereinafter called the
 “Government”) for the sum of Rs. _____
 (Rupees _____ only) well and truly to be paid to
 the Government on demand and without a demur for which payment we firmly bind
 ourselves and our successors and assignees by these presents.

SIGNED on the _____ day of _____ in
 the year Two Thousand _____.

WHEREAS on the Obligors’ request, the Government as per Ministry of Food
 Processing Industries’ Sanction Order No. _____ Dated _____

_____ (hereinafter referred to as the “Letter of Sanction”) which forms an integral part of
 these presents, and a copy whereof is annexed hereto and marked as Annexure-I,
 agreed to make in favour of _____ the Obligors grants-in-aids of
 Rs. _____ (Rupees

_____ only) for the purpose of
 _____(description of the project) at

_____ out of which the sum of Rs. _____ (Rupees _____ only)
 have been paid to the Obligors (the receipt of which the Obligors do hereby admit and
 acknowledge) on condition of the Obligors executing a bond in the terms and manner
 contained hereinafter which the Obligors have agreed to do.

NOW the conditions of the above written obligation is such that if the Obligors duly
 fulfill and comply with all the conditions mentioned in the letter of sanction, the above
 written Bond or obligation shall be void and of no effect. But otherwise, it shall remain
 in full force and virtue. The Obligors will abide by the terms & conditions of the
 grants-in-aid by the target dates, if any specified therein.

THAT the Obligers shall not divert the grants-in-aids and entrust execution of the Scheme or work concerned to another institution(s) or organization(s).

THAT the Obligers shall abide by any other conditions specified in this agreement and in the event of their failing to comply with the conditions or committing breach of the bond, the Obligers individually and jointly will be liable to refund to the President of India, the entire amount of the grant-in-aid with interest of 10% per annum thereon. If a part of the grant-in-aid is left unspent after the expiry of the period within which it is required to be spent, interest @10% per annum shall be charged upto the date of its refund to the Government, unless it is agreed to be carried over.

The Obligers agree and undertake to surrender / pay the Government the monetary value of all such pecuniary or other benefits which it may receive or derive / have received or derived through / upon unauthorized use of (such as letting out the premises on adequate or less than adequate consideration or use of the premises for any purpose other than that for which the grant-in-aid was intended of the property) buildings created/ acquired/constructed largely from out of the grants-in-aid sanctioned by the Government of India, Ministry of Food Processing Industries or the administrative Head of the Department concerned. As regards the monetary value aforementioned to be surrendered / paid to the Government, the decision of the Government will be final and binding on the Obligers.

AND THESE PRESENTS ALSO WITNESS THAT the decision of the Secretary to the Government of India in the Ministry of Food Processing Industries on the question whether there has been breach or violation of any of the terms or conditions mentioned in the sanction letter shall be final and binding upon the Obligers and

IN WITNESS WHEREOF these presents have been executed as under on behalf of the Obligers the day herein above written in pursuance of the Resolution No. _____ Dated _____ passed by the governing body of the Obligers, a copy whereof is annexed hereto as Annexure-II and by _____ for and on behalf of the president on the date appearing below:-

Signature of the AUTHORISED SIGNATORY
Signed for and on behalf of
(Name of the Obliger in block letters)
(Seal / Stamp of Organization)

1. Signature of witness

Name & Address

2. Signature of witness

Name & Address

**TO BE FILLED UP BY THE MINISTRY OF FOOD PROCESSING
INDUSTRIES**

(ACCEPTED)

For and on behalf of the President of India

Name: _____

Designation: _____

Dated: _____



PROFORMA OF UTILIZATION CERTIFICATE AS PER GFR 19-A**[Rule 212 (1)]**

S. No.	Letter No. & Date	Amount

Certified that out of Rs. _____ of grant-in-aid sanctioned during the year _____ in favour of _____

—
under this Ministry/ Department letter No. given in the margin and Rs. _____ on account of unspent balance of the previous year, a sum of Rs.

_____ has been utilized for the purpose of _____ for which it was sanctioned, that the balance of Rs. _____ remaining un-utilized at the end of the year _____ has been surrendered to Government (vide No. _____ dated _____) will be adjusted towards the grants-in-aid payable during the next year _____.

2. Certified that I have satisfied myself that conditions on which the grant-in-aid was sanctioned have been dully fulfilled/ are being fulfilled and that I have exercised the following checks to see that the money was actually utilized for the purpose for which it was sanctioned.

Kinds of checks exercised.

- 1.
- 2.
- 3.

Signature (*CA) _____

Designation _____

Date _____

Counter signature of applicant with Seal

Counter signature of Branch Manager with Seal

* Competent Authority / comptroller of Accounts in case of Government organization/institution/universities.

ANNEXURE-VI(a)**DETAILS OF PROCUREMENT AND INSTALLATION OF ALL THE EQUIPMENT, FURNITURE & FIXTURE AND COMPLETION OF CIVIL WORK BY UTILIZATION OF GRANT-IN-AID AS RELEASED BY MoFPI.**

(Rs. in Lakh)				
Head of Expenditure	Proposed Cost	Eligible Grant	MoFPI approved Grant	Promoters Contribution
Equipment				
Technical Civil Works				
Non-Technical Civil Works				
Furniture & Fixture				
Total				

Signature with Seal of the authorized person(s)
of the grantee organization

Counter-signed by Chartered Engineer (Civil.)

ANNEXURE-VI(b)**DETAILS OF EQUIPMENT PURCHASED AND INSTALLED UNDER GRANT-IN-AID
RELEASED BY MINISTRY OF FOOD PROCESSING INDUSTRIES IN THE FOOD
TESTING LABORATORY.**

Sl. No.	Name of the PAC approved equipment	Price in US \$/EURO, etc. + Custom Duty/Service Tax, etc. (if applicable). (In the case of imported equipment)	Exchange Rate as on (Date)	Price/Value in Rupees VAT/Service Tax etc., (if applicable)	Make / Model	Date of Purchase as per invoices	Date of installation of the equipment in the laboratory	Purpose of the equipment	Whether functional or not	Amount utilized out of grant-in-aid released by MoFPI for purchase of equipment
1.	2.	3.	4.	5.	6.	7.	8.	9.	10.	11.

Signature with Seal of the authorized person(s)
of the grantee organization

Counter-signed by Chartered Engineer (Mech.)

ANNEXURE-VI(c)**DETAILS OF TECHNICAL CIVIL WORK AND FURNITURE AND FIXTURE PURCHASED/DONE IN THE FOOD TESTING LABORATORY UNDER GRANT-IN-AID RELEASED BY MINISTRY OF FOOD PROCESSING INDUSTRIES.**

Sl. No.	Name of the TCW and Furniture & Fixture as approved by PAC	Purpose	Whether completed/ installed or not	Expenditure incurred	Amount utilized out of grant-in-aid released by MFPI
1.	2.	3.	4.	5.	6.

Signature with Seal of the authorized person(s)
of the grantee organization

Counter-signed by Chartered Engineer (Civil.)

Annexure.VII

CA Certificate/Statement of Expenditure (With membership No. of CA) in the following format:

					Rs. in Lakh
S. No.	Name of the Component	Proposed Project Cost	Eligible Cost considered by MoFPI for calculation of Grant-in-aid	Grant Approved	Actual /Expenditure Incurred as on date
1	Equipment				
2	Technical Civil Work				
3	Furniture & Fixtures				
4	Recurring Cost				
5	Other Expenditure (Please specify)				
Total					

Means of Finance:

					Rs. in Lakh
Sr. No.	Name of the component / Item	Proposed Means of Finance	Approved Means of Finance	Actual Expenditure as on date	Remark
1.	Promoters equity				
2.	Grant from MoFPI				
3.	Bank loan				
4.	Total				

Signature and Seal of C.A.*

Counter Signature by the Applicant with Seal

Counter Signature of Bank Branch Manager with seal (in case of bank loan).

Competent Authority / comptroller of Accounts in case of Government organization/institution/universities.

*

FORMAT FOR INSPECTION OF FOOD TESTING LABORATORIES
ASSISTED BY MFPI

1. Name & Address of food testing laboratory (along with Tel./Fax/E-mail):
2. Name & designation of officer-in-charge:
3. Status of the laboratory i.e. Govt./Private/Autonomous/:
 (Mention the administrative authority under which it operates)
4. Status of Building infrastructure for housing the laboratory:
 - a. Technical civil works
 - b. Non-technical civil works
5. (a) List of Instruments/Equipment as approved by PAC, their cost, the details of purchase/installation, make/specification, function, accuracy (qualitative/quantitative) supported with a copy of invoice. The details pertaining to deviation from PAC approval (if any) in respect of equipment cost should be clearly indicated.
 (b) List of TCW approved by PAC with cost and against that TCW Carried out with cost, bringing out deviation, if any.
 (c) Furniture & Fixtures (F&F): list of items approved by PAC with cost and against that F&F carried out with cost, bringing out deviation, if any.
6. List of scientists and technical staff with their qualifications and experience, staff structure and management.
7. Services provided / to be provided by the lab (such as analytical, training, certification etc.)
8. Available Analytical facilities:

Food quality parameters & Food Safety parameters in the following format

S.No	Test Parameters	Yes/No
1.	Physical Characteristics	
2.	Chemical Analysis (a) Proximate Analysis (b) Metal contaminants (c) Water analysis (d) Residue (Pesticides, Veterinary drugs, antibiotics etc.,)	

S.No	Test Parameters	Yes/No
	(e) Adulterants (f) Food Additives (Sweetners, flavouring material, colouring matter etc.,) (g) Fatty acid & amino acid profile (h) Vitamins (i) Allergens	
3.	Microbiological Analysis (a) Toxins (Aflatoxin, mycotoxins etc.,) (b) Pathogens (c) TPC, Y & M, Coliform, E.Coli	
4.	Genetically modified components	
5.	Any other	

9. Brief description of participation in proficiency testing programme, if participated:
10. Performance of the lab for the last three years (if applicable):
 - No. of samples tested year wise (indicating parameters):
 - No. of clients served year wise
 - Total revenue earned
11. Whether laboratory has specified rates for testing of the products. If so, details thereof. If not, reasons therefor.
12. Are all standard test methods available in the laboratory?
13. Are all standard reference materials available in the laboratory?
14. In case of existing lab, status of NABL accreditation. If not, steps taken in this regard.
15. Details of manpower employed for the project.
6. Details of Annual Maintenance Contract (AMC).
7. Whether commercial operation has started and the date thereof.
8. Recommendations of inspection team clearly indicating installation & functioning of lab equipment, status of building for housing the lab and the date of start of commercial operation.

(Signature, Name and designation of members of inspection team)

* Supporting documents are required to be enclosed with inspection report.

Annexure-IX**Check list for the Scheme of Setting –up/ Up gradation of food testing laboratories**

1	Application in the MFPI prescribed format
2	Total project cost (item-wise and cost – wise break-up)
3	Means of finance to meet the project cost
4	Details of recurring expenditure,
5	Availability of land and building,
6	Details of existing /required qualified manpower
7	Implementation schedule
8	List of lab equipment duly supported by attested quotations with their specifications, cost, purpose/parameters along with the certificate by C.E (Mechanical).
9	Sanction letter of term loan from bank / financial institution
10	Certificate of incorporation/registration of the organization
11	Memorandum and Articles of Association and Bye laws of the Society
12	Bio-data/background of the office bearers/promoters of the organization
13	Annual Reports and Audited Statement of Accounts of last two years
14	Blue Print of the laboratory building Plan
15	Notarized land document of owned land/ building or rent/ lease agreement with a validity period minimum 15 years (notarized English version if the land document is in regional language).
16	Item wise and cost wise details of technical civil work envisaged duly certified by Chartered Engineer (Civil)
17	List of existing lab equipment with complete details along with products and parameters being tested
18	<i>An undertaking as per Annexure – II duly signed.</i>
19	<i>An undertaking as per Annexure –III , duly signed.</i>
20	Status of NABL accreditation

Appendix-A

Details of the proposed equipment with reference to products and parameters to be tested

Sl.No	Name of the equipment	Specification(s)	Quantity	Cost in Foreign currency(in case of Import)	Cost in Rupees	Purpose	Products to be tested	Parameters to be tested

**Revised Guidelines
For

The Scheme of
Implementation of HACCP/ ISO 22000/
ISO 9000/ GHP/ GMP/ Quality Safety
Management Systems

during 12th Plan Period
(with effect from 01.04.2014)**

**Government of India
Ministry of Food Processing Industries
Panchsheel Bhawan
August Kranti Marg
New Delhi-110 049**

MFPI/HACCP/1/2013

Dated:03.03.2014

Government of India
Ministry of Food Processing Industries
Panchsheel Bhawan, August Kranti Marg,
New Delhi-110049

Revised Guidelines for Grant-in-Aid to Food Processing Units for implementation of HACCP/ISO 22000, ISO 9000/ GHP /GMP Quality/ Safety Management System for the 12th Five Year Plan (w.e.f. 01.04.2014).

1. About the scheme:

Objectives:

- To motivate the food processing industry for adoption of food safety and quality assurance mechanisms such as TQM including *ISO 9000*, ISO 22000, HACCP, GMP, GHP.
 - To enable adherence to stringent quality and hygiene norms and thereby protect consumer health.
 - To prepare industry to face global competition in post WTO Regime.
 - To enhance product acceptance by overseas buyers.
 - To keep Indian industry technologically abreast of international best practices.
- 2.** Proposals for financial assistance for Total Quality Management System (TQM) have to be submitted directly to the Ministry of Food Processing Industries for implementation of *ISO 9000*, ISO 22000, Hazard Analysis Critical Control Point (HACCP), Good Manufacturing Practices (GMP) and Good Hygienic Practices (GHP) Certification.
- 3.** The grant would be reimbursement of expenditure incurred on acquiring *ISO 9000*, ISO 22000, HACCP, GMP and GHP Certification. *For consideration of grant, preference would be given to proposals for units processing perishable items like, fruits, vegetables, milk, meat, poultry, etc.*
- 4.** The reimbursement of expenditure will be released by the Ministry in one instalment after obtaining necessary certification and submission of requisite documents.

4 (a) Pattern of Assistance:

All Implementing Agencies i.e. Central/ State Govt. Organisations, IITs, Universities and Private Sector will be eligible for reimbursement of 50% of cost of consultant fee, fee

charged by certification agency, plant and machinery, technical civil works(TCW) and other expenditure towards implementation of Total Quality Management System including **ISO 9000**, ISO22000, HACCP, GMP and GHP in general areas subject to maximum limit of Rs. 17 lakh and 75% in difficult areas subject to a maximum of Rs. 22 lakh. Difficult areas include J&K, Himachal Pradesh, Uttarakhand, Sikkim, North-Eastern States, Andaman & Nicobar Islands, Lakshadweep, Integrated Tribal Development Project (ITDP) Areas of States.

4 (b) Eligibility Criteria

- Central/ State Govt. Organisations, IITs, Universities and Private Sector will be eligible for reimbursement of expenditure towards implementation of Total Quality Management.
- The scheme provides one time reimbursement only against an Industrial Entrepreneur Memoranda (IEM)/ Permanent SSI Registration/ Industrial License and FSSAI Licence.
- The applicant should not have obtained/applied for grant/subsidy from any Ministry/Department of Central Govt./GOI organization/agencies and State Govt. for purpose of adoption of Total Quality Management System.
- Application is to be submitted in the prescribed format along with documents required.
- **Expenditure incurred on the project for Total Quality Management System after the date of receipt of application/proposal by this Ministry for grant-in-aid will be considered for re-imbursement.**

5. Documents Required:

- 5.1 Application in the MFPI prescribed format (Annexure-I). Application Format is also available on MFPI website: www.mofpi.nic.in
- 5.2 Detailed Project Report indicating promoters of the organisation along with the activities/background of the firm, products being manufactured, existing/ future market, list of existing plant and machinery along with Process Flow Chart, total Annual Turnover etc.
- 5.3 Income Tax Returns of the proprietor/organisation for previous three years.
- 5.4 A copy of permanent SSI Registration or Industrial Entrepreneur Memoranda (IEM) or Industrial Licence, whichever is applicable.
- 5.5 *A copy of FSSAI Licence issued to the applicant organisation (if applied but licence is yet to be issued then a copy of application/acknowledgement)*

- 5.6 Bio-Data/Experience and Quotation of consultant.
- 5.7 The consultant for implementing **ISO 9000/ ISO 22000/ HACCP/GMP/GHP** should be registered either with National Accreditation Board for Education & Training (NABET) or National Board for Quality Promotion(NBQP) of the Quality Council of India or any other Central Government Body like Bureau of Indian Standards (BIS), Agricultural & Processed Food Products Exports Development Authority (APEDA) etc.
- 5.8 Quotation from Certification Body along with the details of the Certification Body.
- 5.9 Confirmation that Certification Agency is accredited by the Quality Council of India/ **National Accreditation for Certification Bodies (NABCB)** or Food Safety & Standards Authority of India (FSSAI), as applicable.
- 5.10 Details of proposed Plant & Machinery (Item-wise & Cost-wise) as per Gap Study Report along with quotations duly certified by approved Chartered Engineer (Mech.) and relevance to HACCP/ISO 22000, **ISO 9000/GHP/GMP** with full justification in support of cost claimed. ***The consultant is also required to certify the requirement and counter sign the cost of Plant & Machinery.***
- 5.11 Complete details of Technical Civil Works as per Gap Study Report indicating item-wise/cost-wise break up and their relevance to implementation of Total Quality Management System with justification duly certified by approved Chartered Engineer (Civil). ***The consultant is also required to countersign the cost of Civil Works.***
- 5.12 ***Gap Study Report in the attached format with justification wherever modification of infrastructure & machinery is suggested (Annexure-II)***
- 5.13 An affidavit duly executed on non-judicial stamp paper of Rs. 10/- or more duly notarized as per **Annexure-III**.
- 5.14 Detailed implementation schedule for implementation of the HACCP/ISO 9000, ISO 22000/GMP/GHP system.
- 5.15 Date of commencement of commercial production.
- 5.16 The applicant organisation is required to give an undertaking that the training of their employees on implementation of **ISO 9000/ISO 22000/HACCP/GMP/GHP** will be obtained from the consultant.

6. **Grant of 'In-Principle' Approval**

The application received in the Ministry in the prescribed format will be examined and in case of complete proposals with all relevant documents/ information, the letter for 'In-Principle' approval with a validity period of twelve months will be issued with the approval of competent authority to the applicant organisation.

7. Procedure for reimbursement of expenditure

7.1. The applicant organisation is required to submit the following documents to the Ministry of Food Processing Industries requesting for reimbursement of expenditure incurred on Implementation of Total Quality Management System including **ISO 9000**, ISO22000, HACCP, GMP and GMP:-

- (i) Copy of 'In-Principle' approval letter and /or extension letter issued by the Ministry.
- (ii) Surety Bond in the prescribed format (**Annexure-IV**).
- (iii) Self-verified list of equipment purchased along with copy of invoices/bills.
- (iv) Detailed Process Flow Chart.
- (v) Latest C.A. certificate of actual expenditure incurred on the project with corresponding sources of finance (*also countersigned by the consultant*) as per following format:-

(a) Project Cost:

(Rs. in lakhs)

Head of Cost	Proposed	Approved	Actual cost as on.....
Consultant Fee			
Fee charged by Certification Agency			
Plant & Machinery			
Technical Civil Works			
Other Expenditure			
Total			

(b) Means of Finance

Rs. in Lakhs)

	Proposed	Approved	Actual as on.....
Promoters Capital			
Bank Term Loan			
Grant from MFPI			
Unsecured Loan			
Others			
Total			

- (vi) Copies of invoices of Consultant fee, fee charged by Certification Agency, Technical Civil Works and Other expenditure.
- (vii) Benefits accrued to the Organisation on implementation of Total Quality Management System.

- 7.2** The requisite documents/information duly certified by the Promoter/Director/ Partner in case of Private Bodies and through the Director or Head of the Institution in case of Govt. Institutions shall be submitted directly to the Ministry. After satisfactory scrutiny of the documents/information thereof the MFPI will reimburse the expenses to the implementation agency in terms of the approved scheme through Designated Bank.
- 7.3.** An evaluation may be conducted by MFPI at the end of the year by an independent agency on the implementation of the scheme.

Application for seeking assistance of MOFPI for implementation of Total Quality Management System (TQM) including ISO 9000, ISO 22000, HACCP, GHP & GMPetc.

(Rs. in lakhs)

S. No.	Particulars	Details
A	Organisation/Promoter	
1.	Name & Address (Telephone, Fax, E-mail	
2.	Background/Experience	
3.	Financial Status:- i) Audited Profit & Loss Account & Balance Sheet for the last three years ii) Turnover during the last three years iii) Banker's Name and Address	
4.	Existing activities	
5.	Name of the Products/By-products including brand name(specification & use)	
6.	Process of manufacture (with Flow Chart)	
7.	Processing technology being used:- (indigenous/imported)	
8.	List of existing Plant & Machinery and Quality Control facilities with cost.	
9.	Capacity of installed Plant & Manufacturing Unit (per day/per year)	
10.	Capacity utilisation in last completed year (figures in %)	
B	Project Description	
1.	Name of the Project: (Implementation of HACCP, ISO 9000, ISO 22000, GMP, GHP)	
2.	Location/ Area of the Manufacturing Unit (Full Address & Telephone No. & E-mail etc.)	
3.	Details of Industrial Entrepreneur Memoranda (IEM)/ SSI Registration /Industrial License(IL):- i) IEM/SSI Registration/IL No. ii) Date of Issue iii) Issuing Authority iv) FSSAI Licence No. or acknowledgement (Enclose an attested copy)	
4.	Gap Study Report as per Annexure-II	
C	Project Cost	(Rs. in lakh)
a)	Consultant Fee	
b)	Fee charged by Certifying Agency	
c)	Pre-operative Expenses	
d)	Technical Civil Works (if any) with reference to GAP Study Report	
e)	Plant & Machinery with reference to GAP Analysis Report (This includes equipment required for up gradation of Hygiene, Quality Control testing facilities such as in-house Food Testing Laboratory etc.)	

f)	Any other expenses as per the requirement of GMP, GHP, ISO 9000, ISO 22000, HACCP etc.			
	Total			
D	Means of Finance		(Rs. in Lakh)	
a)	Equity(Promoter/Foreign/Other)			
b)	Loan(Term/Unsecured/Working Capital			
c)	Fund requirement from Ministry(MFPI)			
d)	Others			
	Total			
E	Marketing			
a)	Size of existing Market in terms of cost benefit ratio			
b)	Increase in Future Demand(Expected size of market in the first year after implementation of food safety/quality management systems)			
F	Implementation Schedule			
	i) Items of Work ii) Date of Implementation (Bar charts/Milestone charts may be enclosed)			
G	Details and Experience of the Consultant, if any			
H	Details and Experience of Certifying Body			
I	Details of Accreditation Body:			
J	Assistance already availed from MFPI (Give name of Scheme) i) ii)	Component/Activity for which assistance was taken Activity for which assistance was taken	Amount	Year
K	List of Enclosures			

Place:

Date:

Authorised Signatory

Name (Block letters)

Designation

(With Special Seal of Organisation/Individual)

List of documents attached

**MFPI Scheme – Implementation of HACCP / ISO 22000, ISO 14000 / GHP/ GMP Quality
/ Safety Management Systems during the 11th Plan Period**

**Gap Study Checklist for Hygienic Conditions based on Codex Recommended Code of
Practice/General Principles of Food Hygiene (CAC/RCP 1-1969, Rev. 4-2003)**

Company Details		
Name: (Including site name);		
Address:		
State:		Post Code
Tel. No.		FAX
Company Representative		Email address:

Products Details			
Products Manufactured			
Key Process Steps (Attach copy of process flow for each product and of layout of food production facility)			
Key Operations (Automated)			
Key Operations (Manual)			
Processing Technology			
Primary Packaging			
Storage conditions for finished products			
Best Before period declared on finished product			
Number of production lines			
Production facility utilization (All through the year / few months of the year)			

REQUIREMENTS		CURRENT STATUS	IMPROVEMENT MEASURE PLANNED TO BE TAKEN	JUSTIFICATION FOR IMPROVEMENT MEASURE
SECTION –IV- ESTABLISHMENT: DESIGN AND FACILITIES				
4.1	LOCATION			
4.1.1	Establishments			
	Establishments should not be located anywhere where, after considering such protective measures, it is clear that there will remain a threat to food safety or suitability. In particular, establishments should normally be located away from:			
	• environmentally polluted areas and industrial activities which pose a serious threat of contaminating food;			
	• areas subject to flooding unless sufficient safeguards are provided;			
	• areas prone to infestations of pests;			
	• areas where wastes, either solid or liquid, cannot be removed effectively.			
4.1.2	Equipment			
	Equipment should be located so that it:			
	• permits adequate maintenance and cleaning;			
	• functions in accordance with its intended use; and			
	• facilitates good hygiene practices, including monitoring.			
4.2	PREMISES AND ROOMS			
4.2.1	Design and layout			
	Where appropriate, the internal design and layout of food establishments should permit good food hygiene practices, including protection against cross-contamination between and during operations by foodstuffs.			
4.2.2	Internal structures and fittings			
	Structures within food establishments should be soundly built of durable materials and be easy to maintain, clean and where appropriate, able to be disinfected.			

	In particular the following specific conditions should be satisfied where necessary to protect the safety and suitability of food:-				
	<ul style="list-style-type: none"> the surfaces of walls, partitions and floors should be made of impervious materials with no toxic effect in intended use; 				
	<ul style="list-style-type: none"> walls and partitions should have a smooth surface up to a height appropriate to the operation; 				
	<ul style="list-style-type: none"> floors should be constructed to allow adequate drainage and cleaning; 				
	<ul style="list-style-type: none"> ceilings and overhead fixtures should be constructed and finished to minimize the buildup of dirt and condensation, and the shedding of particles; 				
	<ul style="list-style-type: none"> Windows should be easy to clean, be constructed to minimize the buildup of dirt and where necessary, be fitted with removable and cleanable insect-proof screens. Where necessary, windows should be fixed; 				
	<ul style="list-style-type: none"> doors should have smooth, non-absorbent surfaces, and be easy to clean and, where necessary, disinfect; 				
	<ul style="list-style-type: none"> Working surfaces that come into direct contact with food should be in sound condition, durable and easy to clean, maintain and disinfect. They should be made of smooth, non-absorbent materials, and inert to the food, to detergents and disinfectants under normal operating conditions. 				
4.2.3	Temporary/mobile premises and vending machines				
	Premises and structures covered here include market stalls, mobile sales and street vending vehicles, temporary premises in which food is handled such as tents and marquees.				
	Such premises and structures should be sited, designed and constructed to avoid, as far as reasonably practicable, contaminating food and harbouring pests.				
	In applying these specific conditions and requirements, any food hygiene hazards associated with such facilities				

	should be adequately controlled to ensure the safety and suitability of food.				
4.3	EQUIPMENT				
4.3.1	General				
	Equipment and containers (other than once-only use containers and packaging) coming into contact with food, should be designed and constructed to ensure that, where necessary, they can be adequately cleaned, disinfected and maintained to avoid the contamination of food.				
	Equipment and containers should be made of materials with no toxic effect in intended use.				
	Where necessary, equipment should be durable and movable or capable of being disassembled to allow for maintenance, cleaning, disinfection, monitoring and, for example, to facilitate inspection for pests.				
4.3.2	Food control and monitoring equipment				
	Equipment used to cook, heat treat, cool, store or freeze food should be designed to achieve the required food temperatures as rapidly as necessary in the interests of food safety and suitability, and maintain them effectively.				
	Such equipment should also be designed to allow temperatures to be monitored and controlled.				
	Where necessary, such equipment should have effective means of controlling and monitoring humidity, air-flow and any other characteristic likely to have a detrimental effect on the safety or suitability of food. These requirements are intended to ensure that:				
	<ul style="list-style-type: none"> harmful or undesirable micro-organisms or their toxins are eliminated or reduced to safe levels or their survival and growth are effectively controlled; 				
	<ul style="list-style-type: none"> where appropriate, critical limits established in HACCP-based plans can be monitored; and 				

	<ul style="list-style-type: none"> Temperatures and other conditions necessary to food safety and suitability can be rapidly achieved and maintained. 				
4.3.3	Containers for waste and inedible substances				
	Containers for waste, by-products and inedible or dangerous substances, should be specifically identifiable, suitably constructed and, where appropriate, made of impervious material.				
	Containers used to hold dangerous substances should be identified and, where appropriate, be lockable to prevent malicious or accidental contamination of food.				
4.4	FACILITIES				
4.4.1	Water supply				
	An adequate supply of potable water with appropriate facilities for its storage, distribution and temperature control, should be available whenever necessary to ensure the safety and suitability of food.				
	Potable water should be as specified in the latest edition of WHO Guidelines for Drinking Water Quality, or water of a higher standard. Non-potable water (for use in, for example, fire control, steam production, refrigeration and other similar purposes where it would not contaminate food), shall have a separate system. Non-potable water systems shall be identified and shall not connect with, or allow reflux into, potable water systems.				
4.4.2	Drainage and waste disposal				
	Adequate drainage and waste disposal systems and facilities should be provided. They should be designed and constructed so that the risk of contaminating food or the potable water supply is avoided.				
4.4.3	Cleaning				
	Adequate facilities, suitably designated, should be provided for cleaning food, utensils and equipment. Such facilities should have an adequate supply of hot				

	and cold potable water where appropriate.			
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4.4.4	Personnel hygiene facilities and toilets			
	Personnel hygiene facilities should be available to ensure that an appropriate degree of personal hygiene can be maintained and to avoid contaminating food. Where appropriate, facilities should include:			
	• adequate means of hygienically washing and drying hands, including wash basins and a supply of hot and cold (or suitably temperature controlled) water;			
	• lavatories of appropriate hygienic design; and			
	• Adequate changing facilities for personnel.			
	Such facilities should be suitably located and designated.			
4.4.5	Temperature control			
	Depending on the nature of the food operations undertaken, adequate facilities should be available for heating, cooling, cooking, refrigerating and freezing food, for storing refrigerated or frozen foods, monitoring food temperatures, and when necessary, controlling ambient temperatures to ensure the safety and suitability of food.			
4.4.6	Air quality and ventilation			
	Adequate means of natural or mechanical ventilation should be provided, in particular to:			
	• minimize air-borne contamination of food, for example, from aerosols and condensation droplets;			
	• control ambient temperatures;			
	• control odours which might affect the suitability of food; and			
	• control humidity, where necessary, to ensure the safety and suitability of food.			

	Ventilation systems should be designed and constructed so that air does not flow from contaminated areas to clean areas and, where necessary, they can be adequately maintained and cleaned.				
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4.4.7	Lighting				
	Adequate natural or artificial lighting should be provided to enable the undertaking to operate in a hygienic manner. Where necessary, lighting should not be such that the resulting colour is misleading. The intensity should be adequate to the nature of the operation. Lighting fixtures should, where appropriate, be protected to ensure that food is not contaminated by breakages.				
4.4.8	Storage				
	Where necessary, adequate facilities for the storage of food, ingredients and non-food chemicals (e.g. cleaning materials, lubricants, fuels) should be provided.				
	Where appropriate, food storage facilities should be designed and constructed to:				
	• permit adequate maintenance and cleaning;				
	• avoid pest access and harbourage;				
	• enable food to be effectively protected from contamination during storage; and				
	• Where necessary, provide an environment which minimizes the deterioration of food (e.g. by temperature and humidity control).				
	The type of storage facilities required will depend on the nature of the food. Where necessary, separate, secure storage facilities for cleaning materials and hazardous substances should be provided.				

SECTION-V- CONTROL OF OPERATION

5.1	CONTROL OF FOOD HAZARDS				
	Food business operators should control food hazards through the use of systems such as HACCP.				
	They should:				

	<ul style="list-style-type: none"> • identify any steps in their operations which are critical to the safety of food; 				
	<ul style="list-style-type: none"> • implement effective control procedures at those steps; 				
	<ul style="list-style-type: none"> • monitor control procedures to ensure their continuing effectiveness; and 				
	<ul style="list-style-type: none"> • review control procedures periodically, and whenever the operations change. 				
	These systems should be applied throughout the food chain to control food hygiene throughout the shelf-life of the product through proper product and process design.				
	Control procedures may be simple, such as checking stock rotation calibrating equipment, or correctly loading refrigerated display units. In some cases a system based on expert advice, and involving documentation, may be appropriate. A model of such a food safety system is described in <i>Hazard Analysis and Critical Control (HACCP) System and Guidelines for its Application</i> (Annex).				
5.2	KEY ASPECTS OF HYGIENE CONTROL SYSTEMS				
5.2.1	Time and temperature control				
	Inadequate food temperature control is one of the most common causes of foodborne illness or food spoilage. Such controls include time and temperature of cooking, cooling, processing and storage. Systems should be in place to ensure that temperature is controlled effectively where it is critical to the safety and suitability of food.				
	Temperature control systems should take into account:				
	<ul style="list-style-type: none"> • the nature of the food, e.g. its water activity, pH, and likely initial level and types of microorganisms; 				
	<ul style="list-style-type: none"> • the intended shelf-life of the product; 				
	<ul style="list-style-type: none"> • the method of packaging and processing; and 				
	<ul style="list-style-type: none"> • How the product is intended to be used, e.g. further cooking/processing or ready-to-eat. 				
	Such systems should also specify tolerable limits for time and temperature variations.				
	Temperature recording devices should be checked at regular intervals and tested for accuracy.				

5.2.2	Specific process steps				
	Other steps which contribute to food hygiene may include, for example:				
	• chilling				
	• thermal processing				
	• irradiation				
	• drying				
	• chemical preservation				
	• vacuum or modified atmospheric packaging				
5.2.3	Microbiological and other specifications				
	Where microbiological, chemical or physical specifications are used in any food control system, such specifications should be based on sound scientific principles and state, where appropriate, monitoring procedures, analytical methods and action limits.				
5.2.4	Microbiological cross-contamination				
	Pathogens can be transferred from one food to another, either by direct contact or by food handlers, contact surfaces or the air. Raw, unprocessed food should be effectively separated, either physically or by time, from ready-to-eat foods, with effective intermediate cleaning and where appropriate disinfection.				
	Access to processing areas may need to be restricted or controlled. Where risks are particularly high, access to processing areas should be only via a changing facility. Personnel may need to be required to put on clean protective clothing including footwear and wash their hands before entering.				
	Surfaces, utensils, equipment, fixtures and fittings should be thoroughly cleaned and where necessary disinfected after raw food, particularly meat and poultry, has been handled or processed.				
5.2.5	Physical and chemical contamination				
	Systems should be in place to prevent contamination of foods by foreign bodies such as glass or metal shards from machinery, dust, harmful fumes and unwanted chemicals. In manufacturing and processing, suitable detection or screening devices should be used where necessary.				

5.3	INCOMING MATERIAL REQUIREMENTS			
	No raw material or ingredient should be accepted by an establishment if it is known to contain parasites, undesirable micro-organisms, pesticides, veterinary drugs or toxic, decomposed or extraneous substances which would not be reduced to an acceptable level by normal sorting and/or processing. Where appropriate, specifications for raw materials should be identified and applied.			
	Raw materials or ingredients should, where appropriate, be inspected and sorted before processing. Where necessary, laboratory tests should be made to establish fitness for use. Only sound, suitable raw materials or ingredients should be used.			
	Stocks of raw materials and ingredients should be subject to effective stock rotation.			
5.4	PACKAGING			
	Packaging design and materials should provide adequate protection for products to minimize contamination, prevent damage, and accommodate proper labeling. Packaging materials or gases where used must be non-toxic and not pose a threat to the safety and suitability of food under the specified conditions of storage and use. Where appropriate, reusable packaging should be suitably durable, easy to clean and, where necessary, disinfect.			
5.5	WATER			
5.5.1	In contact with food			
	Only potable water, should be used in food handling and processing, with the following exceptions:			
	<ul style="list-style-type: none"> for steam production, fire control and other similar purposes not connected with food; and 			
	<ul style="list-style-type: none"> In certain food processes, e.g. chilling, and in food handling areas, provided this does not constitute a hazard to the safety and suitability of food (e.g. the use of clean sea water). 			
	Water recirculated for reuse should be			

	treated and maintained in such a condition that no risk to the safety and suitability of food results from its use. The treatment process should be effectively monitored. Recirculated water which has received no further treatment and water recovered from processing of food by evaporation or drying may be used, provided its use does not constitute a risk to the safety and suitability of food.				
5.5.2	As an ingredient				
	Potable water should be used wherever necessary to avoid food contamination.				
5.5.3	Ice and steam				
	Ice should be made from water that complies with section 4.4.1.				
	Ice and steam should be produced, handled and stored to protect them from contamination.				
	Steam used in direct contact with food or food contact surfaces should not constitute a threat to the safety and suitability of food.				
5.6	MANAGEMENT AND SUPERVISION				
	The type of control and supervision needed will depend on the size of the business, the nature of its activities and the types of food involved. Managers and supervisors should have enough knowledge of food hygiene principles and practices to be able to judge potential risks, take appropriate preventive and corrective action, and ensure that effective monitoring and supervision takes place.				
5.7	DOCUMENTATION AND RECORDS				
	Where necessary, appropriate records of processing, production and distribution should be kept and retained for a period that exceeds the shelf-life of the product. Documentation can enhance the credibility and effectiveness of the food safety control system.				
5.8	RECALL PROCEDURES				
	Managers should ensure effective procedures are in place to deal with any food safety hazard and to enable the complete, rapid recall of any implicated				

	lot of the finished food from the market.				
	Where a product has been withdrawn because of an immediate health hazard, other products which are produced under similar conditions, and which may present a similar hazard to public health, should be evaluated for safety and may need to be withdrawn. The need for public warnings should be considered.				

	Recalled products should be held under supervision until they are destroyed, used for purposes other than human consumption, determined to be safe for human consumption, or reprocessed in a manner to ensure their safety.				
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SECTION VI - ESTABLISHMENT: MAINTENANCE AND SANITATION

6.1	MAINTENANCE AND CLEANING				
6.1.1	General				
	Establishments and equipment should be kept in an appropriate state of repair and condition to:				
	• facilitate all sanitation procedures;				
	• function as intended, particularly at critical steps (see paragraph 5.1);				
	• prevent contamination of food, e.g. from metal shards, flaking plaster, debris and chemicals.				
	Cleaning should remove food residues and dirt which may be a source of contamination. The necessary cleaning methods and materials will depend on the nature of the food business.				
	Disinfection may be necessary after cleaning.				
	Cleaning chemicals should be handled and used carefully and in accordance with manufacturers' instructions and stored, where necessary, separated from food, in clearly identified containers to avoid the risk of contaminating food.				
6.1.2	Cleaning procedures and methods				
	Cleaning can be carried out by the separate or the combined use of physical methods, such as heat, scrubbing, turbulent flow, vacuum cleaning or other				

	methods that avoid the use of water, and chemical methods using detergents, alkalis or acids.				
	Cleaning procedures will involve, where appropriate:-				
	• removing gross debris from surfaces;				
	• applying a detergent solution to loosen soil and bacterial film and hold them in solution or suspension;				

	• rinsing with water which complies with section 4, to remove loosened soil and residues of detergent;				
	• dry cleaning or other appropriate methods for removing and collecting residues and debris; and				
	• Where necessary, disinfection with subsequent rinsing unless the manufacturers' instructions indicate on scientific basis that rinsing is not required.				

6.2	CLEANING PROGRAMMES				
	Cleaning and disinfection programmes should ensure that all parts of the establishment are appropriately clean, and should include the cleaning of cleaning equipment.				
	Cleaning and disinfection programmes should be continually and effectively monitored for their suitability and effectiveness and where necessary, documented.				
	Where written cleaning programmes are used, they should specify:				
	• areas, items of equipment and utensils to be cleaned;				
	• responsibility for particular tasks;				
	• method and frequency of cleaning; and				
	• monitoring arrangements.				
	Where appropriate, programmes should be drawn up in consultation with relevant specialist expert advisors.				
6.3	PEST CONTROL SYSTEMS				
6.3.1	General				

	Pests pose a major threat to the safety and suitability of food. Pest infestations can occur where there are breeding sites and a supply of food. Good hygiene practices should be employed to avoid creating an environment conducive to pests. Good sanitation, inspection of incoming materials and good monitoring can minimize the likelihood of infestation and thereby limit the need for pesticides.				
6.3.2	Preventing access				
	Buildings should be kept in good repair and condition to prevent pest access and to eliminate potential breeding sites. Holes, drains and other places where pests are likely to gain access should be kept sealed. Wire mesh screens, for example on open windows, doors and ventilators, will reduce the problem of pest entry. Animals should, wherever possible, be excluded from the grounds of factories and food processing plants.				
6.3.3	Harbourage and infestation				
	The availability of food and water encourages pest harbourage and infestation. Potential food sources should be stored in pest-proof containers and/or stacked above the ground and away from walls. Areas both inside and outside food premises should be kept clean. Where appropriate, refuse should be stored in covered, pest-proof containers.				
6.3.4	Monitoring and detection				
	Establishments and surrounding areas should be regularly examined for evidence of infestation.				
6.3.5	Eradication				
	Pest infestations should be dealt with immediately and without adversely affecting food safety or suitability. Treatment with chemical, physical or biological agents should be carried out without posing a threat to the safety or suitability of food.				
6.4	WASTE MANAGEMENT				
	Suitable provision must be made for the removal and storage of waste. Waste must not be allowed to accumulate in food handling, food storage, and other working areas and the adjoining environment				

	except so far as is unavoidable for the proper functioning of the business.				
	Waste stores must be kept appropriately clean.				
6.5	MONITORING EFFECTIVENESS				
	Sanitation systems should be monitored for effectiveness, periodically verified by means such as audit pre-operational inspections or, where appropriate, microbiological sampling of environment and food contact surfaces and regularly reviewed and adapted to reflect changed circumstances.				
SECTION-VII- ESTABLISHMENT:- PERSONAL HYGIENE					
7.1	HEALTH STATUS				
	People known, or suspected, to be suffering from, or to be a carrier of a disease or illness likely to be transmitted through food, should not be allowed to enter any food handling area if there is a likelihood of their contaminating food. Any person so affected should immediately report illness or symptoms of illness to the management.				
	Medical examination of a food handler should be carried out if clinically or epidemiologically indicated.				
7.2	ILLNESS AND INJURIES				
	Conditions which should be reported to management so that any need for medical examination and/or possible exclusion from food handling can be considered, include:				
	• jaundice;				
	• diarrhoea;				
	• vomiting;				
	• fever;				
	• sore throat with fever;				
	• Visibly infected skin lesions (boils, cuts, etc.);				
	• Discharges from the ear, eye or nose.				
7.3	PERSONAL CLEANLINESS				
	Food handlers should maintain a high degree of personal cleanliness and, where appropriate, wear suitable protective				

	clothing, head covering, and footwear. Cuts and wounds, where personnel are permitted to continue working, should be covered by suitable waterproof dressings. Personnel should always wash their hands when personal cleanliness may affect food safety, for example:-				
	• at the start of food handling activities				
	• immediately after using the toilet; and				
	• after handling raw food or any contaminated material, where this could result in contamination of other food items; they should avoid handling ready-to-eat food, where appropriate.				
7.4	PERSONAL BEHAVIOUR				
	People engaged in food handling activities should refrain from behaviour which could result in contamination of food, for example:				
	• smoking;				
	• spitting;				
	• chewing or eating;				
	• sneezing or coughing over unprotected food.				
	Personal effects such as jewellery, watches, pins or other items should not be worn or brought into food handling areas if they pose a threat to the safety and suitability of food.				
7.5	VISITORS				
	Visitors to food manufacturing, processing or handling areas should, where appropriate, wear protective clothing and adhere to the other personal hygiene provisions in this section.				
SECTION-VIII- TRANSPORTATION					
8.1	GENERAL				
	Food must be adequately protected during transport. The type of conveyances or containers required depends on the nature of the food and the conditions under which it has to be transported.				
8.2	REQUIREMENTS				
	Where necessary, conveyances and				

	bulk containers should be designed and constructed so that they:				
	<ul style="list-style-type: none"> do not contaminate foods or packaging; 				
	<ul style="list-style-type: none"> can be effectively cleaned and, where necessary, disinfected' 				
	<ul style="list-style-type: none"> permit effective separation of different foods or foods from non-food items where necessary during transport; 				
	<ul style="list-style-type: none"> provide effective protection from contamination, including dust and fumes; 				

	<ul style="list-style-type: none"> can effectively maintain the temperature, humidity, atmosphere and other conditions necessary to protect food from harmful or undesirable microbial growth and deterioration likely to render it unsuitable for consumption; and 				
	<ul style="list-style-type: none"> allow any necessary temperature, humidity and other conditions to be checked 				
8.3	USE AND MAINTENANCE				
	Conveyances and containers for transporting food should be kept in an appropriate state of cleanliness, repair and condition. Where the same conveyance or container is used for transporting different foods, or non-foods, effective cleaning and, where necessary, disinfection should take place between loads.				
	Where appropriate, particularly in bulk transport, containers and conveyances should be designated and marked for food use only and be used only for that purpose.				
SECTION-IX- PRODUCT INFORMATION AND CONSUMER AWARENESS					
9.1	LOT IDENTIFICATION				
	Lot identification is essential in product recall and also helps effective stock rotation. Each container of food should be permanently marked to identify the				

	producer and the lot. Codex General Standard for the Labelling of Prepackaged Foods (CODEX STAN 1-1985, Rev. 1(1991)) applies.				
9.2	PRODUCT INFORMATION				
	All food products should be accompanied by or bear adequate information to enable the next person in the food chain to handle, display, store and prepare and use the product safely and correctly.				
9.3	LABELLING				
	Prepackaged foods should be labelled with clear instructions to enable the next person in the food chain to handle, display, store and use the product safely, Codex General Standard for the Labelling of Prepackaged Foods (CODEX STAN 1-1985, Rev.(1991) applies.				
9.4	CONSUMER EDUCATION				
	Health education programmes should cover general food hygiene. Such programmes should enable consumers to understand the importance of any product information and to follow any instructions accompanying products, and make informed choices. In particular consumers should be informed of the relationship between time/temperature control and foodborne illness.				
SECTION-V- TRAINING					
10.1	AWARENESS AND RESPONSIBILITIES				
	Food hygiene training is fundamentally important. All personnel should be aware of their role and responsibility in protecting food from contamination or deterioration.				

	Food handlers should have the necessary knowledge and skills to enable them to handle food hygienically.				
	Those who handle strong cleaning chemicals or other potentially hazardous chemicals should be instructed in safe handling techniques.				
10.2	TRAINING PROGRAMMES				
	Factors to take into account in assessing the level of training required includes:				
	<ul style="list-style-type: none"> the nature of the food, in particular its ability to sustain growth of pathogenic or spoilage micro-organisms; 				
	<ul style="list-style-type: none"> the manner in which the food is handled and packed, including the probability of contamination; 				
	<ul style="list-style-type: none"> the extent and nature of processing or further preparation before final consumption; 				
	<ul style="list-style-type: none"> the conditions under which the food will be stored; and 				
	<ul style="list-style-type: none"> the expected length of time before consumption. 				
10.3	INSTRUCTION AND SUPERVISION				
	Periodic assessments of the effectiveness of training and instruction programmes should be made, as well as routine supervision and checks to ensure that procedures are being carried out effectively.				
	Managers and supervisors of food processes should have the necessary knowledge of food hygiene principles and practices to be able to judge potential risks and take the necessary action to remedy deficiencies.				
10.4	REFRESHER TRAINING				
	Training programmes should be routinely reviewed and updated where necessary. Systems should be in place to ensure that food handlers				

	remain aware of all procedures necessary to maintain the safety and suitability of food.				
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Checklist filled by (name):

Signature:

Designation in the food business organization:

Dated:

Annexure-III

Ministry of Food Processing Industries
Government of India

AFFIDAVIT

**I.....S/W/D/o.....Resident ofdirector
Proprietor of M/s.....do hereby solemnly affirms and state as
follows:-**

2. That I am the deponent herein and I am fully acquainted with the information given below:-

(a) that company has not obtained any financial assistance for implementation of HACCP/ ISO 9000, ISO 22000/GHP/GMP in the past from MFPI.

(b) that the organisation has not obtained/applied for or will not obtain any grant/subsidy from any Ministry/Department of Central Govt./Government of India organisation/agencies and State Govt. for the same purpose/activity/same components.

3. That all the papers documents submitted to Ministry of Food Processing Industries are true and correct and nothing is concealed.

Deponent

All the above information at 1, 2 & 3 are true and correct.

Deponent

Solemnly affirmed and signed before me on this day.....

Notary Seal &Signature

in the event of their failing to comply with the conditions or committing breach of the bond, the Obligers individually and jointly will be liable to refund to the President of India, the entire amount of the grants-in-aid with interest of 10% per annum thereon. If a part of the grants-in-aid is left unspent after the expiry of the period within which it is required to be spent, interest @10% per annum shall be charged up to the date of its refund to the Government, unless it is agreed to be carried over. The Obligers agree and undertake to surrender / pay the Government the monetary value of all such pecuniary or other benefits which it may receive or derive / have received or derived through / upon unauthorized use of (such as letting out the premises on adequate or less than adequate consideration or use of the premises for any purpose other than that for which the grants-in-aid was intended of the property) buildings created / acquired constructed largely from out of the grants-in-aid sanctioned by the Government of India, Ministry of Food Processing Industries or the administrative Head of the Department concerned. As regards the monetary value aforementioned to be surrendered / paid to the Government, the decision of the Government will be final and binding on the Obligers.

AND THESE PRESENTS ALSO WITNESS THAT the decision of the Secretary to the Government of India in the Ministry of Food Processing Industries on the question whether there has been breach or violation of any of the terms or conditions mentioned in the sanction letter shall be final and binding upon the Obligers and

IN WITNESS WHEREOF these presents have been executed as under on behalf of the Obligers the day herein above written in pursuance of the Resolution No. _____ Dated _____ passed by the governing body of the Obligers, a copy whereof is annexed hereto as Annexure-II and by

_____ for and on behalf of the president on the date appearing below:-

Signature of the AUTHORISED
SIGNATORY

Signed for and on
behalf of
(Name of the Obliger in block
letters)

(Seal / Stamp of
Organization)

1. Signature of witness
Name & Address

2. Signature of witness
Name & Address

TO BE FILLED UP BY THE MINISTRY OF FOOD PROCESSING
INDUSTRIES (ACCEPTED)

For and on behalf of the President of India

Name: _____

Designation: _____

Dated: _____

Notary Seal & Signature

**Revised Guidelines
For

The Scheme of
Research & Development In Processed
Food Sector

during 12th Plan Period
(with effect from 01.04.2013)**

**Government of India
Ministry of Food Processing Industries
Panchsheel Bhawan
August Kranti Marg
New Delhi - 110 049**

MINISTRY OF FOOD PROCESSING INDUSTRIES

Revised Guidelines For The Scheme of Research & Development In Processed Food Sector During 12th Plan Period (with effect from 01.04.2013)

1. INTRODUCTION

Ministry of Food Processing Industries (MFPI) extends financial assistance as grant-in-aid to various institutions/universities, Public funded organizations and recognized R&D laboratories both in public and private sector, to promote and undertake demand driven R&D work in the field of Food Processing Sector for product and process development, design and development of equipment, improved storage, shelf-life, packaging etc .

From 1st April, 2012 the scheme is being implemented by the Science & Engineering Research Board under the Department of Science & Technology, Ministry of Science & Technology, Technology Bhawan, New Mehrauli Road, New Delhi – 110 016.

2. OBJECTIVE

Objective of the scheme is that the end product / outcome / findings of R&D work should benefit Food Processing Industry in terms of product and process development, improved preservation, packaging, storage and distribution technologies, value addition, standardization of additives, coloring agents, preservatives, pesticide residues, etc. with focus on enhancement of production, quality, consumer safety, public health and trade.

3. ELIGIBLE INSTITUTIONS

All Universities, IITs, Central/State Government Institutions, Public Funded Organisations, R&D laboratories and CSIR recognized R&D units in private sector.

4. ELIGIBLE PURPOSES

- 4.1 Ministry supports research proposals preferably of applied nature with commercial value resulting in development of innovative products, processes and manufacturing practices, which lead to development of food processing industry in the country.

- 4.2. Ministry also supports basic research which adds to scientific knowledge relevant to the Food Processing Sector.

5. FUNDING PATTERN

5.1 For the Government organizations/universities/institutions, grant is given for the following:

- i) 100% of cost of equipment, consumables and expenditure related to Junior Research Fellow/Senior Research Fellow /Research Associate (JRF/SRF/RA) specific to the project of specified duration for maximum of three years. No assistance will be provided for already existing equipment. Research Assistant(s)/ Project Assistant(s) may be engaged as an alternative to JRF/SRF/ Research Associate. The emoluments for such Research Assistant(s)/ Project Assistant (s) will be as per norms of applicant institution but not exceeding the scale laid down for Junior Research Fellow (JRF) of ICAR.
- (ii) Lump sum provision up-to Rs.1 Lakh for TA/ DA for project related travel like survey, data/sample collection, etc. and for attending the meetings of the Expert Committee to present the project proposal and subsequently for the project review presentation. TA/DA will be given for an approved project only. The amount could be increased with specific approval of Project Approval Authority for reasons to be recorded.
- (iii) Institutional Charges equal to 10% of project cost subject to maximum of Rs. 3 lakh for non-academic institutions and Rs. 5 Lakh for academic institutions.

5.2 For Private organizations/universities/institutions, grant is given to the tune of 50% of equipment cost in general areas and 70% in difficult areas.

- 5.3 Difficult areas include J&K, Himachal Pradesh, Uttarakhand, Sikkim, North-Eastern States, Andaman & Nicobar Islands, Lakshadweep, and Integrated Tribal Development Project (ITDP) areas.
- 5.4 100% Grant is provided for the Ministry's sponsored projects, restricted only to public funded organizations of repute, in cases of cutting edge areas of research leading to development of innovative products, processes, manufacturing practices and technology .

6. HOW TO APPLY

- 6.1. The Principle Investigator (P.I.) may submit research proposal (three copies along-with a soft version) in prescribed standard proforma (ANNEXURE-A) to Secretary, Science and Engineering Research Board, 5 & 5A, Lower Ground Floor, Vasant Square Mall, Sector-B, Pocket-5, Vasant Kunj, New Delhi-110070. Applications for research grants can be submitted at any time during the year.
- 6.2. The application should be forwarded, through the Head of the concerned institution duly certified that (i) the required facilities (viz: land, buildings, laboratory, manpower and other infrastructure etc) are available and will be provided to the investigator(s) to work on the proposed project, and (ii) the department/university/institute will discharge all its obligations, particularly in respect of management of the grant given and patenting as well as commercialisation of the end product.
- 6.3. Three hard copies and one soft copy of the project proposal must be submitted along with the supporting documents (viz: 1. An affidavit / undertaking duly notarized/verified by Competent Authority / Head of the organization in compliance with Rule 209 (1) of GFR 2005 [ANNEXURE-E], 2. A consent letter from industrial partner, if any, confirming that the outcome of the research will be taken up/purchased /commercialized by that industrial partner).

- 6.4. Depending on the magnitude and nature of research involved a research project may have more than one investigator and, in such a case, the first investigator shall be known as "Principal Investigator" (PI). In the event of a collaborative project involving two or more institutions, the consent of each institution must be furnished with the proposal.
- 6.5. Research proposals must be prepared after extensive and exhaustive consultation of available literature and references to ensure that there is no duplication of work. Proposals will be considered only when the end product is new, innovative, and has commercial value or has relevance to Food Processing Sector.

7. PROCEDURE FOR APPROVAL OF PROPOSALS

- 7.1. SERB will evaluate the proposals comprising of peer review and/ or evaluation by an Expert Committee. In case of private sector research proposals, the concerned State Food Processing Mission Director may be invited to attend the Expert Committee meeting for consideration of such proposals. List of the State Directors for the National Mission on Food Processing is available on the website of the Ministry of Food Processing Industries (MFPI).
- 7.2. After approval of the competent authority, in-principle approval of the project proposal for the approved grant amount will be conveyed to the applicant university/institute/organization and after fulfillment of all the required criteria, sanction will be issued for release of first/second/third installment of grant as per these orders.

8. PROCEDURE FOR RELEASE OF FUNDS

8.1 Release of Funds:

8.1.1. Release of funds for Government/Public Funded Organizations:

- a. After fulfillment of all the required criteria as per para. 8.2.1 (a), first installment of grant comprising (a) 100% of the approved cost of

equipment (or as required by the applicant research organization), (b) 50% of the approved cost towards JRF / SRF / RA / Research Assistant / Project Assistant, (c) 50% of the approved cost towards consumables, (d) 50% of the approved cost towards TA/DA, and (e) 50% of the approved institutional charges will be released.

- b. After fulfillment of all the required criteria as per para. 8.2.1(b), second installment of grant comprising (a) 40% of the approved cost towards JRF/SRF/RA/ Research Assistant / Project Assistant, (b) 40% of the approved cost towards consumables, (c) 40% of the approved cost towards TA/DA and (d) 40% of the approved institutional charges will be released.
- c. After fulfillment of all the required criteria as per para. 8.2.1(c), third/ final installment of grant comprising (a) 10% of the approved cost towards JRF/SRF/RA /Research Assistant / Project Assistant, (b) 10% of the approved cost towards consumables, (c) 10% of the approved cost towards TA/DA and (d) 10% of the approved institutional charges will be released.

8.1.2. **Release of funds for Private Organizations:**

- a. After fulfillment of all the required criteria as per para.8.2.1 (a), first installment of grant comprising 50% of total grant approved for equipment will be released.
- b. After fulfillment of all the required criteria as per para.8.2.1 (b), second installment of grant comprising of 40% of the total grant approved for equipment will be released.
- c. After fulfillment of all the required criteria as per Para.8.2.1(c), final installment of grant comprising 10% of the approved grant for equipment will be released.

8.2. Documents required to be submitted before each release:

8.2.1. Documents required for release of funds:

a. Documents required for release of 1st Instalment:

- i. Compliance with the standard conditions as per Annexure- F.
- ii. Govt. / Public Sector Organizations /Universities/ Institutions shall submit copy of quotation(s) for the equipment to be procured out of grant-in-aid. Private organizations / universities / institutions shall submit copy of the quotations alongwith the purchase order for the equipment to be procured out of 1st instalment.
- iii. Consent of the industrial partner, if any, confirming that the outcome of the research will be taken up/purchased/ commercialized by that industrial partner.
- iv. Submission of an affidavit/undertaking in compliance with Rule 209(1) of GFR 2005 (ANNEXURE-E).
- v. Submission of notarized surety bond of Rs. 100/- in case of private organizations / universities / institutions (ANNEXURE-G). (As per Rule 209 (6) (x) of GFR 2005, execution of surety bond will not apply to quasi-Government institutions, central autonomous organizations and institutions whose budget is approved by Government.)

b. Documents required for release of 2nd Installment:

- i. Utilization Certificate (Annexure-D) as per Rule 19 (A) of GFR-2005 along with the statement of expenditure (issued by the Competent Authority) clearly bringing out the expenditure incurred by the applicant university/institute/organization from their own internal resources and from the assistance provided by MFPI, with detailed breakup.

- ii. In case of Government Organization/ Institute/ University where 100% cost of equipment grant is released in 1st instalment, the applicant University/Institute/organisation must submit the copies of purchase order/invoice for whole equipment as approved by Technical Committee, alongwith statement of expenditure and progress report
 - iii) In case the applicant University /Institute/organization opts for release of less than 100% of cost of equipment grant in the 1st instalment, the applicant University / Institute/organisation must submit the copies of invoice/bill of equipment purchased out of 1st intalment grant alongwith quotation for equipment to be purchased out of 2nd instalment grant with statement of expenditure and progress report.
 - iv) Further, in case of private organizations / institutions, they should submit copies of purchase order for the equipment to be purchased out of second instalment alongwith statement of expenditure and progress report.
- c. **Documents required for release of 3rd and final instalment:**
- i. Submission and acceptance of Final Project Completion Report (FPCR) in the prescribed format i.e. as per Annexure- C.
 - ii. Utilization certificate (Annexure-D) as per Rule 19 (A) of GFR-2005 along with the statement of expenditure (issued by the Competent Authority) clearly bringing out the expenditure incurred by the applicant university/institute/organization from their own internal resources and from the assistance provided by MFPI, with detailed breakup.
 - iii. In case of Private Organiztion/ Institute they should submit copies of invoice/bill for PAC approved equipment, as also duly audited accounts indicating that the entire expenditure has been incurred on the purchase of the PAC approved equipment.
- 8.3. The findings of the project shall be made available (preferably with the demonstration) before the appraising team as and when required.

9. FINAL PROJECT COMPLETION REPORT (FPCR)

- 9.1. The applicant university/institute/organization must submit the FPCR in prescribed format as per (ANNEXURE-C) and shall also discuss how the technology is going to be commercialized, patented and its future potential for technological advancement. The details of scientists/scholars trained and expertise developed, their qualification along with the permanent address shall also be mentioned in the FPCR.
- 9.2. The PI is required to submit FPCR (ten copies) for the entire duration, within three months from the date of completion of the project. The report must be in detail and should include information about (a) the original objective(s) of the scheme, (b) how far these objective(s) have been achieved, and (c) how the results have benefited the country's technological development or enriched the existing knowledge pool on the subject. The actual research achievements made under the scheme may be summarized in about 200 words and mentioned in the FPCR to facilitate publication of the same by MFPI/SERB and for making available on the website of SERB and MFPI.
- 9.3. Copies of manuscripts, preprints and reprints of papers arising from the work completed under the scheme should be attached to the FPCR. Failure to submit the FPCR on completion of the scheme will disqualify the investigator from seeking further assistance from MFPI. The names of defaulting Principal Investigators (P.Is.)/Institute will be circulated to all the funding agencies and this may lead to the concerned Investigators/Institute not getting any assistance for his/her new projects in future.

10. TENURE, PROGRESS REPORT

- 10.1. The tenure of a project would normally be 3 years or less as proposed by the investigator. Expert Committee (EC) of SERB will evaluate the progress of schemes to ensure that the funds are effectively utilized as per the intended objectives. For this purpose Principal Investigators (PIs) are required to submit a comprehensive progress report as per the format (ANNEXURE- B) as and when demanded by SERB, normally after one year. In case of some deserving cases depending upon the satisfactory progress, SERB may extend the project period to

one more year on a case-to-case basis without any financial implication.

- 10.2. Progress of the project will be monitored through progress report submitted or onsite inspection (if required) of the project or presentation before the review committee.

11. RESULTS OF RESEARCH AND INTELLECTUAL PROPERTY(IP) RIGHTS

- 11.1 Investigators are encouraged to seek legal/patent protection for the outcome of research.
- 11.2 Investigators are also encouraged to publish the results of research only after filing the necessary relevant IP protection applications. While doing so, acknowledgement to the effect that financial assistance was received from MFPI should be made in the research paper(s) published. MFPI should be acknowledged in similar type of other published work/press reports (please note: releasing to the press before IP protection may invalidate the prior art of the invention as it becomes known to public).
- 11.3 Project Investigators (PI) are encouraged to avail assistance for filing and obtaining patents for research outcome of MFPI assisted projects through Technology Information, Forecasting and Assessment Council (TIFAC), an autonomous organization under the Department of Science & Technology. Patent Facilitating Centre (PFC) under TIFAC will facilitate filing and obtaining patents for academic institutions and universities without any charges as MFPI will make necessary arrangement for the same directly with PFC, TIFAC. The interested PIs/ organizations may apply to: The Head, Patent Facilitating Centre (PFC), TIFAC, 5th Floor, A-wing, Vishwakarma Bhavan, Sheedjeet Singh Marg, New Delhi-110016 Tel No. 011-4242808/26967458, Email: dirpfc.tifac@gmail.com for this purpose as per the guidelines of PFC. Copies of such applications may also be endorsed to the Ministry (in such case only MFPI endorsed applications would be entertained by FPFC).

- 11.4 While PI is recognized as inventor, the title to the patent, or other legal protection accorded to the results of research, shall vest with University/Institute.
- 11.5 Ministry of Food Processing Industries will reimburse the administrative and other charges, if any, to PFC,TIFAC on this account.
- 11.6 Private institutions may also avail the benefit of this scheme for filing and obtaining patents through PFC,TIFAC under DST, provided they are registered as educational society under the Societies Act.

12. OPERATION OF FUNDS

The general conditions to be complied for operation of the funds are as follows:

- i) The applicant organization must submit utilization certificates for the amount released as 1st, 2nd, 3rd installment as per Form GFR19-A alongwith the detailed statement of the expenditure certified by the Accounts Officer and countersigned by the Finance Officer/ Registrar / Administrator of the university/institute/organization/ Head of the Department or Chartered Accountant (as required) should be submitted to SERB as indicated in ANNEXURE-D.
- ii) Any unspent balance from earlier payment lying with the Institution at any time due to termination/resignation of the Fellow, etc. must be refunded to SERB immediately by means of demand draft in favour of Fund for Science & Engineering Research. In case the unspent balance is not returned within three months, it will attract interest as per the existing General Financial Rules (GFR 2005).
- iii) University/institute/organization receiving grants will have to maintain separate accounts for each research project on ledger type system.
- iv) The released grant shall not be diverted or spent other than for what it has been approved or otherwise may be got approved from SERB before such expenditure.

- v) All equipment purchased out of the grant will be the property of the Government of India and have to be entered into the Stock Register maintained by the University/Institution and also in a separate Register maintained by the project Investigator and certified by the Head of the Department.
- vi) The university /institute /organization will be responsible for the safe custody of the equipment purchased out of the grant.
- vii) Items of equipment should be purchased following a transparent, fair and competitive tender system.
- viii) A list of equipment purchased is to be appended with the application for 2nd instalment. The name, description of the equipment, cost in rupees, date of purchase, and the name of the supplier, may be given in the list. The main purpose/function of the equipment may also be mentioned against each item. Equipment should be purchased within 4 months from the date of receipt of the sanction letter of respective installments, otherwise the grant will be liable to be cancelled and be called back.
- ix) After the termination of project, the University/institute/organization may retain all the equipment purchased for the purpose of the project out of MFPI grant. A label with the legend "MFPI FUNDED" shall be stuck prominently on the equipment.
- x) The research carried out with the financial assistance of MFPI shall be in public domain. The facilities created thereof may be utilized as Business/R&D Incubation Centre after the research is completed for testing/research/product development, etc by other institutes/ organizations on payment basis.
- xi) The books of accounts of the grantee institution shall be open to inspection by the sanctioning authority/audit and by any other authority specified by the Ministry, whenever the institution is called upon to do so.

13. OBLIGATIONS OF PRINCIPAL INVESTIGATOR

The following are the obligations of the PI of a research scheme:

- i) The sanctioned research scheme must commence within 4 months from the date of receipt of the sanction letter of first instalment, unless otherwise authorized by SERB, failing which the grant will be liable to be cancelled and be called back.
- ii) It is mandatory for the PI/Co-PI to come to the Progress Review Presentation when invited to present the progress of the work done on the scheme.
- iii) Acknowledgement of the support given by MFPI in all the publications arising from the work done under the scheme. MFPI should be acknowledged in similar type of other published work/press reports etc.
- iv) Submission of the final project completion report (ANNEXURE-C) within 3 months of completion of the project, describing original objective(s), how far these objective(s) have been achieved and how the results have benefited the technological development or enriched the existing knowledge on the subject and enclosing manuscripts, preprints and reprints of the papers arising from the scheme.
- v) Claim for any dues must be made immediately. Submission of the utilization certificate and audited statement of accounts for the grants paid and to arrange refund of unspent amount of the grant must be made immediately on completion of the project. Claim of bills in any case will not be entertained after six months of the completion of project.
- vi) Sending of one reprint of each research paper(s) published as a result of the work done under the MFPI grant to SERB and R&D Division of MFPI as and when published. (Please ensure that in case you desire to file a patent, it must be done before publishing the results).
- vii) In the event of a PI proceeding on leave or takes up an assignment, alternative arrangements shall be made by the organisation, so that project does not suffer.

14. INDEPENDENT ANNUAL EVALUATION

Ministry will subject the scheme for evaluation by appointing an independent agency.

Note: These terms and conditions supersede all previous instructions issued in regard to R&D scheme. In all matters, decision taken by Secretary, MFPI will be final.

FORMAT FOR SUBMISSION OF PROJECT

(To be filled by applicant)

1. Project Title
2. Broad Subject:
 - I. Product development
 - II. Processing
 - III. Packaging
 - IV. Equipment – Design and Development
 - V. Storage
 - VI. Shelf Life
 - VII. Any other (Please specify)
3. Duration in months
4. Total cost
5. FE Component
6. Principal Inv.
7. Designation
8. Department
9. Institute Name
10. Address
11. Date of Birth: Sex (M/F)
12. Telephone / Fax / E-mail
13. Co-Investigator
14. Designation
15. Department
16. Institute Name

17. Address

18. Date of Birth: Sex (M/F)

19. Telephone / Fax / E-mail

(Repeat 13 to 19 for additional Co-Investigators, if any, as 13.1-19.1, 13.2-19.2,.)

20. Project summary (maximum 150 words)

21. Key words (maximum 6)

22. Technical details

22.1. Introduction (under the following heads)

22.1.1. Origin of the proposal

22.1.2. Definition of the problem

22.1.3. Objectives

22.1.4. Process/Technology/design of any new machinery and products to be developed including by-products, if any:

22.1.5. Uses of products and by-products:

22.1.6. How demand is being met-indigenous / imported:

22.1.7. Salient features of existing technology/manufacturing problems and technological gaps:

22.1.8. Details of new or improved technology to be developed:

22.1.9. Demand assessment for both domestic and export markets

22.2. Review of status of Research and Development in the subject

22.2.1. International status

22.2.2. National status

22.2.3. Novelty Importance of the proposed project in the context of current status

22.2.4. If the project is location specific, basis for selection of location.

23. Target beneficiaries of the proposed work

24. Review of expertise available with the PI, the proposed investigating group/institution in the subject of the project

- 24.1. Preliminary work already done on the project. Status of research / development by the organization or at the collaborating research laboratory, if any, their scope of work and role in the present project.
- 24.2. Industry partner who has shown interest in R&D and its results and their financial contribution, if any. Kindly give name and address of the industrial unit who are interested in this Research Work along with their consent letter.
- 24.3. If applicant is an industrial unit linked with an R&D institution that may provide technical input, please furnish signed agreement.
- 24.4. Brief history of the Institution / Industrial firm including products being made, capacities, related collaborations, achievements, R&D capabilities, etc. (latest annual report and company brochure may be given):

24.5. Details of the Institute:

(a) Status of the Institute:

Public funded Academic Institute <input type="checkbox"/>	Public funded Research Lab <input type="checkbox"/>	Industry <input type="checkbox"/>
Private University <input type="checkbox"/>	Private College <input type="checkbox"/>	Private Research Lab <input type="checkbox"/>

- (b) Whether Institution is a CSIR/ICAR/ICMR/SAU organization
- (c) Whether In-house R&D unit of the firm is recognized by DSIR, Ministry of Science & Technology
- (d) Please indicate recent major achievements of In-house R&D unit of the Industrial firm in development of new products/processes, indigenous development of capital goods, absorption, adaptation and up gradation of the imported technology, if any.

24.6 Details of the manpower available (Give separate details for Executive and Collaborating Agencies).

a) Ph. Ds	-
Engineers	-
Scientists	-
Post/graduates	-
Total S&T Manpower in the R&D Unit	-

- b) Number of other staff in R&D unit -
(Technical/Non-Technical)

24.7 Financial capabilities of the Executing Agency (in case of Private Institutes other than universities)

Please provide Memorandum & Articles of Association of the company, Annual Reports for the last 3 years, sources of financing the proposed project and financial commitment letter from the competent authority for undertaking the proposed project.

25. Patent details (domestic and international), if applicable

26. Sustainability: Issues relating to sustainability, including stakeholder commitment, operation and maintenance of assets after project completion, and other related issues.

27. Work plan

27.1 Methodology

27.2 Organization of work elements

27.3 Time schedule of activities giving milestones (bar diagram)

27.4 Do the physical and financial targets (given in section 30) match with each other

27.5 Suggested plan of action for utilization of research outcome expected from the project.

28. The development "Outcomes" and "Outputs" of the project (This may include broad details of relevant aspects)

28.1 Expected number of prototypes / pilot plant.

28.2 Expected optimization / improvements in products / process design/performance, etc.

28.3 Improvements in productivity, yields, efficiencies / quality, value added etc. / (to be quantified)

28.4 Any other benefits

29. Economic implications of the proposed work, if any.

30. BUDGET ESTIMATES:**30.1. BUDGET SUMMARY FOR THE GOVERNMENT ORGANIZATIONS / UNIVERSITIES / INSTITUTIONS:**

Sl.No.	Item	Budget			(In Rupees)
		1 st Year	2 nd Year	3 rd Year	Total
A	Non-recurring (Capital Items)				
I	Pmt Equipment				
B	Recurring (General)				
I	Salaries				
II	Consumables				
III	TA/DA				
IV	Institutional Charges				
	Total (General)				
C	Grand Total				

*FEC- Foreign Exchange Component

Foreign Exchange component (in US\$) equivalent of rupee amount at the prevailing rates may be furnished.

30.1.1. BUDGET FOR SALARIES/WAGES

		BUDGET			(in Rupees)
		1st Year (m.m.*)	2nd Year (m.m.)	3rd Year (m.m.)	Total (m.m.)
Designation & number of persons	Monthly Emoluments				
Total					

*m.m.:man months to be given within brackets before the budget amount

30.1.2. Justification for the manpower requirement.

30.1.3. BUDGET FOR CONSUMABLE MATERIALS

		BUDGET			(in Rupees)
Item		1st Year	2nd Year	3rd Year	Total
	Q*				
	B**				
	F***				
Total	B				
	F				

*Q: Quantity or number, ** Budget, ***F: Foreign Exchange Component in US\$

30.1.4. Justification for consumable materials

30.1.5. BUDGET FOR TA/DA

		BUDGET			(in Rupees)
		1st Year	2nd Year	3rd Year	Total
	Travel (Only inland travel)				

30.1.6. Justification for intensive travel, if any.

30.1.7. BUDGET FOR EQUIPMENT

Sl. No.	Generic name of the Equipment along with make & model	Imported/Indigenous	Estimated Costs (in Foreign Currency also)*	Spare time for other users (in %)

30.1.8. Justification for the proposed equipment.

30.2. BUDGET SUMMARY FOR PRIVATE ORGANIZATIONS

	Sanction head	Amount in Rs.
A	Non-recurring (Capital Items)	
	Pmt Equipment	
A'	Total (Capital)	
	SERB/MFPI Contribution (50% of A')	
	Institute Contribution (50% of A')	

30.2.1. BUDGET FOR EQUIPMENT

Sl. No.	Generic name of the Equipment along with make & model	Imported/Indigenous	Estimated Costs (in Foreign Currency also)*	Spare time for other users (in %)

* includes transport, insurance and installation charges.

30.2.2. Justification for the proposed equipment.**31. Time Schedule of Activities through BAR Diagram****32. List of facilities being extended by parent institution(s) for the project implementation.****A) Infrastructural Facilities:**

Sr. No.	Infrastructural Facility	Yes/No/ Not required Full or sharing basis
1.	Workshop Facility	
2.	Water & Electricity	
3.	Laboratory Space/ Furniture	
4.	Power Generator	
5.	AC Room or AC	
6.	Telecommunication including e-mail & fax	
7.	Transportation	
8.	Administrative/ Secretarial support	
9.	Information facilities like Internet/ Library	

10.	Computational facilities	
11.	Animal/ Glass House	
12.	Any other special faciity being provided	

B. Equipment available with the Institute/ Group/ Department/ Other Institutes for the project:

Equipment available with	Generic Name of Equipment	Model, Make & year of purchase	Remarks including accessories available and current usage of equipment
PI & his group			
PI's Department			
Other Inst in the region			

33. Detailed Bio-data of the Investigator(s)/Co-Investigator(s)

- Name, Address, Date of Birth, Institution's Address etc.
- Academic Qualifications (University/College from where attained, year of passing, class, Thesis title etc.)
- Publications list (Title of paper, authors, Journal details, pages, year etc.)
Patent list, if any

34. Details of Research Projects being implemented/ completed/ submitted by the Investigator(s)/Co-Investigators

- Investigator(s) Name & Institute
- Project Title
- Project Status
- Completed-duration, period (from.... to.....), funding agency and total cost
On-going-duration, date of start, funding agency and total cost
proposed-duration, funding agency where submitted and total cost
- Summary of the project
- Major Results/ Highlights of the project including achievement (publications, patents etc.), for completed projects
- Up-to date Technical progress report for on-going projects.

35. Any other relevant matter.

File No** _____

1. Title :

2. Proposed Budget for 3 years :

2.1 Total :

2.2 Equipment :

(Please give list of major/
minor equipment)

2.3 Staff (proposed research staff) :

2.4 Other Recurring costs :

Consumables :

TA/DA:

Institutional Charges:

3. Date of receipt** :

4. PI Name, Designation & Address :

5. Date of Birth :

6. Co-Investigator(s) details :

7. Date of Birth(s) :

8. Other projects with the PI/Co-PI(s) :

Sr.No.	Title	PI / Co-PI Name (s) & Institute	Cost (in rupees)	Duration	Funding Agency

Cover sheet to be filled in by the Investigator ** to be filled by SERB

PROGRESS REPORT

1. Project Title:	SERB No:
2. PI (Name & Address):	Date of Birth
3. Co-PI (Name & Address):	Date of Birth
4. Broad area of Research 4.1 Sub Area 5. Approved Objectives of the Proposal :	
Date of Start:	Total cost of Project:
Date of completion:	Expenditure as on _____:

6. Methodology :

7. Salient Research Achievements:

7.1 Summary of Progress

7.2 New Observations:

7.3 Innovations:

7.4 Application Potential:

7.4.1 Long Term

7.4.2 Immediate

7.5 Any other

8. Research work which remains to be done under the project (for on-going projects)

9. Manpower Training :					
Ph.Ds Produced no:		Technical Personnel trained:		Research Publications arising out of the present project:	
10. List of Publications from this Project (including title, author(s), journals & year(s))					
(A) Papers published only in cited Journals (SCI)					
(B) Papers published in Conference Proceedings, Popular Journals etc.					
11. Patents filed/ to be filed:					
12. Equipment					
S No	Sanctioned List	Procured (Yes/ No) Model & make	Cost (Rs in lakhs)	Working (Yes/ No)	Utilisation Rate (%)

13. Grant Received, and Expenditure:							
Sr. No.	Sanctioned Head	Sanctioned Amount (in Rs.)	Total Released Amount (in Rs.)	Expenditure (in Rs.)			
				1st Financial Year	2nd Financial Year	3rd Financial Year	Total
1.	Equipment						
2.	JRF/SRF/RA						
3.	Consumables						
4.	TA/DA						
5.	Institutional Charges						
Total							

Signature of PI

Date

**Signature of
Head of Institute
/ Organization**

Note: No column should be left blank, in such cases write Not applicable (NA) wherever applicable. Additional sheets may attach wherever needed.

ANNEXURE-C**FINAL PROJECT COMPLETION REPORT (PCR)**

- Notes:**
1. 10 copies of the Final Project Completion Report (PCR) should be sent within one month of the completion or termination of the project.
 2. The PCR should be in bound form.
 3. Cover page should include the title of the project, file number, names and addresses of the investigation.

1. Title of the project:
2. Principal Investigator(s) and Co-Investigator(s):
3. Implementing Institution(s) and other collaborating Institution(s):
4. Date of commencement:
5. Planned date of completion:
6. Actual date of completion:
7. Objectives as stated in the project proposal:
8. Deviation made from original objectives if any, while implementing the project and reasons thereof:
9. Experimental work giving full details of experimental set up, methods adopted, data collected supported by necessary table, charts, diagrams & photographs:
10. Detailed analysis of results indicating contributions made towards increasing the state of knowledge in the subject:
11. Conclusions summarising the achievements and indication of scope for future work:
12. S&T benefits accrued:

- i. List of Research publications

S No	Authors	Title of paper	Name of the Journal	Volume	Pages	Year

- ii. Manpower trained on the project
 - a) Research Scientists or Research Associates
 - b) No. of Ph.D. produced
 - c) Other Technical Personnel trained

iii. Patents taken, if any

13. Financial Position:

No	Financial Position/ Budget Head	Funds Sanctioned	Expenditure	% of Total cost
I	Salaries/ Manpower costs			
II	Equipment			
III	Consumables			
IV	Contingencies			
V	Travel			
VI	Institutional Charges			
	Total			100%

14. Procurement/ Usage of Equipment

a)

S No	Name of Equipment	Make/ Model	Cost (FE/ Rs)	Date of Installation	Utilisation Rate (%)	Remarks regarding maintenance/ breakdown

b) Plans for utilising the equipment facilities in future

Name and Signature with Date

a. _____
(Principal Investigator)

b. _____
(Co-Investigator)

Date:

Head of Institute/Organization

Note: Final project Completion Report (PCR) is expected to be self-contained complete report of the work done. Please do not leave any column unanswered.

ANNEXURE-D**PROFORMA FOR GFR 19-A**

(See Rule 212(1) of GFR 2005 form of Utilization Certificate).

**UTILISATION CERTIFICATE (2 COPIES)
FOR THE FINANCIAL YEAR - (ENDING 31ST MARCH)**

1. Title of the Project/ Scheme:
2. Name of the Institution:
3. Principal Investigator:
4. Science & Engineering Research Board (SERB) Sanction order No & date sanctioning the project:
5. Head of account as given in the original sanction order:
6. Amount brought forward from the previous Financial year quoting SERB letter no and date in which the authority to carry forward the said amount was given

i. Amount
ii. Letter No
iii. Date
7. Amount received during the financial year (Please give SERB letter/order no and date)

i. Amount
ii. Letter/Order No
iii. Date
8. Total amount that was available for expenditure (excluding commitments) during the financial year (Sr. No. 6+7)

Rs.

9. Actual Expenditure (excluding commitments) Incurred during the financial year (upto 31st March)

Rs.

10. Balance amount available at the end of the financial year:
11. Unspent balance refunded, if any (please give details of cheque no etc.):
12. Amount to be carried forward to the next financial year (if applicable):

UTILISATION CERTIFICATE

1. Certified that out of Rs_____ of grants-in-aid sanctioned during the year _____ in favour of _____ vide SERB order No. _____ dated ____ and Rs _____ on account of unspent balance of the previous year, a sum of Rs _____ has been utilised for the purpose of _____ for which it was sanctioned and that the balance of Rs _____ remaining utilised at the end of the year has been surrendered to SERB (vide DD/Cheque no. _____ dated _____) will be adjusted towards the grants-in-aid payable during the next year i.e. _____.

2. Certified that I have satisfied myself that conditions on which the grant-in-aid was sanctioned have been dully fulfilled/ are being fulfilled and that I have exercised the following checks to see that the money was actually utilized for the purpose for which it was sanctioned.

Kinds of checks exercised.

- 1.
- 2.
- 3.

Signature of PI

Signature of Registrar /
Signature of Head

Accounts Officer
of the Institute

Date

Date

Date

(Countersigned in SERB)

Signature:_____

Designation:_____

Date:_____

STATEMENT OF EXPENDITURE

1. Sanction Order No and date:
2. Total Project Cost:
3. Revised Project Cost:
(if applicable)
4. Date of Commencement:
5. Statement of Expenditure:
(month wise expenditure incurred during current financial year)

Month & year	Expenditure incurred/ committed

6. Grant received in each year:
 - a. 1st Year :
 - b. 2nd Year:
 - c. 3rd Year:
 - d. Interest, if any:
 - e. Total (a+b+c+d):

Statement of Expenditure

(to be submitted financial year wise ie. DOS* to 31st March of that financial year say 20XX, 01-04-20XX till 31.03.20XX+1 year and so on)

Sr No	Sanctioned Heads	Funds Allocated (indicate sanctioned or revised)	Expenditure Incurred				Balance as on (date)	Requirement of Funds upto 31 st March next year	Remarks (if any)
			<u>1st Year</u> (DOS to to 31 st March next year)	<u>2nd Year</u> (1 st April to 31 st March next year)	<u>3rd Year & so on</u> (1 st April to 31 st March next year)	Total			
I	II	III	IV	V	VI	VII (IV + V + VI)	VIII (III – VII)	IX	X
1.	Manpower costs								
2.	Consumables								
3.	TA / DA								
4.	Equipment								
5.	Institutional charges								
Total									

Name and Signature of Principal Investigator:

Date: _____

Signature of Competent financial authority:

(with seal)

Date: _____

*** DOS – Date of Start of project**

- Note : 1. Expenditure under the sanctioned heads, at any point of time, should not exceed funds allocated under that head, without prior approval of SERB i.e. Figures in Column (VII) should not exceed corresponding figures in Column (III)
2. Utilisation Certificate for each financial year ending 31st March has to be enclosed.

COST DETAILS OF PERMANENT EQUIPMENT/ ASSET

S No	Name of Equipment/ Asset with manufacturer & model name, etc. and date of procurement	Sanctioned Amount		Actual Expenditure*		Other expenses, if any **	Utilisation Rate (%)
		FE	Rs	FE	Rs		
1.							
2.							
3.							
Total							

* This should include only the cost of equipment, insurance and freight charges.

** Other expenses such as bank charges, agency commission etc. should be avoided through appropriate negotiations. If unavoidable expenses are incurred, the same may be indicated.

Name and Signature
of Principal Investigator:
Date:

Signature of Competent
financial authority: _____
(with seal)
Date: _____

ANNEXURE-E**PROFORMA FOR RULE 209 (1) OF GFR 2005****UNDERTAKING**

I, _____ s/o _____ R/o _____ (*Address*) _____, the deponent do hereby solemnly affirm and declare on oath as under: -

1. That the deponent is the Competent authority in the Organization. (*Name of firm and address*) _____.
2. That the organization has not availed any financial assistance for the same purpose or the R&D activity from the Ministry of Food Processing Industries in the past.
3. That the deponent do hereby affirm that the Organization will not apply/ has not applied for/ obtained any grant/ subsidy from any Ministry/ Central Government Department/ GOI organizations/ any agency of State / Central Government for the same purpose/ activity.
4. That all the documents, explanations/ information's etc. submitted by the organization from time to time are true, correct and complete to the best of its knowledge and belief.

Deponent

Verification:

Verified that the content of this affidavit are true and correct to the best of the knowledge and belief of the deponent and no part of this affidavit is kept concealed therein, If anything is found false in this Affidavit subsequently deponent and organization shall alone be liable jointly and severally for action under the laws, hence verified at _____ (*Place*) _____ on _____ (*Date*) _____.

Deponent

Terms and Conditions of the Grant

1. I shall from time to time disclose fully to SERB the progress of any other investigations undertaken by me while in receipt of such assistance as aforesaid.
2. I confirm that, at any time during the course of such assistance or within a period of three years after the completion of the project, if I shall make any invention arising out of or in connection with the said Investigation, I shall hold the same in trust on behalf of MFPI and I shall forthwith disclose to MFPI.
3. I confirm that the Applicant organization (Private organization) accepts that the remaining expenditure will be borne by them from their budget.
4. Confirmation that,
 - (a) Necessary provision for housing the equipment procured out of MFPI grant and other infrastructure facilities have been created,
 - (b) These equipment (or any one equipment) will not be shifted to any other place of work/laboratory/Department for any reason, as the set is for specialized research work and,
 - (c) The University/organisation will bear the cost of maintenance and repair of the equipment procured out of MFPI grant.
5. I confirm that the equipment will be procured through competitive bidding directly from manufacturers or their authorized agent(s). Further, in case of private organizations/universities/institutions, they shall submit copy of purchase order for the equipment to be purchased.
6. The result of the project shall be shared with SERB within the stipulated time and progress report will be sent (as per standard Proforma) as and when demanded by SERB, normally once a year.
7. At the end of each financial year (FY) and at the time of seeking further instalment of grant, I shall submit the following documents strictly as per SERB formats:
 - a) Two copies of audited Utilization Certificate (UC) and up to date Statement of Expenditure (SE) including expenditure for the previous financial year (in original); as per Annexure D

- b) Technical Progress Report as mentioned above in Para 6.
 - c) List of Assets acquired till that Financial Year.
8. I confirm that, (a) the research carried out with the financial assistance of MFPI shall be in public domain, (b) the equipment procured out of MFPI grant will be property of MFPI/GOI and may be utilized as Business/R&D Incubation Centre after the research is completed for testing / Research / Product Development etc by other Institute / organizations on payment basis.
 9. I confirm that employing any research or other staff for the instant project does not imply any assurance or guarantee for subsequent employment by MFPI. The Ministry will not be concerned / answerable for any legal issues related to further employment / payment of salary / wages etc and it will be solely the responsibility of the University / Institution where he/she is working.
 10. I confirm that any financial assistance for the proposed project shall not be obtained / taken from other sources (except industrial partner).
 11. As per the current guidelines, an affidavit/undertaking duly notarized / verified by competent authority / chief administrator of the organization in compliance with rule 209 [I] of GFR 2005, (Annexure-E) shall be submitted.
 12. Confirmation that the proposed equipment to be procured out of MFPI fund are not already available with any division/section of the institute/ organization.
 13. Expert Committee recommendation is subject to Administrative and Financial Approval of Competent Authority of SERB. The eligibility and pattern of assistance is that the Government organizations will be considered for financial assistance to the tune of 100% of equipment cost plus cost of consumables and expenditure related to JRF/SRF/RA and or Research / Project Assistant, specific to the project of specified duration up to three years only. No assistance will be provided for already existing equipments. Government organization will also be eligible for availing grant towards TA/DA and Institutional Charges as per the guidelines and Private organizations will be eligible for financial assistance towards the cost of equipment only to the tune of 50% in General Areas and 70% in the Difficult Areas. 100% grant will be provided for the Ministry sponsored project to (s) reputed public funded organization only in cases of cutting edge areas of research leading to development of innovative products, processes and manufacturing practices.

14. Undertake to refund unspent balance within 3 months of completion of project, else interest may be levied on that unspent amount as per provisions of GFR(s).

15. I hereby undertake to abide by the current Terms and Conditions for R&D Schemes.

Signature of P.I.

Date:

**Signature of
Head of Institute
/ Organization**

ANNEXURE-G**(To be prepared on No-Judicial Stamp paper of Rs. 100/-)****SURETY BOND**

KNOW ALL MEN BY THESE PRESENTS that we, M/s _____, a _____ (Type of organization) incorporated / registered under the _____ (Name of the Act) and having its registered office at _____ (hereinafter called the "Obligors") are held fully and firmly bound to the President of India (hereinafter called the "Government") for the sum of Rs. _____ (Rupees _____ only) well and truly to be paid to the Government on demand and without a demur for which payment we firmly bind ourselves and our successors and assignees by these presents.

SIGNED on the _____ day of _____ in the year Two Thousand _____.

WHEREAS on the Obligors' request, the Government as per Ministry of Food Processing Industries' Sanction Order No. _____ Dated _____

(hereinafter referred to as the "Letter of Sanction") which forms an integral part of these presents, and a copy whereof is annexed hereto and marked as Annexure-I, agreed to make in favour of the Obligors grants-in-aids-in-aid of Rs. _____ (Rupees _____ only) for the purpose of _____ (description of the project) at _____ out of which the sum of Rs. _____ (Rupees _____ only) have been paid to the Obligors (the receipt of which the Obligors do hereby admit and acknowledge) on condition of the Obligors executing a bond in the terms and manner contained hereinafter which the Obligors have agreed to do.

NOW the conditions of the above written obligation is such that if the Obligors duly fulfill and comply with all the conditions mentioned in the letter of sanction, the above written Bond or obligation shall be void and of no effect. But otherwise, it shall remain in full force and virtue. The Obligors will abide by the terms & conditions of the grants-in-aid by the target dates, if any specified therein.

THAT the Obligors shall not divert the grants-in-aids and entrust execution of the Scheme or work concerned to another institution(s) or organization(s).

THAT the Obligers shall abide by any other conditions specified in this agreement and in the event of their failing to comply with the conditions or committing breach of the bond, the Obligers individually and jointly will be liable to refund to the President of India, the entire amount of the grants -in-aid with interest of 10% per annum thereon. If a part of the grants-in-aid is left unspent after the expiry of the period within which it is required to be spent, interest @10% per annum shall be charged upto the date of its refund to the Government, unless it is agreed to be carried over.

The Obligers agree and undertake to surrender / pay the Government the monetary value of all such pecuniary or other benefits which it may receive or derive / have received or derived through / upon unauthorized use of (such as letting out the premises on adequate or less than adequate consideration or use of the premises for any purpose other than that for which the grants-in-aid was intended of the property) buildings created / acquired constructed largely from out of the grants-in-aid sanctioned by the Government of India, Ministry of Food Processing Industries or the administrative Head of the Department concerned. As regards the monetary value aforementioned to be surrendered / paid to the Government, the decision of the Government will be final and binding on the Obligers.

AND THESE PRESENTS ALSO WITNESS THAT the decision of the Secretary to the Government of India in the Ministry of Food Processing Industries on the question whether there has been breach or violation of any of the terms or conditions mentioned in the sanction letter shall be final and binding upon the Obligers and

IN WITNESS WHEREOF these presents have been executed as under on behalf of the Obligers the day herein above written in pursuance of the Resolution No. _____
Dated

_____ passed by the governing body of the Obligers, a copy whereof is annexed hereto as Annexure-II and by _____ for and on behalf of the president on the date appearing below:-

Signature of the AUTHORISED
SIGNATORY Signed for and on behalf of
(Name of the Obliger in block letters) (Seal
/ Stamp of Organization)

1. Signature of witness

Name & Address

2. Signature of witness

Name & Address

TO BE FILLED UP BY THE SCIENCE AND ENGINEERING RESEARCH BOARD
(SERB)

the applicant University/Institute/organisation must submit the quotation,
detailed specification alongwith the copy of Purchase Order for the
equipments to be procured out of Second instalment

(ACCEPTED)

For and on behalf of the President of India

Name: _____

Designation: _____

Dated: _____

Notary Seal & Signature

**Revised Guidelines
For**

**Promotional Activities through
National/International Exhibitions/Fairs
and Studies/Surveys, Workshops, Seminars**

**during 12th Plan Period
(with effect from 01.04.2013)**

**Government of India
Ministry of Food Processing Industries
Panchsheel Bhawan
August Kranti Marg
New Delhi – 110049**

File No. 1-7/2014-Study

Dated 28.10.2014

GUIDELINES (XII Plan) FOR PROMOTIONAL ACTIVITIES THROUGH NATIONAL/ INTERNATIONAL EXHIBITIONS/ FAIRS AND STUDIES/ SURVEYS, WORKSHOPS, SEMINARS.

1. Objectives of the scheme:-

The promotional activities of the Ministry are aimed at the development of the processed food sector, creating awareness, attracting investment etc. Participation in national/international exhibitions / fairs is made to disseminate information regarding food processing industries, familiarizing the existing and prospective entrepreneurs with modern techniques of production and packaging, development of market and popularisation of products. The Ministry also provides assistance for organizing workshops, seminars, exhibitions/fairs. Studies/ surveys/feasibility reports are essential to monitor/review/assess and revise various schemes/plans/vision for Ministry as well as allied sectors. Assistance is also provided for organizing study tours for exposure to various aspects of Food Processing.

2. The scheme has four components broadly-

- (i) Seminars / Workshops.
- (ii) Studies / Surveys.
- (iii) Exhibitions/Fairs.
- (iv) Study Tours.

3. Guidelines for each of the components of the scheme, separately, are as follows:-

3. 1. SEMINARS / WORKSHOPS

3.1.1 Objectives: To focus attention on the development of Food Processing Industries.

3.1.2 Eligible Organizations: Assistance for National/International Seminar/Workshop would be provided by MoFPI under the Quality Assurance Scheme provided they have Pan India importance and spearheaded by Apex Industry Bodies like CII, FICCI, ASSOCHAM, PHD Chamber of Commerce and Industry and All India Food Processors Association (AIFPA), Central Govt. Autonomous Bodies and Public Sector Undertakings. These organizations are required to apply in the prescribed format (Annexure-I) at least 2 months in advance of the event. In case an event has already taken place assistance shall not be considered.

3.1.3 Sponsorship/Co-sponsorship: Prior confirmation from the Ministry of Food Processing Industries is to be obtained by the organization, before the start of the event if sponsorship/co-sponsorship for the event is being sought by the organization.

3.1.4 Criteria: The organization must ensure that the target group of participants is from processed food sector.

3.1.5 Pattern of Assistance:- For organizing seminars/ workshops agencies will be eligible for grant up to 50% of the cost subject to a maximum of Rs. 4 lakhs. When the Ministry sponsors/co-sponsors such events, there would be no ceiling to financial assistance provided. Sponsoring / co-sponsoring of the event organized by other organizations would be done by the Ministry without any legal, administrative and financial commitment or responsibility.

3.1.6 Release of Grant: The grant will be released in two equal installments: -

(A) First installment of 50% of the grant will be released on submission of the following information / documents: –

- (i) Confirmed date of the event / programme.
- (ii) Disclosure of sources of funding.
- (iii) Surety Bond on a non-judicial stamp paper of Rs.100/- or above as per Proforma enclosed (Annexure-II), wherever called for. **Execution of Bond will not apply to Quasi-Government Institutions, Central Autonomous Organizations and Institutions whose budget is approved by Government.**
- (iv) Confirmation from the organizers that no Utilization Certificate is pending submission by them in respect of previous grant(s), if any, availed from this Ministry.
- (v) **A Certificate** to the effect that the organization has not availed / applied for / will not avail grant/ subsidy from any other Ministry / Department / Agency of Govt. of India or State Govt. for the same purpose / activity / component under the provision of GFR 209(1) as per pro-forma enclosed (Annexure-III).

The above-mentioned information / documents are required to be received in this Ministry prior to the event.

(B) Second and final installment will be released on receipt of complete post event details containing the following documents: -

- (i) Proceedings of the event.
- (ii) Copies/cutting of advertisements/publicity done.
- (iii) List of participants.
- (iv) List of resource persons with topics/presentations by them.
- (v) Suggestions/Queries of participants, if any.
- (vi) Details of sources of income and items of expenditure duly audited by C.A.
- (vii) Outcome of the event / recommendations for various stakeholders.
- (viii) Follow up action taken / to be taken.
- (ix) UC for the first installment of the grant in the proforma for GFR 19-A enclosed (Annexure-IV).

In case of post event release of grant for a seminar/workshop, it shall be released lump-sum in one installment after receipt of the complete information/ document as required for release of first & second installment both as mentioned above.

3.2 STUDIES / SURVEYS: Conducting Study/Survey/Feasibility Report, etc. will not be assisted by the Ministry except when the Ministry commissions the same.

3.2.1 Objectives:- To monitor/review/assess and revise various schemes/plans/vision for the Ministry as well as allied sectors.

3.2.2 Criteria:- Study/ Survey must be useful in monitoring/reviewing/assessing and revising various schemes/plans/vision for the Ministry as well as allied sectors.

3.3 EXHIBITIONS/FAIRS

3.3.1 Objectives:

- To disseminate information regarding food processing industry.
- To familiarize the existing and prospective entrepreneurs with modern techniques of production and packaging.
- Development of market and popularization of products.
- Attracting investments by focusing attention on the development of Food Processing Industries
- Assessment of potential and other relevant aspects of Food Processing Industries on sectoral and regional basis.

3.3.2 Eligible Organisations: The Ministry on its own or in close association with APEDA, CFTRI, Industry Associations etc. may participate in national/ international exhibitions/fairs. In this regard, assistance is provided for publication of literature, space rentals etc. The quantum of assistance depends on the merits of proposal. Government/Academic Bodies, National Level Industries Associations like FICCI, CII, ASSOCHAM, PHD Chamber of Commerce and AIFPA etc, can apply directly in the prescribed format. The proposal duly recommended to be submitted at least 2 months in advance of event. In case an event has already taken place assistance shall not be considered. For participation in fairs/exhibitions abroad, assistance may be provided to government/ government organizations.

3.3.3 Criteria: The target group must be from processed food sector.

3.3.4 Pattern of Assistance:

- (i) When Ministry in close association with APEDA, CFTRI, Industry Associations etc. participates in national/ international exhibitions/fairs, financial assistance shall be provided for common item of expenditure like space rentals, construction of stall, publication of literature etc.
- (ii) In case of financial assistance to any institution/ organization for organizing a fair/exhibition or sponsoring/co-sponsoring of a fair/exhibition, quantum of assistance shall be decided on merits of the proposal. Sponsoring / co-sponsoring of the event organized by other organizations would be done by the Ministry without any legal, administrative and financial commitment or responsibility provided at least 50% coverage is given to processed food sector.

3.3.5 Release of Grant:

In case of post event payment, financial assistance will be released in one lump - sum and in one installment. In other cases, the financial assistance will be released in two equal installments as per the following terms of payment: -

1. First installment of 50% of the grant will be released on submission of following information/documents prior to the event: -

- (i) Confirmed date of the event / programme.
- (ii) Disclosure of sources of funding.
- (iii) Surety Bond on a non-judicial stamp paper of Rs.100 or above as per Proforma enclosed, wherever called for. **Execution of Bond will not apply to Quasi-Government Institutions, Central Autonomous Organizations and Institutions whose budget is approved by Government.**
- (iv) Confirmation from the organizers that no Utilization Certificate is pending submission by them in respect of previous grant, if any, availed from this Ministry.

2. Second installment will be released on receipt of complete post event details containing the following documents: -

- (i) Proceedings of the event.
- (ii) Copies/cutting of advertisements/publicity done.
- (iii) List of visitors and participants.
- (iv) Details of sources of income and items of expenditure duly audited by C.A.
- (v) UC for earlier MFPI grant, if received.
- (vi) Suggestions/Queries if any, of participants and visitors.
- (vii) Outcome/recommendations of the event for various stakeholders.
- (viii) Follow up action taken/to be taken.

3.3.6 MINISTRY'S PARTICIPATION IN THE FAIRS/EXHIBITIONS

Participation of the Ministry on its own in the fairs / exhibitions shall be made either through its own officers / resources through engagement of empanelled Event Management Agency selected, short listed and empanelled after following due procedure through a transparent competitive bidding process. The event manager shall submit a post event report along with the photographs, visitors book and visiting cards etc and invoice/bill. After receipt of the afore-mentioned documents etc and on basis of the report submitted by the representative of the Ministry their payment shall be released lump sum in one installment. The rate for hiring of space in case of domestic fairs / exhibitions excluding international fairs in India would be equivalent to the prevailing rate charged by ITPO for AAHAR for that year.

3.3.7 FINANCIAL ASSISTANCE TO GOVERNMENT/ GOVERNMENT ORGANIZATIONS FOR PARTICIPATION IN EXHIBITIONS / FAIRS ABROAD

For participation in fairs/exhibitions abroad, 25% of the actual rental for the space taken by the Government / Government Organizations will be provided by MFPI subject to maximum of Rs. 20.00 lakhs in a year.

Grantee institution/ organization must apply in the format of MFPI prescribed for Financial Assistance for organizing Seminars/ Workshops/ Exhibitions/ Fairs (Annexure-I) indicating all the required details at least two months in advance of the event.

3.4 STUDY TOURS

Assistance may also be provided for organizing study tours for exposure to various aspects of Food Processing. Participants could be representatives from the Government, Food Industry associations/organizations.

The organization seeking the assistance for organizing a study tour must submit an application indicating objective of the study tour, Place(s) to be visited during the tour, composition of the study team, bio-data of the members of the study team, detailed justification for the study tour, total estimated expenditure on the tour along with its break-up, assistance sought from MFPI, contribution from the organizers and sources of funding.

3.4.1 HOW TO APPLY

Application in the MFPI's prescribed format i.e. Annexure-I for organizing a seminar/workshops/ exhibitions/fairs to be submitted to MFPI. Application Format is also available on MFPI website: www.mofpi.nic.in

Application Form

For Financial Assistance for organizing Seminars/ Workshops/Exhibitions/Fairs

1. Organiser/Promoter:
Name & Address
Telephone/fax/e-mail nos.
(Please attach copies of Registration certificate,
Memorandum and Articles of Association
and Audited Annual Accounts for the last three years)
2. Main activities of the Organization
3. Name of the event, i.e., Seminar/workshop/ Exhibition/Fairs (Subject details of the event may be indicated)
4. Date(s) and period of the proposed event
5. Venue (preferential treatment will be given for holding the event in areas where SC/ST Population is predominant)
6. Objective of the event (with specific relevance to promotion of food processing industries)
7. No. of participants (Target group of the Participations may be indicated)

From India
From Abroad
8. Estimated expenditure with detailed break- up of expenditure
9. Whether the organization is prepared to contribute 50% of the estimated expenditure
10. Sources of funding: -
 - i. MFPI's assistance sought
 - ii. Grant sought to be received from Other Government bodies/organizations Including private organizations etc
 - iii. Organizers' own contribution
 - iv. Income from registration/ participation fees
 - v. Income from souvenir
 - vi. Income from other sources (to be identified)

11. Details of Resources persons (Faculties/speakers)
(Their names, address and topics to be addressed by them to be mentioned)
12. Experience of the Organiser/promoter (In case, they have organized similar event (s) earlier, their details along with the outcome may also be indicated)
13. A Certificate indicating details of grants received from this Ministry and/or any other Ministry /Department of the Central Government duly Affirmed and attested by Notary (applicable in the case of NGOs).
14. Whether Utilisation Certificates for earlier grants-in-aid received from MFPI in from 19-A, duly countersigned by a Chartered Accountant has been furnished if so, a copy of the same may be enclosed. If not, the same may please be furnished along with this application.
15. Please indicate briefly the capabilities of the organization to conduct the event leading to logical conclusions/recommendations for the benefit of processed Food sector.

Date: _____

Signature
(Stamp)

SURETY BOND

KNOW ALL MEN BY THESE PRESENTS that we, M/s _____, a _____ (Type of organization) incorporated / registered under the _____ (Name of the Act) and having its registered office at _____ (hereinafter called the "Obligors") are held fully and firmly bound to the President of India (hereinafter called the "Government") for the sum of Rs. _____ (Rupees _____ only) well and truly to be paid to the Government on demand and without a demur for which payment we firmly bind ourselves and our successors and assignees by these presents. SIGNED on the _____ day of _____ in the year Two Thousand _____.

WHEREAS on the Obligors' request, the Government as per Ministry of Food Processing Industries's Sanction Order No. _____ Dated _____ (hereinafter referred to as the "Letter of Sanction") which forms an integral part of these presents, and a copy whereof is annexed hereto and marked as Annexure-I, agreed to make in favour of the Obligors grants-in-aids-in-aid of Rs. _____ (Rupees _____ only) for the purpose of _____ (description of the project) at _____ out of which the sum of Rs. _____ (Rupees _____ only) have been paid to the Obligors (the receipt of which the Obligors do hereby admit and acknowledge) on condition of the Obligors executing a bond in the terms and manner contained hereinafter which the Obligors have agreed to do.

NOW the conditions of the above written obligation is such that if the Obligors duly fulfill and comply with all the conditions mentioned in the letter of sanction, the above written Bond or obligation shall be void and of no effect. But otherwise, it shall remain in full force and virtue. The Obligors will abide by the terms & conditions of the grants-in-aid by the target dates, if any specified therein.

THAT the Obligors shall not divert the grants-in-aids and entrust execution of the Scheme or work concerned to another institution(s) or organization(s).

THAT the Obligors shall abide by any other conditions specified in this agreement and in the event of their failing to comply with the conditions or committing breach of the bond, the Obligors individually and jointly will be liable to refund to the President of India, the entire amount of the grants-in-aid with interest of 10% per annum thereon. If a part of the grants-in-aid is left unspent after the expiry of the period within which it is required to be spent, interest @10% per annum shall be charged upto the date of its refund to the Government, unless it is agreed to be carried over.

The Obligors agree and undertake to surrender / pay the Government the monetary value of all such pecuniary or other benefits which it may receive or derive / have received or derived through / upon unauthorized use of (such as letting out the premises on adequate or less than adequate consideration or use of the premises for any purpose other than that for which the grants-in-aid was intended of the property) buildings created / acquired constructed largely from out of the grants-in-aid sanctioned by the Government of India, Ministry of Food Processing Industries or the administrative Head of the Department concerned. As regards the monetary value aforementioned to be surrendered / paid to the Government, the decision of the Government will be final and binding on the Obligors.

AND THESE PRESENTS ALSO WITNESS THAT the decision of the Secretary to the Government of India in the Ministry of Food Processing Industries on the question whether there has been breach or violation of any of the terms or conditions mentioned in the sanction letter shall be final and binding upon the Obligers and IN WITNESS WHEREOF these presents have been executed as under on behalf of the Obligers the day herein above written in pursuance of the Resolution No. _____ Dated _____ passed by the governing body of the Obligers, a copy whereof is annexed hereto as Annexure-II and by _____ for and on behalf of the president on the date appearing below: -

Signature of the AUTHORISED SIGNATORY
Signed for and on behalf of
(Name of the Obliger in block letters)
(Seal / Stamp of Organization)

1. Signature of witness
witness
Name & Address

2. Signature of
Name & Address

TO BE FILLED UP BY THE MINISTRY OF FOOD PROCESSING INDUSTRIES
(ACCEPTED)

For and on behalf of the President of India

Name: _____
Designation: _____
Dated: _____

CERTIFICATE

I.....son..... of.
aged..... Chairman / President / Director /
 Secretary / of (Name of the organization) and
 address.....hereby affirm and declare as under –

1. That the organization has not availed / applied for / will not avail grant/ subsidy from any other Ministry / Department / Agency of Govt. of India or State Govt. for the same purpose / activity / component.
2. That all the documents, explanations / information's etc. submitted by the company from time to time are true, correct and complete to the best of the company's knowledge and belief.

I also affirm that the Declaration / Certification given above by me is true and fair to the best of my knowledge and belief.

Signature

VERIFICATION

Verified that the contents of this certificate are true and correct to the best of my personal knowledge and belief. If anything is found false in this certificate subsequently, my organization and I shall be liable jointly and severally for action under the laws.

Signature

PROFORMA FOR GFR 19-A

(See Government of India's Decision (1) below rules 150) form of Utilization Certificate for: -

S. No.	Letter No. & Date	Amount

1. Certified that out of Rs._____ of Grant-in-Aid sanctioned during the year_____in favour of_____ under this Ministry/Department letter No. given in the margin and Rs._____ on account of unspent balance of the previous year, a sum of Rs._____ has been utilized for the purpose of _____ for which it was sanctioned that the balance of Rs._____ remaining un-utilized at the end of the year has been surrendered to Government (Vide No._____ dated _____ will be adjusted towards the Grants-in-Aid payable during the next year_____.

2. Certified that I have satisfied myself that the conditions on which the Grant-in-Aid was sanctioned have been dully fulfilled are being fulfilled and that I have exercised the following checks to see that the money was actually utilized for the purpose for which it was sanctioned.

Kinds of Checks exercised.

- 1.
- 2.
- 3.
- 4.

Signature_____

Designation_____

Date_____

(GMMF, O.M. No. 14(1)-F-II (A)/73 dated the 23rd April, 1975)

Application Form

For Financial Assistance for Conduct of Studies/ Surveys

1. Name of the Organization
Address
Telephone/fax/E-mail nos.
(please attach copies of Registration certificate.
Memorandum and Articles of Association
And audited annual accounts for the last three years)
2. Main activities of the organization
3. Purpose and subject of the study/Survey
4. Methodology to be adopted
5. Detailed terms of reference
6. Benefits from the proposed study/Survey
7. Whether at least two beneficiaries have been roped with the study and whether beneficiaries are prepared to contribute 10% of the cost.
8. Whether SCs & STs would be benefited directly or indirectly from the project.
9. Time for completion of the study
& Implementation schedule
10. Cost of the study along with detailed break-up.
11. Whether the organization is agreeable
to contribute 50% of the cost of the study.
if so, the source of funding may be indicated
12. Amount of assistance sought from MFPI
13. Payment Scheduled
14. Details of previous studies conducted by
the organization. Please furnish a copy
of best report with following details: -

<i>Subject of Study</i>	<i>Organization For which done</i>	<i>Year</i>	<i>Amount</i>
-------------------------	--	-------------	---------------

- 15 An affidavit indicating details of grants received
From this Ministry and/or any other Ministry/Department of the
Central Government duly affirmed on oath and attested
By Notary (applicable in the case of NGOs)
- 16 Whether Utilization Certificate for earlier
Grants-in-aid received from MFPI in
Form 19-A, duly countersigned by a
Chartered Accountant has been furnished.
If so, a copy of the same to be enclosed.
If not the same to be furnished
alongwith this application.
- 17 Enclose technical bio-data of Consultants
Proposed to be engaged for the project.

Date: _____

(Stamp

Signature

Urgent
By Speed Post

2-47/2009-AHT (FF)/ NLM Vol.III
Government of India
Ministry of Agriculture and Farmers Welfare
Department of Animal Husbandry, Dairying & Fisheries

Krishi Bhawan, New Delhi

Dated: 25 April, 2017

To,

Principal Accounts Officer
Ministry of Agriculture & Farmers Welfare
Department of Animal Husbandry, Dairying and Fisheries
16 Akbar Road New Delhi

Subject: Administrative approval for the implementation of Centrally Sponsored Scheme- "National Livestock Mission" during 2017-18 - reg.

Sir,

I am directed to convey Administrative Approval of Government of India for implementation of Centrally Sponsored Scheme- "National Livestock Mission", hereinafter referred to as "Mission" for brevity, to States/ UTs with an outlay of **Rs. 310 crores (Rs. Three Hundred Ten Crores only)** during the financial year 2017-18 with immediate effect till Sept 30, 2017

2. The Mission is designed to cover all the activities required to ensure quantitative and qualitative improvement in livestock production systems and capacity building of all stakeholder. The Mission is comprised of following four Sub-Missions:

a) Sub-Mission on Livestock Development

The Sub-Mission on Livestock Development includes activities to address the concerns for development of livestock species, other than cattle and buffalo, with a holistic approach covering poultry as well. Risk Management (Livestock Insurance) component of the Sub-Mission will, however, cover the indigenous / crossbred milch animals, pack animals (Horses, Donkey, Mules, Camels, Ponies and Cattle and Buffalo males) and Other livestock (Goat, Sheep, Pigs, Rabbit, Yak and Mithun).

b) Sub-Mission on Pig Development in North-Eastern Region

There has been persistent demand from the North Eastern States seeking support for all round development of pigs in the region. Therefore, pig development in the North Eastern Region is being taken up as a Sub-Mission of NLM. The Sub-Mission will strive to forge synergies of research and development organizations through appropriate interventions, as may be required for holistic development of pigs in the North Eastern Region.

c) Sub-Mission on Fodder and Feed Development

The Sub-Mission will try to address the problems of scarcity of animal feed resources, in order to give a push to the livestock sector making it a competitive enterprise for India, and also to harness its export potential. The Sub-Mission will specially focus on increasing both production and productivity through adoption of

Sharmistha

improved and appropriate technologies best suited to specific agro-climatic region in both arable and non-arable land.

d) Sub-Mission on Skill Development, Technology Transfer and Extension

The extension machinery at field level for livestock activities need immediate strengthening. As a result, farmers are not able to adopt the technologies developed by research institutions. The emergence of new technologies and practices require linkages between stakeholders. The Sub-Mission will provide a platform to develop or adapt the knowledge in collaboration with farmers, researchers and extension workers, wherever it is not possible to achieve through existing arrangements.

3. The funding of the Sub- Mission mentioned under 2(a) to (d) in para (2) shall be in the sharing ratio of 60:40 between the Centre and the States for those schemes for which the Central share was higher earlier. However, for those scheme for which the Central share was 60% or lower the same will continue as per the existing Guidelines. Further for the eight North-Eastern and three Himalayan States this ratio of sharing between Central and State will be 90:10. It is clarified that in these eight North Eastern States and three Himalayan States for those schemes for which the Central Share was 90% or lower the same will continue as per the existing Guidelines. Similarly for Union territories, the Centrally Sponsored Schemes will be funded 100 percent by the Central Government except for those schemes for which the Central share was lower than 100%, the same will continue as per the existing Guidelines.

4. Department of Animal Husbandry, Dairying and Fisheries reserves the right to modify, add, delete any term/ conditions without assigning any reason and its interpretation of various terms will be final. Department of Animal Husbandry, Dairying and Fisheries reserves the right to recall any amount given under the scheme without assigning any reason thereof.

5. Due to budget constraints, the prioritization of components to be covered may be done.

6. The State Government may ensure that, funds provided under the Special Component Plan for SCs (SCPSC) are used for the specific purpose. Where separate funds for Scheduled Tribes, women beneficiaries and for physically challenged/ differently-abled persons have not been provided, efforts may be made to cover 8%, 30% and 3% of the budget allocation respectively, as far as possible for the said categories. Further, landless farmers, small and marginal farmers may be given preference in selection of beneficiaries.

7. It has been decided to integrate under Direct Benefit Transfer (DBT) all transactions and benefits transferred, whether cash, infrastructure, goods and services under various components of National Livestock Mission (NLM). This is done to enable transparency and traceability of all benefits provided to the end beneficiary. Kindly integrate the Public Financial Management System (PFMS) and DBT, where applicable, for infrastructure development and for beneficiary-oriented components where cash, goods or services is transferred/ provided respectively. In case of beneficiary oriented components, the UID numbers of individual beneficiaries may be recorded and included in all project related documents. However, beneficiaries who have not yet received the UIDs may not be subjected to any disadvantage. Other acceptable ID criteria like BPL register may be used in cases UID not issued. Similarly, for funds channelized through NABARD for bankable

Sharm Bhabha

projects under Entrepreneurship Development and Employment Generation (EDEG) component of NLM, DBT/ linkage to AADHAR need to be done.

8. National/ State environmental & pollution control laws/ Rules/ Regulations should be complied with. The signboard at implementation site must also display - "Assisted by Department of Animal Husbandry, Dairying and Fisheries, Ministry of Agriculture, Government of India".

9. Proposals, Utilization Certificate, Physical Progress Report and other relevant correspondences complete in all respects may please be forwarded to Joint Secretary (ANLM), Ministry of Agriculture Department of Animal Husbandry, Dairying and Fisheries Room No. 246 -A, Krishi Bhawan, New Delhi-110001.

10. The scheme was originally approved for the 12th Plan period and is presently under review. This Administrative Approval is being issued subject to the following-

a) Pending appraisal/approval of the scheme , an interim extension for a period of six months beyond 31.3.2017 i.e., upto 30.9.2017 has been granted subject to the condition that there shall be no change in nature, scope and coverage of the scheme as approved for the 12th Plan.

b) The norms of assistance for various components shall be the same as approved by the Government for the 12th Plan and no change /modification/addition shall be permissible in scheme components/operational guidelines during this interim period.

c) Provisions of General Financial Rules ,2017 shall be applicable during this period.

d) Release of funds shall be as per Cash management System guidelines issued by Budget Division, Department of Economic Affairs, Ministry of Finance vide OM No.4(10)-W&M/2016, dated 4.8.2016.

11. This issues with the approval of AS&FA's vide Diary no.4282- FTS dated 19.4.2017

Dharm Prakash

(Dharm Prakash)

Under Secretary to the Govt. of India

Copy forwarded for information and necessary action to:

1. Principal Secretary / Secretary, Animal Husbandry of all States & UTs
2. Principal Secretary / Commissioner / Secretary, Dairy Development of all States & UTs.
3. APC / Principal Secretary / Secretary, Department of Agriculture, all States & UTs.
4. Principal Secretary / Commissioner / Secretary, Ministry of Finance, all States & UTs.
5. Principal Secretary / Secretary, Panchayati Raj, all States & UTs.
6. Principal Secretary / Secretary, Department of Forests, all States & UTs.

DHARM PRAKASH
अवर सचिव/Under Secretary
पशुपालन, डेयरी एवं मत्स्यपालन विभाग
D/o Animal Husbandry, Dairying & Fisheries
कृषि एवं किसान कल्याण मंत्रालय
Ministry of Agriculture & Farmers Welfare
भारत सरकार/Government of India
क्रिशी भवन, नई दिल्ली
Krishi Bhawan, New Delhi

7. Commissioner / Director of Animal Husbandry & Veterinary Services of all States & UTs.
8. Chief Executive Officer, Livestock Development Board/ Agencies of all States & UTs.
9. Commissioner / Managing Director of Dairy Development/ Milk Federation of all States & UTs.
10. Principal Chief Conservator of Forest of all States / UTs.
11. Advisor (Agriculture), Planning Commission, Yojana Bhawan, New Delhi.
12. Secretary to Ministry of Environment and Forests, Ministry of Environment & Forests, Paryavaran Bhawan, CGO Complex, Lodhi Road, New Delhi - 110 003.
13. Chief General Manager, Animal Husbandry / technical Services Department, National Bank for Agriculture & Rural Development (NABARD), C-24, "G"-Block, Bandra-Kurla Complex, Bandra East Mumbai 400 051.
14. Chairman, NDDB, Anand, Gujarat.
15. Managing Director, NDDB, Anand, Gujarat.
16. Secretary, Department of Agriculture & Cooperation, Krishi Bhawan, New Delhi.
17. Secretary, Deptt. Of Agricultural Research and Education, and DG, ICAR, Krishi Bhawan, New Delhi.
18. Secretary to Ministry of Panchayati Raj, Krishi Bhawan, New Delhi.
19. Secretary to Ministry of Women and Child Development, Shastri Bhawan, A - Wing, Dr. Rajendra Prasad Road, New Delhi-110001.
20. **Secretary to Ministry of Development of North Eastern Region, Vigyan Bhawan Annexe, Maulana Azad Road, New Delhi - 110011.**
21. Secretary to Department of Food and Public Distribution, Krishi Bhawan, New Delhi.
22. Secretary to Ministry of Rural Department, Krishi Bhawan, New Delhi.
23. Secretary to Ministry of Tribal Affairs, Shastri Bhawan, A - Wing, Dr. Rajendra Prasad Road, New Delhi, 110001.
24. Secretary to Ministry of Minority Affairs, 11th Floor, Paryavaran Bhawan, CGO Complex, New Delhi-110003.
25. **Chairman cum Secretary, Agricultural & Processed Food Products Export Development Authority, NCUI Building 3, Siri Institutional Area, August Kranti Marg, New Delhi - 110016, India.**
26. Principal Pay & Accounts Office, 16-A, Akbar Road Hutments, New Delhi.
27. Pay & Accounts Officer, Department of Agriculture, Krishi Bhawan, New Delhi.
28. Directors of all central Organizations-RFS, CPDOs and CSBF
29. PAOs of concerned Central Organizations.
30. Directors, Central Organizations, Government of India.
31. PPS to Secretary (ADF), Krishi Bhawan, New Delhi.
32. PPS to AS&FA, DADF, Krishi Bhawan, New Delhi.
33. PSs to AHC / JS(APF) & Mission Director / JS(CDD) / JS(Fy.) / JS (LH).
34. Director (Budget)/ US (Finance) Department of Animal Husbandry & Dairying, Krishi Bhawan, New Delhi.
35. Dir (ANLM)/DS (GC)/AD (PC)/Guard File.

Sham Bahar

NATIONAL LIVESTOCK MISSION

OPERATIONAL GUIDELINES

(REVISED AS ON 27.04.2016)



**Government of India
Ministry of Agriculture and Farmers Welfare
Department of Animal Husbandry, Dairying & Fisheries
Krishi Bhavan, New Delhi.**

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Abbreviations Used

AHD- Animal Husbandry Department	DoAC- Department of Agriculture and Cooperation and Farmers Welfare
AI- Artificial Insemination	
APEDA- Agricultural and Processed Food Products Export Development Authority	DRDA- District Rural Development Agency
ARTs- Assisted Reproduction Technologies	EC- Executive Committee
ATMA- Agricultural Technology Management Agency	EDEG- Entrepreneurship Development and Employment Generation
AV- Audio-Visual	FMD- Foot and Mouth Disease
BDO- Block Development Office	FO- Farmers Organizations
BPL- Below Poverty Line	FPO- farmers' Producers Organization
CAFÉ- Capacity Building of Farmers in Agriculture for Farmer-Led Extension	GC- General Council
CEO- Chief Executive Officer	GFR- General Financial Rules
CFSPF- Central Fodder Seed Production Farm	GoI- Government of India
CGU- Central Grower Unit	HoD- Head of Department
CLRI- Central Leather Research Institute	ICAR- Indian Council of Agriculture Research
CPR- Common Property Resources	ICT- Information and Communications Technology
CS- Central Sector Scheme	ID- Identification Number
CSF- Classical Swine Fever	IDSRR Integrated Development of Small Ruminants and Rabbits
CSS- Centrally Sponsored Scheme	IEC- Information, Education and Communication
DAHDF/ DADF- Department of Animal Husbandry, Dairying & Fisheries	JFM Committee- Joint Forest Management Committee
DIL- Disease Investigation Laboratory	JLG- Joint Liability Group
DLMC- District Livestock Mission Committee	KVK- Krishi Vigyan Kendra
	LEF- Livestock Extension Facilitator
	LFG- Livestock Farmers Groups

LWE States- Left-Wing Extremism States	SAU/ SVU- State Agriculture University/ State Veterinary University
MIS- Management Information System	SC- Scheduled Caste
MNREGA- Mahatma Gandhi National Rural Employment Guarantee Act	SC/EMC- Sub Committee/ Empowered Committee
MoEF- Ministry of Environment and Forests	SCPSC- Special Component Plan for Scheduled Castes
MoU- Memorandum of Understanding	SFCI- State Farms Corporation of India Limited
MT- Metric Tonnes	SHG- Self-help group
NABARD- National Bank for Agriculture and Rural Development	SIAs- State Implementing Agencies
NADRS- National Animal Disease Reporting System	SLBC- State Level Bankers' Committee
NBAGR- National Bureau of Animal Genetic Resources	SLEC- State Level Executive Committee
NDDB- National Dairy Development Board	SLM- State Livestock Mission
NGO-Non-governmental organization	SMBC - Salvaging of Male Buffalo Calves
NLM- National Livestock Mission	SMS- Subject Matter Specialist
NMPS- National Mission for Protein Supplements	ST- Scheduled Tribe
PigD- Pig Development	TDN- Total digestible nutrients
PLP- Potential Linked Credit Plan	TSG- Technical Support Group
PRI- Panchayati Raj Institutions	TSP- Tribal Sub-Plan
PVCF- Poultry Venture Capital Fund	UC- Utilization Certificate
RBI- Reserve Bank of India	UID- Unique Identification Number
RSFPD- may be read as Regional Fodder Stations (RFS)	UT- Union Territory
	VCI- Veterinary Council of India

NATIONAL LIVESTOCK MISSION

1. Introduction

1.1 The National Livestock Mission (NLM) has been formulated by subsuming and modifying 7 Centrally Sponsored and 7 Central Sector Schemes of Government of India, given under table-1.

Table 1. List of XI Plan Schemes included under the National Livestock Mission

S. No	Name of the Central Sector Schemes
1	Central Fodder Development Organisations
2	Central Sheep Breeding Farm
3	Central Poultry Development Organisations
4	Integrated Development of Small Ruminants and Rabbits
5	Piggery Development
6	Poultry Venture Capital Fund
7	Salvaging and rearing of male buffalo calves
	Name of the Centrally sponsored Scheme
1	Centrally Sponsored Fodder and Feed Development Scheme
2	Conservation of Threatened Breeds of Livestock
3	Poultry Development
4	Utilisation of Fallen Animals
5	Livestock Insurance
6	Establishment / modernization of Rural Slaughterhouses, including mobile slaughter Plants
7	Livestock extension and delivery services

1.2 The NLM will be implemented throughout India in accordance with guidelines described hereunder.

2. Mission Objectives

2.1 The NLM intends to achieve the following objectives:

1. Sustainable growth and development of livestock sector, including poultry
2. Increasing availability of fodder and feed to substantially reduce the demand – supply gap through measures which include more area coverage under quality fodder seeds, technology promotion, extension, post-harvest management and processing in consonance with diverse agro-climatic condition.
3. Accelerating production of quality fodder and fodder seeds through effective seed production chain (Nucleus-Breeder-Foundation-Certified- Truthfully labelled, etc.) with active involvement of farmers and in collaboration with the dairy / farmers cooperatives, seed corporations, and private sector enterprises.
4. Establishing convergence and synergy among ongoing Plan programmes and stakeholders for sustainable livestock development.
5. Promoting applied research in prioritized areas of concern in animal nutrition and livestock production.
6. Capacity building of state functionaries and livestock owners through strengthened extension machinery to provide quality extension service to farmers.
7. Promoting skill based training and dissemination of technologies for reducing cost of production, and improving production of livestock sector
8. Promoting initiatives for conservation and genetic upgradation of indigenous breeds of livestock (except bovines which are being covered under another scheme of the Ministry) in collaboration with farmers / farmers' groups / cooperatives, etc.
9. Encouraging formation of groups of farmers and cooperatives / producers' companies of small and marginal farmers / livestock owners.
10. Promoting innovative pilot projects and mainstreaming of successful pilots relating to livestock sector.
11. Providing infrastructure and linkage for marketing, processing and value addition, as forward linkage for the farmer's enterprises.
12. Promoting risk management measures including livestock insurance for farmers.
13. Promoting activities to control and prevent animal diseases, environmental pollution, promoting efforts towards food safety and quality, and supply of quality hides and skins through timely recovery of carcasses.
14. Encouraging community participation on sustainable practices related to animal husbandry, involvement of community in breed conservation and creation of resource map for the states.

3. Mission Design

3.1 The Mission is designed to cover all the activities required to ensure quantitative and qualitative improvement in livestock production systems and capacity building of all stakeholder. The Mission will cover everything germane to improvement of livestock productivity and support projects and initiatives required for that purpose subject to condition that such initiatives which cannot be funded under other Centrally Sponsored Schemes under the Department.

3.2 The mission is organised into the following four Sub-Missions:

3.2.1 Sub-Mission on Livestock Development

3.2.1.1 The sub-mission on Livestock Development includes activities to address the concerns for overall development of livestock species including poultry, other than cattle and buffalo, with a holistic approach. Risk Management component of the sub-mission will, however, also cover cattle and buffalo along with other major and minor livestock.

3.2.2 Sub-Mission on Pig Development in North-Eastern Region

3.2.2.1 There has been persistent demand from the North Eastern States seeking support for all round development of pigs in the region. Therefore, pig development in the North Eastern Region is being taken up as a sub- mission of NLM. The sub-mission will strive to forge synergies of research and development organizations through appropriate interventions, as may be required for holistic development of pigs in the North Eastern Region including genetic improvement, health cover and post harvest operations.

3.2.3 Sub-Mission on Feed and Fodder Development

3.2.3.1 The Sub-Mission is designed to address the problems of scarcity of animal feed and fodder resources, to give a push to the livestock sector making it a competitive enterprise for India, and also to harness its export potential. The sub-mission will especially focus on increasing both production and productivity of fodder and feed through adoption of improved and appropriate technologies best suited to specific agro-climatic region in both arable and non-arable areas.

3.2.4 Sub-Mission on Skill Development, Technology Transfer and Extension

3.2.4.1 The extension machinery at field level for livestock activities is not adequately strengthened. As a result, farmers are not able to adopt the technologies developed by research institutions. The adoption of new technologies and practices requires linkages between stakeholders. The sub-mission will provide a platform to develop, adopt or adapt the technologies including frontline field demonstrations in collaboration with farmers, researchers and extension workers, etc. wherever it is not possible to achieve this through existing arrangements.

4. Institutional Structure

4.1 National Level

4.1.1 The General Council

4.1.1.1 The Mission will have a General Council (GC) at National level under the Chairmanship of Union Agriculture Minister. Composition of GC will be as follows:

Minister of Agriculture	:	Chairperson
Ministers of:- Food Processing Industries; Environment & Forests; Finance; Panchayati Raj; Rural Development.	:	Members
Secretaries of Departments / Ministries of:- Animal Husbandry, Dairying & Fisheries; Agriculture and Cooperation; Agricultural Research and Education; Food Processing Industries; Expenditure; Financial Services; Health & Family Welfare; Environment & Forests; Panchayati Raj; Rural Development; Medium, Small and Microenterprise; Development of North Eastern Region; Biotechnology.	:	Members
Representatives of:- Animal Rearers' Associations; Poultry Associations; Federations of Dairy Co-operatives; Food Processing Industry; Compounded Feed Industry (Maximum 5, to be nominated by the Chairperson).	:	Members
Joint Secretary (APF) & Mission Director (NLM).	:	Member Secretary

4.1.1.2 GC will be the policy formulation body giving overall direction and guidance to Mission and will monitor and review its progress and performance. GC will be empowered to lay down and amend operational guidelines, other than those affecting financing pattern. Tenure of non-official members of GC will be for 3 years from date of

nomination and that for official members, till they hold the post. GC will meet minimum twice a year.

4.1.2 Executive Committee:

4.1.2.1 Executive Committee (EC), headed by Secretary, Department of Animal Husbandry, Dairying and Fisheries (DADF) will oversee activities of the Mission and approve Action Plans of various states. The EC will comprise of the following:

Secretary , Department of Animal Husbandry, Dairying and Fisheries (DADF).	:	Chairperson
Joint Secretaries of Departments / Ministries of:- Agriculture and Cooperation; Food Processing Industries; Environment & Forests; Panchayati Raj; Rural Development; Medium, small and microenterprise; Development of North Eastern Region; Health & Family Welfare; Expenditure; Financial Services; Biotechnology, Women & Child Development	:	Members
Financial, Planning and Technical Experts:- Financial Advisor, DADF; Advisor (Agriculture), Planning Commission; Animal Husbandry Commissioner, DADF; Deputy Director General (AS), Department of Agricultural Research and Education; Two Vice-Chancellors of Veterinary/ Animal Sciences Universities to be nominated by Chairperson.	:	Members
Institutions: - CMD, NABARD; MD, NDDB; Chairman, APEDA; CEO, FSSAI; MD, SFAC	:	Members
Principal Secretaries / Secretaries of the Department of Animal Husbandry of 5 States on rotation basis from all regions for two years each, to be nominated by the Chairperson.	:	Members
Three Experts (Livestock Production, Poultry and Animal Nutrition) to be nominated by the Chairperson.	:	Members
Joint Secretary (APF) & Mission Director (NLM).	:	Member Secretary

4.1.2.2 EC will formulate guidelines, and will be empowered to reallocate resources across States and components, and will approve projects in conformity with the guidelines. EC will consider and approve components of a project and include new components, if required. EC will also be empowered to approve special interventions for tackling emergent / unforeseen requirements. EC can also constitute Sub-Committee (SC) / Empowered Committee (EMC) and delegate powers to SC / EMC, as well as to State

Governments / State Animal Husbandry Department / State Livestock Mission for approving projects. Tenure of Non-official members will be for 2 years from the date of nomination; and that of official members till they hold the post, or as specified in the above table. EC will ensure smooth functional linkages among different agencies. EC shall meet as frequently, as required, minimum once in a quarter.

4.1.3 Mission Directorate

4.1.3.1 The Mission Directorate will be headed by the Joint Secretary to Government of India, in-charge of Animal Production, Poultry, and Fodder. The Mission Directorate will provide the necessary support to EC and the GC and will administer the Mission. The Mission Directorate will draw human resource from the Department in general, and if required will outsource manpower on need / task basis. Because of the enormity of the tasks involved, the Mission Directorate will require separate housing and dedicated manpower. For separate housing, Directorate of Estates will be approached failing which appropriate accommodation will be rented as per existing norms. The Mission Directorate will appraise projects received from the States, and get the approval of EC. The Chairman of EC will have powers to approve projects in anticipation of approval of EC in case the next meeting of EC is delayed.

4.2 State Level

4.2.1 State Level Executive Committee:

4.2.1.1 Respective State Governments/UTs are required to notify the State Level Executive Committee (SLEC) under Chairmanship of Chief Secretary, having representatives from other concerned Departments of State Government, the State Agricultural Universities (SAU), Institute under Indian Council of Agricultural Research (ICAR), Dairy cooperatives, Farmers' / Animal Rearers' / Poultry Associations, etc., will oversee implementation of the Mission in respective States. Central Government will nominate its representative who will be a member in the SLEC. At operational level, State Governments shall constitute and notify a State Livestock Mission (SLM) which would be an empowered body for implementing the Mission programmes at State and district levels. Principal Secretary / Secretary, Animal Husbandry will be the State Mission Director. He will also function as the Member Secretary of SLEC. The Directorate of Animal Husbandry will service the SLEC and the SLM. Panchayati Raj Institutions (PRI) existing in the State will be fully involved in implementation of the Mission.

4.2.1.2 State and sub-state level structures will be evolved keeping in view the need for getting adequate returns for livestock farmers and eliminating middlemen to the extent possible.

4.2.1.3 State Livestock Mission will have the following functions:

1. Prepare Strategic, Perspective, and Annual Action Plan in consonance with Mission's goals and objectives and in close co-ordination with Technical Support Groups, SAUs and ICAR institutes; and oversee its implementation;
2. Organize base-line survey and feasibility studies in different parts (District, sub-District, or a cluster of Districts) to determine status of fodder / livestock production, potential and demand, and tailor assistance accordingly.
3. Receive funds from National Mission Authority, State Government and other sources, pool financial resources for carrying on mission's activities, maintain proper accounts thereof and submit utilization certificate to National Mission Authority.
4. Release funds to implementing organizations and oversee, monitor & review implementation of the programmes.
5. Assist and oversee Mission's programmes being implemented through Farmers' Societies, NGOs, growers associations, cooperatives, self help groups, Farmers' Producer Organisations (FPOs), and other similar entities;
6. Organize Workshops, Seminars and training programmes for sensitization of all interest groups / associations at State / District / Sub-district level to provisions of NLM, as also for technology transfer and skill development, with the help of SAUs, ICAR Institutes, ATMAs / KVKs, Civil Society Organisations, and other institutions having technical expertise.
7. Furnish monthly progress reports to DADF and also upload same by 5th of each month, on the website of the Department / Mission.
8. Operationalise Information Communication Technology (ICT) enabled Management Information System (MIS) up to grass root level and, if need be, develop and host its own web site.
9. Supervision and monitoring of the implementing agencies.

4.3 District Level

4.3.1 At District level, District Livestock Mission Committee (DLMC) will be responsible for carrying forward the objectives of the Mission for project formulation, implementation and monitoring. Accordingly, State Government/ UT are required to issue necessary notification for constitution of DLMC which will be headed by the District Collector, having as members the Chief Executive officer (CEO) of ZilaParishad or Zila Panchayat / Chief Development Officer / District Development Officer / PD of District Rural Development Agency (DRDA), representatives from concerned line Departments, Dairy Cooperatives, Farmers' / Animal Rearers' / Poultry Associations, Marketing Boards,

local Banks, Self Help Groups and other Non-Governmental organizations. District Planning Committee and PRIs will be involved in implementing the programme depending on their expertise and available infrastructure. District Animal Husbandry Officer / Veterinary Officer will be Member Secretary of DLMC.

4.4 Technical Support Group (TSG)

4.4.1 The Mission will have a strong technical component and domain experts will be central to management of the Mission. Technical Support Group (TSG) will provide inputs to the Mission Directorate, and similarly in States at State / District level. TSGs will have flexible norms for recruiting professionals, on contract. Service providers could also be engaged for providing technical services in accordance with terms of reference laid for the purpose and approved by EC. TSG would comprise of personnel at different levels, who will provide technical services and their honorarium will be fixed on the basis of their qualifications, experience, and last pay drawn, if retired from Government. Fresh graduates having knowledge in Livestock / Poultry production, Feed and Fodder development, Computer professionals, MBA graduates, young professionals could also be a part of TSG.

4.4.2 TSG will have the following role and functions:

1. Assisting the Mission Directorate in implementation of the mission, including providing technical assistance in appraising the projects
2. Visit the project areas frequently to provide guidance in organizational and technical matters
3. Compile materials for conduct of regional workshops in respect of the project components. They will also prepare Annual Calendar for capacity building, promotional events, workshops / seminars on different aspects of livestock development in consultation with State Livestock Missions (SLMs).
4. Supervision & Evaluation of Mission.
5. Conduct studies on different aspects of livestock management.
6. Document and disseminate case studies of success stories.
7. Assist States in capacity building programmes.
8. Undertake publicity / information campaign to promote Mission's objective.
9. Provide monthly feed-back reports to Mission Director.
10. Manage the website of the Mission

5. Procedure for approvals and implementation

5.1 Preparation and Submission of Proposals

5.1.1 The implementing agencies will submit the proposals, in prescribed formats, as given under the Mission components, to the State Department of Animal Husbandry, after technical sanctions of their Competent Authorities. Nodal officer should be identified by State Government, who may be delegated sufficient financial and administrative powers to effectively implement this scheme and will coordinate with this Department, NABARD and other agencies wherever required. Central as well as State Level Technical Monitoring Committees will be constituted to monitor the progress of scheme from time to time. While preparing the proposals, in addition to specific guidelines provided in Mission component, following guidelines may be taken into consideration:

- (i) The State Government shall confirm the provision of availability of matching funds in their State Budget to meet State share for the scheme. The State Government should make an express statement in the proposal and also in the recommendation letter, regarding the provisioning of State share and the budget position.
- (ii) Further, in case of State share or beneficiary share involved, State may bear the beneficiaries' share or *vice versa*. Alternatively, State may also decide upon the proportionate share between State and beneficiary.
- (iii) The project proposal should be accompanied with a certificate that the land where the scheme is proposed to be implemented is in possession of the beneficiary or the implementing agency, as the case may be. In cases if the beneficiary or implementing agency does not own the land, a copy of lease agreement for the project period is required. or any other relevant document as per RBI norms or deemed necessary by the financing bank. If assets are created the lease agreement period should be atleast 10 years or for the loan/interest repayment interest, whichever is longer.
- (iv) In general, the civil construction cost may be kept at minimum and it should be incidental to the installation of machinery and equipment, except in cases where it is essential, like; silage making, biosecurity, strengthening of livestock and poultry farms, etc.
- (v) Proposals will be considered as per the merit of the proposal and availability of funds, in a manner to ensure balanced implementation of the Mission across various regions in the country.
- (vi) State Governments must furnish quarterly progress report (Financial and Physical) in prescribed format for each component. Fund Utilization Certificate (GFR-19A) [Under Rule 212(1)], Physical Progress Report, and Audited Statements should be submitted through administrative head of the State Department responsible for Animal Husbandry / Dairying, duly approved by the State level Executive Committee (SLEC) / the Mission Director, State Livestock Mission.
- (vii) Inspection of sites / units would be undertaken by any National or State level committee / sub-committee / Technical Support Group constituted under NLM to verify the physical and financial progress as and when required.

(viii) A budget provision , not exceeding 5% of total cost of the project, has been kept, as administrative cost for the Mission Directorate to accommodate the following:

- a. Workshops/ Conferences/ Seminars,
- b. Training and Human Resource Development,
- c. Technical services germane to the objective of the Mission, like project Preparation, etc.
- d. Publicity including AV, documentaries, etc., and celebration of National or World Days, like World Egg Day, etc.,
- e. Impact/ Evaluation/ Monitoring studies,
- f. Innovation/ Research activities,
- g. Other unforeseen and contingency requirement.

(ix) Social Audit: The Mission envisages concurrent, continuous system of social auditing through the Panchayati Raj Institutions/ similar recognized bodies, like Urban Local Bodies, etc, where PRI is not there. The Gram Sabha may be the body for primary level social auditing at village level. Panchayat level social audit committees may be constituted. The committees may conduct the audit at regular intervals, and may present the report in the Gram Sabha or appropriate authority like BDO etc. in cases where PRI is not present.

(x) State Government may also avail additional subsidy from other sources in case of credit-linked components provided that:

- a. Name and basic structure of the scheme will remain same and Mission component will be implemented strictly as per the guidelines of NLM, without diluting the norms.
- b. The accounts of bank-ended subsidy amount, and additional subsidy will be maintained separately.
- c. State Government will give an undertaking/ certificate that they will not avail or stop the additional subsidy without intimation to GoI.
- d. If the State Government desires to give additional or top-up subsidy through the State Budget, it should not be more than Beneficiary Share / Margin Money.

(xi) Generally, atleast 16.2% of the funds are released for SC beneficiaries. Further, It may be ensured by the respective State Governments that, where sanctions have been made under the Special Component Plan for SCs (SCPSC), the funds must be used only for the SC beneficiaries. However, State Governments may also strive, as far as possible, to cover physically 8%, 30% and 3% Scheduled Tribe, Women and physically challenged/ differently-abled persons/ farmers / beneficiaries, respectively from the General component until specific budget Heads are created.

- (xii) In case of beneficiary oriented components, the UID numbers of individual beneficiaries may be recorded and included in all project related documents. However, beneficiaries who have not yet received the UIDs may not be subjected to any disadvantage, and in such cases other acceptable ID criteria like BPL register, etc., may be used.
- (xiii) National/ State environmental & pollution control laws/ Rules/ Regulations should be complied with wherever applicable.
- (xiv) Signboards, of appropriate size (Around 3x2 feet to 5x4 feet) will be installed at implementation sites. The signboards must also display - “Assisted by Department of Animal Husbandry, Dairying and Fisheries, Ministry of Agriculture, Government of India”

5.1.2 The State Animal Husbandry Department will consolidate all proposals, including the proposals prepared by the Department itself. A comprehensive proposal including all the permissible activities under the Mission will be prepared by the State Animal Husbandry Department, and the same will be recommended to the Mission Director in the beginning of every Financial Year. As far as possible, piecemeal proposals and untimely submission of proposals may be avoided.

5.2 Approval of Proposals

5.2.1 Approval of Proposals: The Mission Director will appraise the proposals with the assistance of the Technical Support Group. The proposals within the guidelines / norms may be approved by Mission Director upto the level specified in the financial powers. The proposals which go beyond the approved guidelines, special cases, innovative projects or for which cost norms are not fixed etc. will be appraised by the Mission Director and will be submitted to the Executive Committee for approval.

5.2.2 In case of Entrepreneurship Development and Employment Generation (EDEG) credit-linked proposals, the same will be appraised and approved by banks as done earlier for ‘Poultry Venture Capital Fund’ etc. However, in some cases of technology upgradation which come for the first time or is new, the same may be appraised by bank and forwarded with views/ comments of NABARD to Mission Director for approval.

5.3 Fund Flow Mechanism

5.3.1 The funds will be released to the Department of Animal Husbandry of concerned State / UT Government. It has been decided from 2014-15 onwards, all plan schemes under which central assistance is provided to the States shall be classified and budgeted as Central Assistance to State Plans. That is, funds would now be transferred to States/ UTs through consolidated funds of the States concerned (treasury route) using major heads 3601 and 3602 and there should be shift from current practice of transfer of funds directly

to implementing agencies/ societies (direct transfer route/ society mode) using the functional Heads, as per the current practice.

However, for the Central Sector components like Central Farms (Central Poultry Development Organizations, Central Sheep Breeding Farm, Central Fodder Development Organizations) and Entrepreneurship Development and Employment Generation [EDEG] component under Sub-Mission on Livestock Development may be released as per earlier mode i.e. to the Organizations and fund-channelizing agency (NABARD) directly respectively.

5.3.2: Funds to the tune of 1.5% of the sanctioned amount may be given towards administrative charges or operational expenses in case of operating Entrepreneurship Development and Employment Generation [EDEG] Cell of the State Government or any such agency. Similarly in case of credit-linked components where there is a separate fund channelizing agent like NABARD, 1% of the total subsidy disbursed annually may be given as fund channelizing charges including costs for data compilation and reports to be submitted to the GoI.

5.3.3: Flexi-funds: The introduction of a flexi – fund component within the Centrally Sponsored Schemes (CSS) has been made to achieve the following objectives:

- (i) To provide flexibility to States to meet local needs and requirements within the overall objective of each programme or scheme;
- (ii) To pilot innovations and improved efficiency within the overall objective of the scheme and its expected outcomes;
- (iii) To undertake mitigation / restoration activities in case of natural calamities in the sector covered by the CSS .

Flexi- funds will be a part of the CSS (10%) and the name of NLM will precede the word ‘flexi- funds’ in the communication to States. There will be no separate budget and account head for this purpose.

As flexi- funds are a part of the concerned CSS, the same States share (including beneficiary contribution, if any) would be applicable for the flexi –fund component as well, However, States may provide additional share (including beneficiary contribution, if any) over and above the required State s hare for the flexi- funds component of the allocation for the CSS.

States may use the flexi-funds for the CSS to meet the objectives mentioned above in accordance with the broad objectives of the main Scheme. The flexi- funds may also be utilized for mitigation/restoration activities in the event of natural calamities in accordance with the broad objectives in the event of natural calamities in accordance with the broad objectives of the CSS. However, the specific guidelines of the CSS, applicable for 90% of the CSS allocation, will not be essential for the Flexi – funds component of the CSS, except for State’s share requirements.

The flexi-funds of a CSS for NLM, however, shall not be diverted to fund activities / schemes in any other sector. But it would be permissible to converge flexi-funds of different schemes to improve efficiency and effectiveness of outcomes.

The purpose of providing flexi-funds is to enable States to undertake new innovative schemes in the particular area covered by the CSS. Flexi-funds shall not be used to substitute State's own non-plan or Plan schemes/expenditure. It shall also not be used for construction/repairs of offices residences for Government officials, general publicity, and purchase of vehicles /furniture for offices, distribution of consumer durables / non durables, incentives/rewards for staff and other unproductive expenditure.

Schemes taken up with Flexi-funds shall invariably carry the name of concerned CSS. States wishing to use flexi funds as part of the normal 90% component are free to do so.

5.3.4: Variations in fund flow mechanism under specific components are explained under relevant components.

6. Monitoring and Evaluation

6.1 As already stated, the Mission will have a General Council under the Chairmanship of the Agriculture Minister; a Central Executive Committee under the Chairmanship of Secretary, DADF; State Executive Committees, and District Mission Committees. Besides, Technical Support Groups will be central to management of the Mission. The Technical Monitoring Committee (TMC) for all the State Farms (on the lines of State Poultry Farms) will continue to function. All these institutions under the Mission will undertake concurrent monitoring and periodic evaluation of activities under the Mission.

7. Mission Interventions

7.1 SUB-MISSION ON LIVESTOCK DEVELOPMENT

7.1.1 COMPONENT (I) - ENTREPRENEURSHIP DEVELOPMENT AND EMPLOYMENT GENERATION (EDEG)

7.1.1.1 This component includes all credit cum subsidy linked activities earlier implemented through NABARD, viz., Poultry Venture Capital Fund (PVCF), Integrated Development of Small Ruminants and Rabbits (IDSRR), and Pig Development. Since these schemes have been popularized with great efforts during XI Plan, the names of the credit linked activity will not be changed to avoid confusion among beneficiaries and bankers. However, the suffix EDEG will be added to indicate that these are part of the XII Plan Scheme.

7.1.1.2 The Sub-Mission will function under the institutional structure of the National Livestock Mission. In addition, for operation of the EDEG component, the State Government will constitute the State Level Sanctioning and Monitoring Committee (SLSMC) under the Chairmanship of State Principal Secretary / Secretary of Animal Husbandry Department and DGM / AGM of Regional NABARD as Member Secretary. The members may be State Officials of Animal Husbandry Department, Lead Bank, Commercial Banks, NGOs, representative of DADF, GOI. The SLSMC will approve projects based on the merit of the projects and on the budget allocated to the States/UTs. The SLSMC will also maintain close liaison with State Level Bankers' Committee (SLBC) and be updated on Potential Linked Credit Plan (PLP) of the districts. The respective SLSMCs are also required to review the unit costs every year and get the revised unit costs ratified by Department of Animal Husbandry, Dairying & Fisheries. The SLSMCs will also take a call on the smallest unit size suitable to the local situation of the beneficiaries in the State so that multiples of the smallest modules can be approved according to resources and capacity of the beneficiaries.

7.1.1.3 For margin money and collateral securities, extant RBI guidelines will be applicable. However, the State Governments may choose to make provision for payment of margin money on behalf of the beneficiaries, which will be admissible. One time grant for possible credit guarantee fund for micro and small industries is also proposed for such cases where the beneficiary is not able to provide collateral security. This is proposed in the form of one time contribution from NLM in consultation with NABARD. An amount of Rs 100 crore is proposed to be kept for this purpose, to be used as credit guarantee only in respect of loans given by banks for micro and small livestock based ventures without collateral security.

7.1.1.4 Brief guidelines and proforma for submitting the proposal under this component are placed at **Annexure-A-I, A-I(A), A-I(B) and A-I(C)**.

7.1.2 COMPONENT (II) - (Modernisation and Development of Breeding Infrastructure)

7.1.2.1 This component covers all subordinate offices of the Department concerned with poultry, sheep and goat, namely the Central Poultry Development Organisations (CPDOs) and the Central Sheep Breeding Farm (CSBF). Programmes of strengthening / modernization of State Poultry, Sheep, Goat and Pig Farms covered under XI Plan Schemes, viz., 'Poultry Development', 'Integrated Development of Small Ruminants and Rabbits', and, 'Pig Development' are also covered under this component.

7.1.2.2 The Central Organisations will prepare an infrastructure development plan on the basis of which case to case approval and expenditure sanction will be provided by

the Department. The infrastructure plan would focus on biosecurity, infusion of high-end technology and automation so as to develop these organizations as showcase for demonstration of technology and skill development. Similarly the technical programme adopted at these farms will also be reviewed and revised keeping in view variety of breeding stock required by the States / beneficiaries and skills necessary for rearing these animals on scientific lines.

7.1.2.3 The States will be required to make a thorough assessment of all farms / breeding infrastructure with respect to their potential and performance, and select the farms with high potential. These farms picked up for strengthening will also be mandated to train State officials/ entrepreneurs/farmers.

7.1.2.4 So far as infusion of technology is concerned, there is a gulf of difference between commercial breeding farms in the private sector and the breeding farms in the public sector particularly in case of poultry and pigs. In order to bridge this gap, 4-6 farms for each species will be selected for developing into state-of-the-art farms (model farms) with infusion of high-end technology and automation with focus on biosecurity and maintenance of disease free stock.

7.1.2.5 One time operational/ Revolving Fund may be provided to these farms for smooth operations and maintenance to ensure long term sustainability. In case of poultry farms, it is necessary that not only the operational cost of chick, feed, etc., is covered but also the operational biosecurity plan hitherto not included should be implemented to sustain the operations. This may include purchase of hatching eggs, parent stock, feed ingredients, transportation, medicine, vaccines, etc., following Standard Operating Procedure (SOPs) for cleaning and disinfection with approved disinfectants.

7.1.2.6 In case of Government of India farms, the same pattern of funding as was done in the erstwhile Central Sector Scheme for subordinate/ attached offices in Plan and Non Plan heads would continue.

7.1.2.7 For breeding improved varieties of animals across these species, assisted reproduction technologies (ARTs), as applicable, will be propagated. This will include establishment of sperm stations, development of AI network, oestrous synchronization, embryo transfer, etc.

7.1.2.8 Brief guidelines and proforma for submitting the proposal under this component are placed at **Annexure–A-II** and **A-II(A)**.

7.1.3 COMPONENT (III) - (Interventions towards productivity enhancement)

7.1.3.1 This activity component will include the Rural Backyard Poultry Development component of the XI Plan scheme on Poultry Development, but will cover beneficiaries from BPL families only. Operational credit-cum-subsidy may be availed

under Central Grower Unit component of Poultry Venture Capital Fund. Only low input technology birds will be propagated under this component, the varieties of which are placed at **Annexure-F**. This list will be updated as and when required, and will be uploaded on the website www.dadf.gov.in

7.1.3.2 This component also includes the following activities of the XI Plan schemes, viz., ‘Integrated Development of Small Ruminants and Rabbits’ and, and ‘Pig development’.

1. Interventions in the breeding tracts of high fecundity breeds;
2. Sponsoring need based research / studies and linkages with professional bodies;
3. Propagation of Artificial Insemination (AI);
4. Biotechnology centres for fecundity breeds;
5. Training and orientation of functionaries;
6. Ram / buck / boar shows;
7. Community led breed improvement programmes;
8. Innovative projects

7.1.3.3 During the XII Plan, propagation of Artificial Insemination in small ruminants will be given special focus by establishment of semen banks/collection centres. In addition, organizing camps for mass de-worming / vaccination, supply of area specific mineral mixtures, etc., will also be funded under the programme.

7.1.3.4 Brief guidelines and proforma for submitting the proposal under this component are placed at **Annexure-A-III** and **A-III(A)**.

7.1.4 COMPONENT (IV) - (Risk Management & Insurance)

7.1.4.1 The ‘Risk Management’ as a component of sub-mission on livestock development of NLM is to be implemented in all the Districts of the Country including those carved out in future, if any. This component aims towards management of risk and uncertainties by providing protection mechanism to the farmers against any eventual loss of their animals due to death; and to demonstrate the benefit of insurance of livestock to the people. The indigenous / crossbred milch animals, pack animals (Horses, Donkey, Mules, Camels, Ponies and Cattle/ Buffalo Male), and Other Livestock (Goat, Sheep, Pigs, Rabbit, Yak and Mithun etc.) will be under the purview of this component. Benefit of subsidy is to be restricted to 5 animals per beneficiary per household for all animals except for sheep, goat, pig and rabbit, where the benefit will be restricted to 5 cattle units (1 cattle unit = 10 sheep/goat/pig/rabbit). Therefore the benefit of subsidy to sheep, goat, pig and rabbit is to be restricted to 5 ‘Cattle Unit’ per beneficiary per house hold.

However, if a beneficiary has less than 5 animals / 1 Cattle Unit can also avail the benefit of subsidy.

7.1.4.2 Brief guidelines and proforma for submitting the proposal under this component are placed at **Annexure-A-IV & A-IV(A)**.

7.1.5 COMPONENT (V) - (Conservation of Livestock Breeds)

7.1.5.1 Under this component, annual grant for nucleus breeding farms will be provided. The States will be encouraged to undertake a structured programme of identification and registration of new breeds. The universities will also be involved under this programme so that new varieties proposed to be registered are first studied at the State University level, then at the level of NBAGR before they are finally registered as breeds. These activities will be monitored by a State Level Committee on Animal Genetic Resources which will also take stock of population dynamics of the existing breeds whose native tracts lie in the State. Annual seminars, workshops, etc., will also be organized to enhance awareness of all stakeholders. Establishment of farmers / breeders organizations with the objective of registration of two specimens of the breed and maintenance of breed registry will also be supported under this component.

7.1.5.2 Brief guidelines and proforma for submitting the proposal under this component are placed at **Annexure-A-V & A-V(A)**.

7.1.6 COMPONENT (VI) - (Development of Minor Livestock Species)

7.1.6.1 The XI Plan schemes of the Department did not cover development of equines and yaks. It is proposed to keep a window open for consideration of proposals for development of these species. Proposals for this activity will be received through the State Governments, and non-government organizations (NGOs) will be eligible to submit proposals. It will be the responsibility of the State Government to verify the credentials of the NGO before forwarding their proposal.

7.1.6.2 Brief guidelines and proforma for submitting proposals under this component are placed at **Annexure-A-VI & A-VI(A)**.

7.1.7 COMPONENT (VII) - (Utilization of Fallen Animals)

7.1.7.1 Under this component establishment of carcass utilization centres, bone crushing units, renovation / modernization of existing carcass utilization centres, training and insurance of flayers will be supported. The programme will be implemented through

Panchayati Raj Institutions. There will be three models of carcass utilization centres with processing capacities of 5-6 animals per day, 7-19 animals per day and 20-25 animals per day for which subsidy ceiling of Rs.110 lakh, Rs.165.00 lakhs and Rs.220.00 lakh will be allowed, respectively, at 75% of project cost whichever is less. Priority will be given to locations identified by Air Force Headquarters. Training of flayers will be undertaken at CLRI, Chennai or other existing training centres. A cost of Rs.5000 per trainee will be allowed.

7.1.7.2 Brief guidelines and proforma for submitting the proposal under this component are placed at **Annexure-A-VII & A-VII(A)**.

7.1.8 COMPONENT (VIII) - (Establishment of Rural Slaughter Houses)

7.1.8.1 Establishment / Modernization of Large slaughter houses by commercial business interest as well as municipal corporations are being supported by Ministry of Food Processing Industries. However, there is a tendency to concentrate such large slaughter houses in the peri-urban areas which has its own complications. The department's effort to initiate rural slaughter houses with support of a mix of credit-cum-subsidy has not met with success. Therefore, it is proposed to implement a programme of Rural Slaughter Houses (establishment/ modernization/ expansion) through Panchayati Raj Institutions. Therefore, this component will support slaughter houses in rural areas, with grant-in-aid under the scheme. The funding pattern for this component will be 75% Central Share and 25% State share subject to a limit of central share of Rs1.50 crore.

7.1.8.2 Brief guidelines and proforma for submitting the proposal under this component are placed at **Annexure-A-VIII & A-VIII(A)**.

7.2 SUB-MISSION ON PIG DEVELOPMENT IN THE NER

7.2.1 COMPONENT (I) - (Strengthening of State Pig Breeding Farms)

7.2.1.1 There are 60 Pig Breeding Farms in the North Eastern States in the Government sector. During a review made in the Department 2011-12, it was learnt that not only these farms are poor in infrastructure in terms of pig sheds and related facilities, their rearing capacity is also quite low and the breeding stock old and deteriorated. Therefore, it is proposed to make a thorough assessment of the pig breeding infrastructure in the Government sector and strengthen their infrastructure so as to enable each one of them to rear a minimum strength of 100 breeding sows. These farms will act as multiplication centres and receive their breeding stocks from large farms running a scientific breeding programme, e.g., University Pig Farms, and National Research Centre for Pigs, etc. These farms will also conduct training for Pig farmers so that scientific pig management practices can be inculcated into progressive farmers.

7.2.1.2 Brief guidelines and proforma for submitting the proposal under this component are placed at **Annexure-B-I & B-I(A)**.

7.2.2 COMPONENT (II) - (Import of Germplasm)

7.2.2.1 Average carcass weight of pigs in the North Eastern Region varies widely from 41 kilos in Assam to 137 kilos in Mizoram. This wide variation reflects the need for genetic upgradation. Since the population which is to be upgraded is large (above 4 million) and the breeding stock in State Pig Breeding Farms old and deteriorated, import of germplasm has become unavoidable. However, import of live animals poses relatively higher risk of ingress of diseases. Therefore, it will be prudent to have a mix of semen, embryos and live animals while importing germplasm. A committee of experts will be constituted to assess the requirement of germplasm and to what proportion each form of germplasm, i.e., semen, embryos and live animals are to be imported. For requirement of a single State, the State would follow the advice of the expert committee and import the stock. If more than one State are importing, the Mission Directorate will guide the import process so as to harmonize the requirement and ensure delivery of quality product.

7.2.2.2 Brief guidelines and proforma for submitting the proposal under this component are placed at **Annexure-B-II & B-II-(A)**.

7.2.3 COMPONENT (III) - (Support to Breeding Programmes)

7.2.3.1 As has been the experience in the past, import of germplasm with high potential is no guarantee to higher performance unless a proper breeding programme is implemented. Therefore, the sub-mission will support breeding programmes to be implemented by selected organizations both in Government and Semi-government sector that will provide breeding materials for the multiplication herds either in the Government sector or private entrepreneurs supported under NMPS. Performance of the animals in such breeding programmes will be analysed scientifically for constant improvement in performance and a proper animal identification and performance recording system will be followed. The operational cost of running the breeding programmes will be supported under the sub-mission. The idea is to create an institutional structure with three tiers where the farmer produces piglets and sells the same, the State Breeding Farms produce and supply the breeding stock for the farmers and specialized breeding farms with scientific programmes produce and supply breeding material for the multiplication farms. Once this structure is firmly established, this will create room for further specialized pig breeding operations in the country in which participation of private sector may be expected.

7.2.3.2 Brief guidelines and proforma for submitting the proposal under this component are placed at **Annexure-B-III & B-III(A)**.

7.2.4 COMPONENT (IV) - (Propagation of Reproductive Technologies)

7.2.4.1 There is an acute shortage in the country of quality breeding boars. In the North Eastern Region, because of difficult terrain, it is cumbersome and expensive to adopt natural mating with boars of improved quality. Improvement of stock in such circumstances can happen if artificial insemination is adopted as a mainstream programme. Therefore, this component of the sub-mission will support training of functionaries in artificial insemination technology; and will assist State Government and other multiplication farms in setting up artificial insemination centres. This component will also support import of embryos and setting up embryo transfer facilities in organizations implementing a scientific breeding programme to supply breeding stock to the multiplication farms.

7.2.4.2 Brief guidelines and proforma for submitting the proposal under this component are placed at **Annexure-B-IV & B-IV(A)**.

7.2.5 COMPONENT (V) - (Health Cover)

7.2.5.1 Under this programme, the State Government will be encouraged to take vaccination programmes to protect the stock against Classical Swine Fever (CSF) and Foot and Mouth Diseases (FMD). Control of parasites of the neonates (Ascaris) will also be covered under the programme. For remaining diseases, the State will be encouraged to avail of the assistance available under mainstream schemes of Livestock Health.

7.2.5.2 Brief guidelines and proforma for submitting the proposal under this component are placed at **Annexure-B-V & B-V(A)**.

7.2.5.3 States can avail assistance for Pig Slaughter House under Component “Establishment of Rural Slaughter Houses” of National Livestock Mission implemented by DADF or “Setting / Modernization / Expansion of Abattoirs” of National Mission on Food Processing” (NMFP) of implemented by Ministry of Food Processing Industries.

7.3 SUB-MISSION ON FODDER AND FEED DEVELOPMENT

7.3.1 Component (I) - Fodder production from Non-forest wasteland / rangeland / grassland / non-arable land

7.3.1.1 Following activities are proposed under this component:

1. Production / procurement and distribution of seed / planting material of improved varieties of suitable crops
2. Soil and Moisture conservation works on the planting / sowing site
3. All ancillary planting, tending, protection and maintenance works up to 5th year of planting / sowing
4. Rangeland Improvement
5. Harvesting and densification of fodder

7.3.1.2 Brief guidelines and proforma for submitting the proposal under this component are placed at **Annexure-C-I, C-I(A) & C-I(B)**,

7.3.2 Component (II) - Fodder production from Forest land

7.3.2.1 This component shall be operated by the Forest Department, preferably through the Joint Forest Management Committees. The following activities are proposed under this component:

1. Rehabilitation of Degraded forests with predominantly fodder species
2. Production / procurement and distribution of seed / planting material of improved varieties of suitable crops
3. Soil and Moisture conservation work in forest areas
4. Silvi-pastoral plantations
5. All ancillary planting, tending, protection and maintenance works up to 5th year of planting / sowing
6. Rangeland Improvement
7. Harvesting and densification of fodder

7.3.2.2 Brief guidelines and proforma for submitting the proposal under this component are placed at **Annexure- C-II, C-II(A) & C-II(B)**.

7.3.3 Component (III) - Cultivation of coarse grains and dual purpose crops

7.3.3.1 The activities under this component will be taken under the National Food Security Mission (NFSM). The State Governments, for coarse grains and dual purpose crops, would approach the Department of Agriculture and Cooperation with their project proposals as per the guidelines of NFSM. The following activities are proposed under this component:

1. Seed production under contract farming with buy back arrangement with the State Government / seed supplying agency
2. Buy back of the seed by the State Government / seed supplying agencies
3. Distribution of the seeds to the farmers free of cost or at subsidized rates
4. Support for land leveling, irrigation, etc.

7.3.4 Component (IV) - Fodder seed production / procurement and distribution

7.3.4.1 This component provides for multiplication of seeds of high yielding fodder varieties. The following activities are proposed under this component:

1. Seed and planting material production at farmer's field, by seed supplying agencies, cooperatives etc., under a buy back arrangement with the State Government / seed supplying agencies
2. Seed storage /processing
3. Buy back of the seed by the State Government / seed supplying agencies
4. Distribution of the seeds to the farmers free of cost or at subsidized rates

7.3.4.2 Brief guidelines and proforma for submitting the proposal under this component are placed at **Annexure-C-III& C-III(A)**,

7.3.5 Component (V) - Conservation of fodder through post-harvest technologies

7.3.5.1 This component includes the following activities:

1. Value Addition - Making of Hay/Silage
2. Infrastructure development to store hay/silage at village level.
3. Establishment of Fodder banks at Panchayat / block / Primary Milk Cooperative level
4. Conservation technology adoption at individual/ Panchayat / Primary Milk Cooperative level
5. Demonstration of value added forage produce at block level.
6. Post harvest technologies for Landless, Marginal & small farmers and Intensive dairy production
7. Financial support for post harvest operations, like providing chaff cutters to the farmers, establishment of fodder densification units, feed enrichment units, and area-specific mineral mixture units, etc.

7.3.5.2 Following sub components are included for above activities:

- (i) Distribution of hand driven chaff cutters
- (ii) Distribution of power driven chaff cutters
- (iii) Establishment of high capacity Fodder Block Making units

- (iv) Distribution of low capacity, tractor mountable Fodder Block Making units/ Hey Baling Machine/ Reaper/Forage Harvester
 - (v) Establishment of Silage making units
 - (vi) Establishment of Bypass protein/ fat making units
 - (vii) Establishment of area specific mineral mixture / feed processing units
 - (viii) Establishment / modernisation of Feed testing laboratories
- 7.3.5.3 Brief guidelines and proforma for submitting the proposals under above sub-components are placed from **Annexure-C-IV(i) to Annexure-C-IV(viii)(A)**

7.3.6 Component (VI) - Regional Fodder Stations

7.3.6.1 This component provides for the administrative expenses for the 8 Regional Fodder Stations (subordinate offices of this Department), building these institutions, and strengthening their manpower and infrastructure in the process.

7.3.7 Component (VII) - Strengthening of research

7.3.7.1 Activities under this component will be taken up by the ICAR. Research in Fodder development will include the following:

1. Germplasm conservation, collection and evaluation with special reference to climate change
2. Varietal improvement with high biomass, high nutritional parameters, biotic and abiotic stress tolerance,
3. Cropping systems for rain fed and irrigated systems
4. Silvi-horti pasture systems
5. Grassland / rangeland management and improvement
6. Animal nutrition and metabolism aspects
7. Rumen manipulation and developing feeding regime to reduce methane emission
8. Forage farm machinery and post harvest technologies
9. Enhancing seed production and protection
10. Any innovation useful for improving animal nutrition

7.3.8 Component (VIII) - Training and Human Resource Development

7.3.8.1 This component provides for capacity building of all stakeholders in fodder and feed development. This will include:

1. Training to trainers
2. Training to farmers
3. Training to researchers / academicians / officials

Brief guidelines for submitting the proposals under above sub- component is placed from **Annexure-C-V**.

7.3.9 Component (IX) - Institutional strengthening and support

7.3.9.1 Apart from meeting administrative support, this component aims at the following interventions:-

1. To establish Public Private Partnership for efficient marketing,
2. To establish linkages with DoAC, MoEF, NDDB, SFCI, AHD and Private Agencies, etc,
3. Organising workshops, conferences of the stakeholders, including farmers,
4. Preparing and disseminating material for generating awareness amongst the farmers and other stakeholders,
5. Organising trainings other than those provided under the specific components,
6. Monitoring, evaluation of the scheme, and undertaking impact studies,
7. Providing funds for innovations, and software / database development.

7.4 SUB-MISSION ON SKILL DEVELOPMENT, TECHNOLOGY TRANSFER AND EXTENSION

7.4.1 Component (I) - IEC Support for Livestock Extension

7.4.1.1 In knowledge-driven development, there is need for providing extension education keeping in view the diverse needs of the livestock owners not only on production procedures, but also the knowledge about the whole range of livestock-business, production systems, research institutions, programmes and schemes of the development departments, quality certification and reporting procedures, grading, packaging, storage, transportation and other requirements of both domestic and export markets, including interfaces at different levels with unlimited partners. The development of Information Communication Technology (ICT) and Telecommunication Network have paved the way for creation of information network, knowledge pool and services which can be intensively used for the purpose.

The following Components will be under taken to implement this Sub-Mission:

1. Component (I) – IEC Support for Livestock Extension
2. Component (II) - Training and capacity Building
3. Component (III)-Livestock Farmers Groups/Breeder's Association
4. Component (IV)- Organization of Livestock Mela / Show
5. Component (V) – Regional Livestock fair
6. Component (VI)-Operationalisation of Farmers Field Schools.
7. Component (VII)- Exposure Visit for livestock Extension facilitators
8. Component (VIII)- Exposure Visit of farmer
9. Component (IX) – Staff component of livestock Extension.

7.4.1.2 Brief guidelines and proforma for submitting the proposals under above sub-components are placed from **Annexure-D-I** to **D-IX**.

Sub-mission: Livestock Development**Component I: Entrepreneurship Development and Employment Generation (EDEG)**

1.	Name of the Sub-Components	<ul style="list-style-type: none"> a. Poultry Venture Capital Fund (PVCF-EDEG) b. Integrated Development of Small Ruminants and Rabbits (IDSRR-EDEG) c. Pig Development (PigD-EDEG) d. Salvaging of Male Buffalo Calves (SMBC-EDEG)
2.	Objectives	<ul style="list-style-type: none"> a. Poultry Venture Capital Fund (PVCF-EDEG) <ul style="list-style-type: none"> i. To encourage entrepreneurship in various poultry activities and provide capacity building for employment opportunities ii. To improve production of poultry products and productivity of processing units through technology upgradation and also encourage introduction of innovative technology. iii. To encourage rearing of other poultry species like quails, ducks, and turkeys etc. which have good potential. b. Integrated Development of Small Ruminants and Rabbits (IDSRR-EDEG) <ul style="list-style-type: none"> i. Development of Sheep for Wool and Mutton ii. Development of Goat for Meat and Milk iii. Assistance for Establishment of Goat Farms in Government Sector, NGO and Private iv. Assistance for Establishment of Rabbit Breeding Farms for Wool. v. Assistance for Training in Sheep, Goat and Rabbit Production c. Pig Development (Pig Development-EDEG) <ul style="list-style-type: none"> i. Encourage commercial rearing of pigs by adopting scientific methods and creation of infrastructure ii. Production and supply of improved germ plasm iii. Organizing stakeholders to popularize scientific practices iv. Create supply chain for pork industry v. Encourage value addition for better income. d. Salvaging of Male Buffalo Calves (SMBC-EDEG); <ul style="list-style-type: none"> i. Salvage and rear male buffalo calves to enhance survival rate, ii. Increase availability of buffalo meat for export and domestic markets, iii. Enlarge raw material base for leather industry, iv. Improve availability of by-products such as meat-cum-bone meal, tallow, hides, bio-fertilizer, brushes, combs and buttons, etc., v. Improve India's foreign exchange earning through export of buffalo meat and leather products,

		<p>vi. Create avenues of economic gain from genetic material which otherwise go waste by linking livestock farmers and meat / leather industry, and</p> <p>vii. Enhance employment opportunities in rural areas.</p>
3.	Salient Features	<p>The project is designed mainly for entrepreneurship development and technology infusion wherein a basket of activities which are bankable are placed from which farmers, individual entrepreneurs, NGOs, companies, cooperatives, groups of unorganised and organized sector which include Self Help Groups (SHGs), Joint Liability Groups (JLGs) etc. can choose from. The eligible activities, proportion of subsidy in relation to project cost and indicative cost norms are given, as a general guideline at Annexure-A. I(C) for various areas and various categories of beneficiaries, unless otherwise mentioned.</p> <p>State Government may scout for potential beneficiaries and facilitate with banks and enable processing of application/ proposal. The entrepreneurs shall apply to their banks for sanction of the project. The bank shall appraise the project as per their norms and if found eligible, sanction the total outlay excluding the margin, as the bank loan. The loan amount is then disbursed in suitable instalments depending on the progress of the unit. After the disbursement of first instalment of the loan, the bank shall apply to the concerned Regional Office of NABARD for sanction and release of total eligible subsidy.</p>
4.	Beneficiaries	Farmers, individual entrepreneurs, NGOs, Companies, Cooperatives, Groups of organized and unorganized sector which include Self-Help Groups (SHGs) and Joint Liability Groups (JLGs).
5.	Pattern of financial assistance	Central assistance, as provided under Annexure-E
6.	Implementing agencies	State Government; fund channelizing through NABARD.

Sub-mission: Livestock Development**Proforma for submitting proposal under the component of
“Entrepreneurship Development and Employment Generation (EDEG)”**

a.	Name of the Implementing agency / Organization / Department & details of Nodal Officer:
	i) Address:
	ii) Telephone No. and Fax No.:
	iii) Email ID of the HOD:
b.	Project ID
c.	Name of the Project and component under which project proposal is to be considered
d.	Financial Pattern of Assistance proposed
e.	Cost
f.	Duration a) Commencement (Year) b) Exp. Date of Completion
g.	Whether proposal is in accordance with the Mission guidelines?
h.	Whether amount sought is against proposals recommended by SLSMC and major objectives outlined
i.	Whether forward and backward linkages of the proposals sanctioned have been tied up i.e. viability ensured.
j.	For technology up gradation/ innovation, modernization projects, basic information on the technology /practice to be introduced should be furnished along with the benefits that would accrue to the farmers.
k.	Whether issues of veterinary health cover of the flocks/stocks including vaccination for diseases and basic biosecurity concerns addressed
l.	Review of implementation status of earlier projects of similar nature funded under RKVY or other Government schemes, if implemented, should be included.
m.	Are the Environmental and Disaster Management norms of the State complied with?
n.	Whether UCs of funds released earlier submitted sanction-wise?
o.	Whether audited UCs of funds given in previous years furnished?
p.	No. of SLSMC/ SLEC meetings held/ major decisions taken
q.	Expected Output / per Unit / per beneficiaries
r.	Physical Progress with respect to number of units, type of units, SC/ST/Women/ differently-abled beneficiaries etc. furnished State-wise, year-wise
s.	Expected Outcomes: Likely production /Productivity increase subsequent to the implementation of the project. In case of certain livelihood programs, the benefits accrued by beneficiaries, social development etc.
t.	Growth Impact
u.	Any other relevant information related to the proposal:
v.	Name and signature of the Head of the implementing agency/ Fund channelizing agency
w.	Name and signature of the Head of the Animal Husbandry Department:

Sub-mission: Livestock Development**Indicative subsidy ceilings under the component of 'Entrepreneurship Development and Employment Generation' (EDEG)**

Sub-component - Poultry Venture Capital Fund (PVCF)-EDEG		
S.N.	Component	Ceiling of Subsidy
i	Breeding Farms for Birds of alternate species like turkey, ducks, Japanese quails, guinea fowl and geese	At 25% level subsidy- subsidy ceiling Rs. 7.50 lakh Varies depending on the species and unit size.
ii	Central Grower Units (CGU) – upto 16000 layer chicks per batch.	At 25% level subsidy- subsidy ceiling Rs. 10 lakh for a unit of 16000 layer chicks per batch (three batches a year) - Varies with size.
iii	Hybrid Layer (chicken) Units – upto 20000 layers	At 25% level subsidy- subsidy ceiling Rs. 2 lakh for 2000 layer unit - Varies with the size.
iv	Hybrid Broiler (chicken) Units – upto 20000 birds. Can be weekly, fortnightly, monthly, all-in all-out batches. Bird strength at any point of time should not exceed 20000 birds	At 25% level subsidy- subsidy ceiling Rs. 0.56 lakh for a batch of 1000 broilers - Varies with unit size
v	Rearing of Poultry like low-input technology variety of chicken and other alternative species like turkey, ducks, Japanese quails, guinea fowl and geese.	At 25% level subsidy- subsidy ceiling Rs. 5 lakh Varies with the species and unit size
vi	Feed Mixing units (FMU) - 1.0 ton per hour Disease Investigation Lab (DIL)	At 25% level subsidy- subsidy ceiling Rs. 4 lakh
vii	Transport Vehicles – open cage	At 25% level subsidy- subsidy ceiling Rs. 2 lakh
viii	Transport Vehicles – Refrigerated	At 25% level subsidy- subsidy ceiling Rs. 3.75 lakh
ix	Retail outlets – Dressing units	At 25% level subsidy- subsidy ceiling Rs. 2.50 lakh
x	Retail outlets – marketing units	At 25% level subsidy- subsidy ceiling Rs. 3.75 lakh
xi	Mobile marketing units	At 25% level subsidy- subsidy ceiling Rs. 2.5 lakh
xii	Cold storage for poultry products	At 25% level subsidy- subsidy ceiling Rs. 5 lakh
xiii	Egg / Broiler Carts	At 25% level subsidy- subsidy ceiling Rs. 3750/-
xiv	Large Processing Units 2000-4000 birds per hour	At 25% level subsidy- subsidy ceiling Rs. 125 lakh
xv	Emu Processing units	At 25% level subsidy- subsidy ceiling Rs. 250 lakh
xvi	Feather Processing Units/ litter management	Varies with unit size. The subsidy ceiling is Rs. 125 lakh.
xvii	Technology upgradation/ innovations including waste disposal/ incinerators, mini-hatchers, egg vending machines etc.	Varies with the component. The subsidy ceiling is Rs. 125 lakh. For new/ innovative projects EC may decide the subsidy/ value cap depending upon the scope and importance of the project.

Sub-component - Integrated Development of Small Ruminants and Rabbits (IDSRR)-EDEG		
i	Commercial Units of 10 ewe / does+ 1 ram / buck	At 25% level subsidy- subsidy ceiling Rs. 12,500/-
ii	Breeding farms with 100 ewe / does + 5 ram / bucks	At 25% level subsidy- subsidy ceiling Rs. 2,50,000/-
iii	Commercial rabbit -Angora units	At 25% level subsidy- subsidy ceiling Rs. 75,000/-
iv	Rabbit - Angora breeding Farms	Varies with unit size
Sub-component - Pig Development-EDEG		
i	Commercial rearing units (3 sows + 1 Boar)	At 25% level subsidy- subsidy ceiling Rs. 25,000/-
ii	Pig Breeding Farms (20 sows + 4 Boars)	At 25% level subsidy- subsidy ceiling Rs. 2,00,000/-
iii	Retail Pork Outlets with facility for chilling	At 25% level subsidy- subsidy ceiling Rs. 3,00,000/-
Sub-component - Salvaging of Male Buffalo Calves-EDEG		
i	Mini Units: Rearing of male Buffalo calves upto 25 calves.	At 25% level subsidy - subsidy ceiling Rs. 6,250/- per calf. It would be implemented by the State Governments and subsidy would be channelized through NABARD. The beneficiary will have to avail bank loan to a tune of minimum 50% of project cost minus subsidy and prescribed beneficiary share.
ii	Commercial Units: Rearing of male Buffalo calves, more than 25 calves upto 200 calves at one location.	At 25% level subsidy - subsidy ceiling Rs. 1,50,000/- per 25 calves (at the rate of Rs.6,000/- per calf). It would be implemented by the State Governments and subsidy would be channelized through NABARD. The beneficiary will have to avail bank loan to a tune of minimum 50% of project cost minus subsidy and prescribed beneficiary share.
iii	Industrial Rearing Units: more than 200 calves upto 2000 Buffalo calves at one location.	At 25% level subsidy - subsidy ceiling Rs. 6,25,000/- per 200 calves (at the rate of Rs.3,125/- per calf). It would be implemented by the APEDA and subsidy would be channelized through NABARD. The beneficiary will have to avail bank loan to a tune of minimum 50% of project cost minus subsidy and prescribed beneficiary share.

Note:

- The ceiling on subsidy in general is at the rate of 25%. Pro-rata variable subsidy depending on category of beneficiary and location of the project will be applicable. The unit cost assumed for calculation of ceiling of subsidy is indicative only and SLSMC can revise or modify as per the prevailing market price in the area.
- Rearing of male buffalo calves for a minimum period of 24 months.
- All units under 'Entrepreneurship Development and Employment Generation', include provisions for feed and fodder, silage making, biosecurity and healthcare, insurance and other project activities etc.

- (d) An entrepreneur may avail more than one unit (maximum 4 units) of Commercial Unit of 10 ewe / does+ 1 ram / buck and; Commercial rearing units (3 sows + 1 Boar).
- (e) No multiple unit will be allowed for other activities under the Component- EDEG.

Proportion of Subsidy for various areas and various categories of beneficiaries

(i) NORMAL AREAS:

Category	Back ended subsidy	Credit	Beneficiary Share /Margin Money
BPL / SC / ST	33.33%	56.67%	10%
APL	25%	65%	10%

(ii) NORTH EAST REGION / HILL AREAS / LWE AFFECTED DISTRICTS

Category	Back ended subsidy	Credit	Beneficiary Share /Margin Money
BPL / SC / ST	50%	40%	10%
APL	35%	55%	10%

(iii) DIFFICULT AREAS

Category	Back ended Subsidy	Credit	Beneficiary Share
BPL / SC / ST	60%	30%	10%
APL	45%	45%	10%

Abbreviations : BPL: Below Poverty Line, SC / ST: Schedule Caste / Schedule Tribe

APL: Above Poverty Line

Types of Areas:

NORMAL AREAS: All areas which do not fall under the subsequent categories.

NORTH EAST REGION: Seven NE States and Sikkim.

HILL AREAS: Designated Hill Areas indicated below :

State	Districts	State	Districts
Assam	1. North Cachar 2. Karbi Anglong	West Bengal	1. Darjeeling
Uttarakhand	1. Dehradun 2. Pauri Garhwal 3. Tehri Garhwal 4. Chamoli 5. Uttarkashi 6. Nainital 7. Almora 8. Pithoragarh	Himachal Pradesh	1. Chamba 2. Kinnaur 3. Kullu 4. Lahauland Spiti 5. Shimla 6. Kangra
Jammu & Kashmir	Kathua Udhampur Doda Baramulla	Tamil Nadu	1. Nilgiris
Mizoram	Chimpuipui Lunglei Town in Lunglei District		

Notified Left Wing Extremist Affected Districts (83 Nos.).

State	Districts	State	Districts
Andhra Pradesh	1. Anantapur 2. Adilabad 3. East Godavari 4. Guntur 5. Karimnagar 6. Khammam 7. Kurnool 8. Medak 9. Mehboobnagar 10. Nalgonda 11. Prakasam 12. Srikakulam 13. Visakhapatnam 14. Vizianagaram 15. Warangal 16. Nizamabad	Bihar	1. Arwal 2. Aurangabad 3. Bhojpur 4. East Champaran 5. Gaya 6. Jamui 7. Jehanabad 8. Kaimur 9. Munger 10. Nalanda 11. Nawada 12. Patna 13. Rohtas 14. Sitamarhi 15. West Champaran
Uttar Pradesh	1. Chandauli 2. Mirzapur 3. Sonbhadra	West Bengal	1. Bankura 2. Midnapore 3. Purulia
Maharashtra	1. Chandrapur 2. Gadchiroli 3. Gondia	Madhya Pradesh	1. Balaghat
Chhattisgarh	1. Bastar 2. Bijapur 3. Dantewada 4. Jashpur 5. Kanker	Chhattisgarh	1. Korea- Baikunthpur 2. Narayanpur 3. Rajnandgaon 4. Sarguja

DIFFICULT AREAS: Notified Difficult Areas like Leh, Ladakh, Kargil areas, areas above 11,000 ft. height from mean sea level as well as difficult islands.

Sub-mission: Livestock Development

Component II: Modernisation and Development of Breeding Infrastructure

1.	Name of the sub-Components	<ul style="list-style-type: none"> i. Central Government farms ii. State / University farms as showcase farms iii. Strengthening of existing Breeding infrastructure of State / University farms
2.	Objectives	<p>I. Central Government farms</p> <p>a. Central Poultry Development Organizations including Central Poultry Performance Testing Centre</p> <ul style="list-style-type: none"> i. To evolve and develop quality poultry chicks, ducklings both parent stock and commercial stock, both egg type and meat type by taking up breeding programs on various strains maintained. ii. To intensify training of family poultry producers and also impart poultry training at Central Poultry Development Organization and Training Institute at Hessarghatta, Bengaluru in various areas of poultry production mostly for in-service candidates and other institutional candidates including foreign candidates mostly from the developing countries. iii. To evaluate quality of the poultry feed ingredients and other animal feed as part of quality control activities. iv. To diversify activities by introduction of new species such as duck, Japanese quail, guinea fowl & turkey—etc. for future development and expansion. v. To conduct layer and broiler tests to evaluate the economical status of the various stocks developed/available in the country in private and public sector. vi. To assist States/ U.Ts in their poultry development programs. <p>b. Central Sheep Breeding Farm, Hisar</p> <ul style="list-style-type: none"> 1. Under DAHDF, for supply of breeding Rams to State Government Farms, private breeder and NGOs 2. For supply of breeding bucks to State Government Farms, private breeder and NGOs 3. For Training in Sheep rearing 4. For training in machine shearing of sheep <p>II. State / University farms: Showcase farms</p> <ul style="list-style-type: none"> i. So far as infusion of technology is concerned, there is a gulf of difference between commercial breeding farms in the private sector and the breeding farms in the public sector particularly in case of poultry and pigs. ii. In order to bridge this gap, 4-6 farms for each species will be selected for developing into state-of-the-art farms (model farms) with infusion of high- end technology and automation with focus on biosecurity and maintenance of disease free stock.

		<p>III. Strengthening of existing Breeding infrastructure of State / University farms</p> <p>The objective is to enable the flow of suitable germplasm from the research Institutions / laboratories to the grassroots level alongwith other technical services through:</p> <ul style="list-style-type: none"> i. Capacity building of State Poultry Farms; Modernization of farm - automation, modern farm equipment, high-end technology infusion etc. ii. Developing and implementing package of practices at the ground level for different types of poultry system including family poultry system for supplementary income generation and family nutrition. iii. Poultry production in a clustered manner through a scientific approach.
3.	Salient Features	<ul style="list-style-type: none"> i. The Central Organisations will prepare an infrastructure development plan on the basis of which case to case approval and expenditure sanction will be provided by the Department. ii. The States may be required to make a thorough assessment of all farms / breeding infrastructure with respect to their potential and performance, and select the farms with high potential. These farms picked up for strengthening will also be mandated to train State officials/ entrepreneurs/farmers. iii. It may also be stated that for State farms, except showcase farms, civil work may be kept to minimal and no funds may be allotted for new major construction, routine maintenance and patchworks etc. However, incidental civil work for installation of machinery and equipment, 10% of the funds may be allocated. Further, if felt necessary or urgent, works involved with automation, modernization and biosecurity may be recommended by SLEC. There also should be application disaster management technologies in all infrastructure projects. iv. One time operational/ Revolving Fund (maximum Rs. 15 lakh) may be provided to these farms for smooth operations maintenance to ensure long term sustainability. v. For breeding improved varieties of animals across these species, assisted reproduction technologies (ARTs) as applicable will be propagated.
4.	Pattern of financial assistance	Central assistance, as provided under Annexure-E. In case of Government of India farms, the same pattern of funding as was done in the erstwhile Central Sector Scheme for subordinate/ attached offices in Plan and Non Plan heads would continue.
5.	Implementing agencies	Central Government, State Government/ UTs, State Universities (through State Government / UT Administration). There may not be any objection if State Government, in turn engages and implements through NGOs or private agencies/ bodies

Sub-mission: Livestock Development**Proforma for submitting proposal under the component of
“Modernisation and Development of Breeding Infrastructure”**

a.	Name of the Implementing agency / Organization / Department & details of Nodal Officer:
	i) Address:
	ii) Telephone No. and Fax No.:
	iii) Email ID of the HOD:
b.	Project ID
c.	Name of the Project and component under which project proposal is to be considered
d.	Financial Pattern of Assistance proposed
e.	Cost (In Crore)
f.	Duration a) Commencement (Year) b) Exp. Date of Completion
g.	Whether proposal is in accordance with the Mission guidelines?
h.	Whether the proposal recommended by SLEC and major objectives outlined
i.	State Poultry Profile: Points below may be given as relevant to the project and basic idea is to identify the gaps and how the project envisages filling the gap
j.	Value addition /realization on account of the project and the physical infrastructure proposed e.g. landing centers/markets/cold chain etc. (cost estimate contained in the proposal should be based on the approved Schedule of Rates (SoR). In case of non-availability of approved SoR, the cost estimate should be formulated based on the prevailing market rates and in such cases; the reasonability of the rates adopted should be certified by the competent authority of the State/UT). The item-wise financial details may be included.
k.	Whether forward and backward linkages have been tied up e.g. availability of seed/feed/markets etc.
l.	For technology up gradation/ modernization projects, basic information on the technology /practice to be introduced should be furnished along with the benefits that would accrue.

m.	Whether issues of breeding, nutrition, management, veterinary health cover of the flocks/ birds including vaccination for diseases and basic biosecurity concerns addressed
n.	Whether training of the beneficiary farmers and marketing of the product have been addressed in the project
o.	Adoption of improved practices like application of area specific feed resources and hygienic/ biosecure shelters by dovetailing funding available under other ongoing schemes like NREGA need to be specified in the project.
p.	The project proposal should clarify whether financial /skilled human/other resources are available for operation /maintenance /continuation of the project.
q.	Review of implementation status of earlier projects of similar nature funded under RKVY or other Government schemes should be included.
r.	Are the Environmental, Pollution and Disaster Management norms of the State/ Country complied with?
s.	Whether UCs of funds released earlier submitted?
t.	Whether audited UCs of funds given in previous years furnished?
u.	Expected Output / per Unit / per beneficiaries
v.	Expected Outcomes: Likely production /Productivity increase subsequent to the implementation of the project.
w.	Growth Impact
x.	Any other relevant information related to the proposal:
y.	Name and signature of the Head of the implementing agency:
z.	Name and signature of the Head of the Animal Husbandry Department:

Sub-mission: Livestock Development

Component III: Interventions towards productivity enhancement

1.	Name of the sub-Components	<ul style="list-style-type: none"> i. Rural Backyard Poultry Development ii. Interventions in the breeding tract of high fecundity breeds iii. Research studies and linkages with professional bodies iv. Propagation of Artificial Insemination Biotechnology centres for fecundity breeds v. Training and orientation of functionaries vi. Ram / Buck / Boar shows vii. Community led breed improvement programmes viii. Cluster based mass de-worming / health cover programmes ix. Innovative projects
2.	Objectives	<p>Rural Backyard Poultry Development: Rural Backyard Poultry Development</p> <p>The 'Rural Backyard Poultry Development' component is envisaged to cover beneficiaries from BPL families to enable them to gain supplementary income and nutritional support. The SHGs/ NGOs, entrepreneurs may take up mother unit activity which will procure the day old chicks either from the State Poultry Farms or from the private hatchery and will rear the birds upto 4 weeks of age. This scheme component aims at supporting BPL beneficiary families with tapering assistance, wherein 4-week old chicks, suitable for rearing in the backyard, reared at the 'mother units' are further distributed to them in batches. Further, provision is there to raise the birds in a bio-secure manner for night-shelter etc.</p> <p>Interventions in the breeding tract of high fecundity breeds</p> <ul style="list-style-type: none"> (i) Interventions in the breeding tracts of high fecundity breeds; (ii) Sponsoring need based research / studies and linkages with professional bodies; (iii) Propagation of Artificial Insemination (AI); (iv) Biotechnology centres for fecundity breeds; (v) Community led breed improvement programmes; (vi) Innovative projects <p>Research studies and linkages with professional bodies</p> <p>Propagation of Artificial Insemination Biotechnology centres for fecundity breeds</p> <p>During the XII Plan propagation of Artificial Insemination in small ruminants will be given special focus by establishment of semen banks/collection centres. In addition, organizing camps for mass de-worming / vaccination, supply of area specific mineral mixtures, etc., will also be allowed under the programme.</p>

		Training and orientation of functionaries
		Ram / Buck / Boar show
		Community led breed improvement programmes
		Cluster based mass de-worming / health cover programmes
		Innovative projects
3.	Salient Features	<p>Rural Backyard Poultry Development This component will cover beneficiaries from BPL families. Chicks reared upto the age where they can survive at the farmers' backyard may be distributed in 2 or 3 batches to the beneficiaries. The cost ceiling for each chick will be Rs.50/-. The ceiling for number of birds to be distributed would be Forty Five.</p> <p>The beneficiary will also be provided with a lump sum ceiling amount of Rs.1500/- towards cages, night shelter, feeders, etc. In both instances, a Central share as indicated in the Administrative Approval for the prevailing year shall be followed.</p> <p>Mother units for raising day old chicks upto the marketable age of 4 weeks may also be established. Establishment of mother units will be allowed at State Poultry establishments as well as beneficiary level with Central assistance of maximum Rs. 60,000/- per unit.</p> <p>In case if mother unit is established at already assisted State Poultry farm under erstwhile schemes, Central assistance will not be provided.</p> <p>Operational credit-cum-subsidy for mother units may be availed under Central Grower Unit component of Poultry Venture Capital Fund (EDEG).</p> <p>Only low input technology birds listed in Annexure F will be propagated under this component. The firms listed in the table have to send feedback by end of December 2016, and subsequently every 2 years, if the programme continues, on the field performance reports, roles played, success stories and constraints faced in field if any; otherwise the variety may be excluded from the list without prior notice.</p>
		Interventions in the breeding tract of high fecundity breeds
		Research studies and linkages with professional bodies
		Propagation of Artificial Insemination Biotechnology centres for fecundity breeds
		Training and orientation of functionaries
		Ram / Buck / Boar shows
		Community led breed improvement programmes – Purchase and Distribution of superior Rams/Bucks for breed improvement and productivity enhancement State Government shall submit proposal for

	<p>purchase and distribution of Rams/Bucks as per guidelines of NLM. The State Department while preparing the proposal will decide the number and name of the districts of the State concerned where the project will be implemented, with justification for the number of bucks to be distributed in those districts.</p> <p>The Rams and Bucks will be the property of the State Government and would be circulated to village of another tehsil/ District after breeding for one year.</p> <p><u>Selection of Breeds and price</u></p> <p>All these are based on good record keeping and as per the following criteria: -</p> <ol style="list-style-type: none"> 1. As per the State Government Breeding Policy of Small Ruminants, if any. 2. If it is a native breed tract, then only the native breed should be selected. 3. The Breed should be in the registered list of Breeds as on date with the National Bureau of Animal Genetic Resources (NBAGR) and list is available on the web site of the NBAGR. 4. To the extent feasible, only purebred Rams and Bucks should be selected for breeding. 5. The proposed procurement price of the Ram and Bucks should be based on the prevailing market rates. The price of the Ram and Bucks available on the Website of CSWRI Avikanagar CIRG, Makhdoom and CSBF, Hissar should be consulted as a reference. <p><u>Selection Committee</u></p> <p>The Selection Committee for selection of Bucks and rams would consist of at least three members, including:</p> <ol style="list-style-type: none"> 1. District level Veterinary Officer, 2. Sarpanch or Gram Panchayat Representative, 3. Representative of the Breeders society , if available, 4. Representative of the active NGO relating to Small Ruminant Development working in that area, 5. Block level Veterinary Officer. <p><u>Criteria for selection of ram/buck:</u></p> <p>A good ram/buck meets the following criteria:</p> <ol style="list-style-type: none"> 1. Animal should be healthy, have sound feet, interested in the surrounding does/ewes, with no obvious abnormalities. 2. Wide chest, straight body and strong masculine head and neck. 3. Strong limbs with no limb deformities especially of hind limbs. 4. Heavy muscles over the loins, hips and upper fore-legs. 5. Two well-developed testes. 6. Testicles should be seen easily from the back.
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		<p>7. Testicles not hard neither too soft to touch.</p> <p>8. No wounds or scars on scrotum.</p> <p>9. Must look fierce or aggressive, and show libido (willingness to mount).</p> <p>10. Should data like individual data, lifetime information data, pedigree information (parents& grandparents), progeny/ off-spring performance, performance of relatives, etc. be available, these are also to be taken into consideration as criteria for selection.</p> <p><u>Insurance</u></p> <p>All bucks and rams would be insured under Livestock Insurance Scheme of the NLM. The Rams/Bucks would be insured in the name of and by the State Animal Husbandry Department.</p> <p><u>Feeding & Maintenance of Rams and Bucks</u></p> <p>The concerned Gram Panchayat will give responsibility of Rams and Buck to Breeders Society/ SHG/ Community Animal Health Workers (priority should be given to Women's SHG or PashuSakhî) and be responsible for drawing up the terms of services, including setting of natural service charges to meet out management and feeding of Ram and Buck.</p> <p>An agreement/MOU would be signed between the Panchayat/SHG/Breeders' Society and the State Government stating that the animal is given to the concerned Panchayat/SHG/Breeders' Society for its up keep and judicious use for breeding purposes, up gradation of breed and/or improvement in productivity of the native herds in the village.</p> <p>The agreement /MOU should specify the terms and conditions for the upkeep and management of the buck/ram as decided by the Gram Panchayat and also clearly mention that the bucks should be exchanged among the villages on an annual basis; the exchange would be coordinated by the Block Level Veterinary Officer.</p> <p><u>Vaccination and Deworming</u></p> <p>The vaccination and Deworming of the rams and bucks would initially be done by the State Government Veterinarian or an authorized representative. Subsequently it would be the responsibility of the buck-keeper to ensure that all preventive measures are taken timely, with assistance of the local State Veterinary hospital/dispensary.</p> <p><u>Exchange of Buck/Ram every year between the villages and District and culling</u></p> <p>The Ram/Bucks would be exchanged every year and would be transferred to village of another Tehsil/ District to avoid inbreeding. The Rams and bucks would be culled after 5 year or/exhausting the reproductive life of the animals sale procees would go to the State Animal Husbandry Department for replacement of breeding bucks/rams.The Buck exchange programme would be coordinated by</p>
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		the Block Level Veterinary Officer.
		Cluster based mass de-worming / health cover programmes
4.	Pattern of financial assistance	Central assistance, as provided under Annexure-E. Further, as stated in General Guidelines, States may decide upon the sharing basis between State Government and beneficiary, if the component involves the latter.
5.	Implementing agencies	Central Government, State Government/ UTs,

Sub-mission: Livestock Development**Proforma for submitting proposal under the component of
“Interventions towards productivity enhancement”**

a.	Name of the Implementing agency / Organization / Department & details of Nodal Officer:
	i) Address:
	ii) Telephone No. and Fax No.:
	iii) Email ID of the HOD:
b.	Project ID
c.	Name of the Project and component under which project proposal is to be considered
d.	Financial Pattern of Assistance proposed
e.	Cost
f.	Duration a) Commencement (Year) b) Exp. Date of Completion
g.	Whether proposal is in accordance with the Mission guidelines?
h.	Whether the proposal recommended by SLEC and major objectives outlined
i.	STATE LIVESTOCK PROFILE: Points below may be given as relevant to the project and basic idea is to identify the gaps and how the project envisages filling the gap
j.	In case of Rural Backyard Poultry Development: Area of operation, undertaking for ensuring health care, number of BPL beneficiaries to be covered, number of mother units proposed, number of low-input technology birds proposed to be distributed etc.
k.	Whether forward and backward linkages have been tied up e.g. availability of seed/feed/markets etc.
l.	For technology up gradation / modernization projects, basic information on the technology /practice to be introduced should be furnished along with the benefits that would accrue.
m.	Whether issues of breeding, nutrition, management, veterinary health cover of the flocks/ birds including vaccination for diseases and basic biosecurity concerns addressed

n.	Whether training of the beneficiary farmers and marketing of the product have been addressed in the project
o.	Adoption of improved practices like application of area specific feed resources and hygienic/ biosecure shelters by dovetailing funding available under other ongoing schemes like NREGA need to be specified in the project.
p.	The project proposal should clarify whether financial /skilled human/other resources are available for operation /maintenance /continuation of the project.
q.	Review of implementation status of earlier projects of similar nature funded under RKVY or other Government schemes should be included.
r.	Are the Environmental, Pollution and Disaster Management norms of the State/ Country complied with?
s.	Whether UCs of funds released earlier submitted?
t.	Whether audited UCs of funds given in previous years furnished?
u.	Expected Output / per Unit / per beneficiaries
v.	Expected Outcomes: Likely production /Productivity increase subsequent to the implementation of the project.
w.	Growth Impact
x.	Any other relevant information related to the proposal:
y.	Name and signature of the Head of the implementing agency:
z.	Name and signature of the Head of the Animal Husbandry Department:

Sub-mission: Livestock Development**Component IV: Risk Management**

1.	Name of the sub-Components	Risk Management
2.	Objectives	The objective of the scheme is to management of risk and uncertainties by providing protection mechanism to the farmers against any eventual loss of their animals due to death and to demonstrate the benefit of the insurance of livestock to the people.
3.	Salient Features	<p>The 'Risk Management & Insurance' as component of sub-mission on livestock development of NLM is to be implemented in all the Districts of the Country and, in case if new Districts are carved out of the existing Districts, than the new districts will also be covered. The indigenous / crossbred milch animals, pack animals (Horses, Donkey, Mules, Camels, Ponies and Cattle/Buff. Male) and Other livestock (Goat, Sheep, Pigs, Rabbit, Yak and Mithun) will be under the purview of the 'Risk Management & Insurance'. Benefit of subsidy is to be restricted to 5 animals per beneficiary per household for all animals except sheep, goat, pig and rabbit. In case of sheep, goat, pig and rabbit the benefit of subsidy is to be restricted based on 'Cattle Unit' and one cattle unit is equal to 10 animals' i.e for sheep, goat, pig and rabbit. Therefore the benefit of subsidy to sheep, goat, pig and rabbit is to be restricted to 5 'Cattle Unit' per beneficiary per house hold. If a beneficiary has less than 5 animals / 1 Cattle Unit can also avail the benefit of subsidy.</p> <p>The Risk management and Insurance component envisages the following payments from central funds as Grant's - in -Aid</p> <ul style="list-style-type: none"> (a) Subsidy as per Annexure-E (b) 100% Payments of Honorarium to the Veterinary Practitioners and (c) 100% Publicity <p>However a beneficiary may insure more than 5 animals by paying the full premium without availing the benefit of subsidy for all animals except sheep, goat, pig and rabbit. Similarly a beneficiary may insure more than 5 'Cattle Unit' by paying the full premium without availing the benefit of subsidy for sheep, goat, pig and rabbit.</p> <p>For this purpose, 'household' will be defined on the same lines as adopted under Mahatma Gandhi National Rural Employment Guarantee Act, 2005, here-in-after referred to as MNREGA for brevity. Efforts should be made to insure the animals for at least three years rather than one year.</p> <p>Special efforts will be made to associate and involve the registered milk societies / unions for insuring the animals belonging to the members of these societies / unions as a group. The insurance companies will also be persuaded to give some further concessions to these societies / unions with respect to rate of premium as the work of their agents will be reduced otherwise.</p>

		<p>In order to get the maximum benefit in terms of competitive premium rates, easier procedures of issue of policy and settlement of claims, Chief Executive Officer will be empowered to decide upon the Insurance company(s) and the terms and conditions. While selecting Insurance Company, besides premium rates offered, their capacity to provide services, terms and conditions and service efficiency on objective criteria should also be taken into account. The CEO will invite quotations in writing from those public and private general insurance companies having a network in the State/UTs or a considerable part of the State/UTs. Only one tender should be floated for the whole State/UTs considering state as a unit. The tender may comprise of 3 or more items defining the type of geographical / LWE area for which separate premium rates may be quoted by the insurance company/agencies. A tender committee would be constituted by the State/UTs Government in which one representative to be nominated by the Joint Secretary, DADF; GoI would be there who is responsible for implementing the 'Risk Management & Insurance' as component of sub-mission on livestock development of NLM in GoI.</p> <p>Under no circumstances, the rate of premium should exceed 3%, 3.5% and 4.0% for annual policies and 7.5%, 9.0% and 10.5% for three-year policies</p> <p>Normally, a single insurance company should be entrusted for insurance work in States/UTs for a particular type of area and if more than one company bids the same premium rate then the area should be divided equally in terms of Revenue Divisions or in absence of Revenue Divisions, region wise.</p> <p>Default in settlement of claim or any types of deficiency in services on part of Insurance Companies should immediately be brought to the notice of the Insurance Regulatory and Development Authority (IRDA) which is a nodal authority in the country in this regard with intimation to the District Monitoring Committee and DADF.</p> <p>The Service Tax, if applicable will be paid by the concerned beneficiary / State/UT Government as per the prevalent Rules.</p> <p>The Post Mortem Report of the deceased animal and examination of the animal while issuing insurance policy is to be carried out by the veterinary practitioners registered with the Veterinary Council of India.</p> <p>In order to generate confidence among the farmers about the efficacy of the 'Risk Management & Insurance' as component of sub-mission on livestock development of NLM, it is important that the policy cover should take effect once the basic formalities like identification of animal, its examination by the veterinary practitioner, assessment of its value and its tagging along with payment of the premium to the insurance company or its agent by the owner are completed. The selected insurance company will have to agree to this. However, it is possible that the selected Insurance Company may demand for whole premium in advance so that the insurance cover can take effect immediately after the owner pays the beneficiary share. In order to take care of this problem, there could be an arrangement by which the admissible percentage of the premium amount of the Central and State Share, of maximum number of animals that generally expected to be insured in a period of three month, is paid in advance to the insurance company by the CEO. The selected insurance company, on its part, should issue instructions to their branches that as and when share of the premium is paid by the owner, they should</p>
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		<p>issue the policy with immediate effect. Target of getting the number of animals insured in one month period for payment of advance to the Insurance Company should be on realistic basis and recouping of the advance fund should be on the basis of subsequent progress made by the concerned Insurance Company.</p> <p>An animal will be insured for its current market price. The market price of the animal to be insured will be assessed jointly by the beneficiary and the insurance company preferably in the presence of the Veterinary officer or the BDO. The minimum value of animal should be assessed by taking Rs.3000 per liter per day yield of milk or as per the price prevailing in the local market (declared by Government) for cow and Rs.4000 per liter per day yield of milk or as prevailing in the local market (declared by Government) for buffalo. The market price of pack animals (Horses, Donkey, Mules, Camels, Ponies and Cattle/Buff. Male) and Other livestock (Goat, Sheep, Pigs, Rabbit, Yak and Mithun) are to be assessed by negotiation jointly by owner of animal and by insurance company in the presence of veterinarians Doctor. In case of dispute the price fixation would be settled by the Gram Panchayat / BDO.</p> <p>The animal insured will have to be properly and uniquely identified at the time of insurance claim. The ear tagging should, therefore, be full proof as far as possible. The traditional method of ear tagging or the recent technology of fixing microchips could be used at the time of taking the policy. The cost of fixing the identification mark will be borne by the Insurance Companies and responsibility of its maintenance will lie on the concerned beneficiaries. The nature and quality of tagging materials will be mutually agreed by the beneficiaries and the Insurance Company. The Veterinary Practitioners may guide the beneficiaries about the need and importance of the tags fixed for settlement of their claim so that they take proper care for maintenance of the tags. The tag already available on animal may be utilized with unique identity number subject to the condition that it is mutually agreed by farmer and agency and there shall not be any dispute in settlement of claims on account of utilization of existing tag. While processing an insurance proposal, one photograph of the animal with the Owner and one photograph of the animal clearly with the EAR TAG visible shall be taken at the time of processing the insurance documentation.</p> <p>In case of sale of the animal or otherwise transfer of animal from one owner to other, before expiry of the Insurance Policy, the authority of beneficiary for the remaining period of policy will have to be transferred to the new owner. The modalities for transfer of livestock policy and fees and sale deed etc required for transfer, should be decided while entering into contract with the insurance company.</p> <p>The method of settlement of claim should be very simple and expeditious to avoid unnecessary hardship to the insured. While entering into contract with the insurance company, the procedure to be adopted / documents needed for settlement of claim should be clearly spelt out. Only four documents would be required by insurance companies for settling the claims viz. intimation with the Insurance Company, Insurance Policy paper, Claim Form and Postmortem Report. All documents/forms for insuring as well as settling the claims should be made available by the insurance agency in local language or in English language. In case the farmers' copy of the Insurance Policy paper is lost then the Insurance Company would immediately issue duplicate Insurance Policy paper. In</p>
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		<p>case of claim becoming due, the payment of insured amount should be made within 15 days positively after submission of requisite documents. If an Insurance company fails to settle the claim within 15 days of submission of documents, the insurance company will be liable to pay, a penalty of 12% compound interest per annum to the beneficiary. While insuring the animal, CEOs must ensure that clear cut procedures are put in place for settlement of claims and the required documents are listed and the same is be made available to concerned beneficiaries along with the policy documents. The beneficiary should get full payment of the sum insured in case of death of animals. In case, there are delays in settling a claim or the claim is rejected, it must be fully justified by the concerned insurance company to the claimant under intimation to District Monitoring Committee and also to SIA. The provisions to these effects must be incorporated in the MOU with the insurance companies.</p> <p>It has been decided to pay an honorarium of Rs 50/- per animal at the stage of insuring the animal and Rs. 125/- per animal at the stage of conducting post-mortem and issuing post-mortem certificate in case of any insurance claim. Central Government will provide the amount needed for payment of honorarium to the SIAs. The CEOs should ensure that payment is made to Veterinary Practitioners at the end of each quarter for the animal's insured and veterinary certificates issued by them in that quarter.</p> <p>It has been felt that the onus of making the 'Risk Management & Insurance' as component of sub-mission on livestock development of NLM more popular lines with the insurance agency. The expenditure on publicity, therefore, needs to be minimized Efforts will be made to evolve Howveredairy cooperative societies, PRI and other agencies that have direct contact with milk producers in different ways; e.g. Gau-Mitras, Panchayati Raj Bodies, etc is to be involved in publicity. For this purpose the CEOs are empowered to provide assistance not exceeding Rs.50,000/- for Provincial Co-operative Dairy Federation (PCDF)/other agencies, not exceeding Rs.15,000/- for District Panchayat / other agencies and Rs.1,500/- for Block Panchayat / other agencies per annum either in cash and in the form of publicity material or a mix of both.</p>
4.	Pattern of financial assistance	Central assistance as per Annexure-E
5.	Implementing agencies	DADF is implementing the Centrally Sponsored 'Risk Management & Insurance' as component of sub-mission on livestock development of NLM is implemented through the SIAs such as State Livestock Development Board/Agency which are also implementing National Project for cattle & buffalo and breeding. In states/UTs where there are no SIAs, the 'Risk Management & Insurance' Scheme will be implemented through the State/UTs Animal Husbandry Departments

Sub-mission: Livestock Development**Proforma for submitting proposal under the component of “RISK MANAGEMENT” & INSURANCE”**

a.	Name of the Implementing agency / Organization / Department:
b.	a) Address:
c.	b) Telephone No. and Fax No.:
d.	c) Email ID of the HOD:
e.	Present status of requirement: a) Fund released as on date: d) Actual Expenditure incurred: b) Balance available: c) Interest accrued on Central Grants:
f.	Premium Rate: a) For One year b) For three year
g.	Honorium
h.	Publicity
i.	Subsidy on premium
j.	Animals Insured: a) For one year b) For three year c) Total
k.	Beneficiaries: a) SC/ST Beneficiaries b) General Beneficiaries c) Total
l.	Claims made
m.	Claim settle
n.	Any other relevant information related to the proposal:
o.	Name and signature of the Head of the implementing agency:
p.	Name and signature of the Head of the Animal Husbandry Department:

Sub-mission: Livestock Development**Component V: Conservation of Livestock Breeds**

1.	Name of the Component/ Sub-components (if any)	Conservation of Livestock Breeds
2.	Objectives	<p>1. The States will be encouraged to undertake a structured programme of identification and documentation of new breeds.</p> <p>2. The universities will also be involved under this programme so that new varieties proposed to be registered are first studied at the State University level, then at the level of NBAGR before they are finally registered as breeds.</p> <p>3. These activities will be monitored by a State Level Committee on Animal Genetic Resources which will also take stock of population dynamics of the existing breeds whose native tracts lie in the State.</p> <p>4. Annual seminars, workshops, etc. will also be organized to enhance awareness of all stakeholders.</p> <p>5. Establishment of farmers / breeders organizations with the objective of registration of two specimens of the breed and maintenance of breed registry will also be supported under this component.</p>
3.	Salient Features	<p>1. Conservation of Indigenous Threatened breeds of livestock</p> <p>2. A Watch list of the Threatened Breeds</p>
4.	Pattern of financial assistance	As per the NLM Guidelines Under this component, annual grant of Rs.20.00 lakh for nucleus breeding farms involving small animals (sheep, goat, pig and poultry) will be provided and for large animals (horse, camel, yak, etc.) an annual grant of Rs.40.00 lakh will be provided
5.	Implementing agencies	<p>1. State Government</p> <p>2. Livestock Development Corporation</p> <p>3. State Animal and Veterinary Universities</p> <p>4. NGO and Breeding Organizations, Societies</p>

Sub-mission: Livestock Development**Proforma for submitting proposal under the component of
“Conservation of Livestock Breeds”**

a.	Name of the Implementing agency / Organization / Department & details of Nodal Officer:
	i) Address:
	ii) Telephone No. and Fax No.:
	iii) Email ID of the HOD:
b.	Project ID
c.	Name of the Project and component under which project proposal is to be considered
d.	Financial Pattern of Assistance proposed
e.	Cost
f.	Duration a) Commencement (Year) b) Exp. Date of Completion
g.	Whether proposal is in accordance with the Mission guidelines?
h.	Name of the Breed to be Conserved-
i.	Population of the breed in the state and breeding tract
j.	Details of the Previous Proposals
k.	Details of other projects for conservation of breeds
l.	Reasons for conservation of breed and its use
m.	Whether UCs of funds released earlier submitted?
n.	Whether audited UCs of funds given in previous years furnished?
o.	Expected Output / per Unit / per beneficiaries
p.	Expected Outcomes: Likely production /Productivity increase subsequent to the implementation of the project.
q.	Growth Impact
r.	Any other relevant information related to the proposal:
s.	Name and signature of the Head of the implementing agency:
t.	Name and signature of the Head of the Animal Husbandry Department:
u.	Detailed Project Report: (i) Details of Registration of Breed with NBAGR (ii)No. of breeding males and females present (iii)No to be conserved (iv)Future population after completion of the project (v)Economic and social importance of the breed (vi)Detailed Techno-economic feasibility report with physical and financial projections

Sub-mission: Livestock Development**Component VI: Development of Minor Livestock Species**

1.	Name of the Component/ Sub-components (if any)	Development of Minor Livestock Species
2.	Objectives	<p>The XI Plan schemes of the department did not cover development of equines and yaks. It will be responsibility of the State Government to verify the credentials of the NGO before forwarding their proposal.</p> <p>It is proposed to keep a window open for consideration of proposals for development of these species. .</p> <p>Proposals for development of working equines will be received through the State Governments and non-government organizations will be eligible to submit proposals</p>
3.	Salient Features	<ol style="list-style-type: none"> 1. Development of Equines and yaks 2. Development of donkeys and other minor livestock species
4.	Pattern of financial assistance	A ceiling of Rs. 75.00 lakh per proposal will be fixed subject to technical feasibility of the proposals and their relevance to development of the minor livestock species not covered under any other programme
5.	Implementing agencies	<ol style="list-style-type: none"> 1. State Government 2. Livestock Development Corporation 3. State Animal and Veterinary Universities 4. NGO and Breeding Organizations, Societies

Sub-mission: Livestock Development**Proforma for submitting proposal under the component of
“Development of Minor Livestock Species”**

a.	Name of the Implementing agency / Organization / Department & details of Nodal Officer:
	i) Address:
	ii) Telephone No. and Fax No.:
	iii) Email ID of the HOD:
b.	Project ID
c.	Name of the Project and component under which project proposal is to be considered
d.	Financial Pattern of Assistance proposed
e.	Cost (In Crore)
f.	Duration a) Commencement (Year) b) Exp. Date of Completion
g.	Whether proposal is in accordance with the Mission guidelines?
h.	Species to be developed
i.	Details of the animals to be developed
j.	Population in the tract
k.	Populations in the state
l.	Reasons for conservation
m.	Whether UCs of funds released earlier submitted?
n.	Whether audited UCs of funds given in previous years furnished?
o.	Expected Output / per Unit / per beneficiaries
p.	Expected Outcomes: Likely production /Productivity increase subsequent to the implementation of the project.
q.	Growth Impact
r.	Any other relevant information related to the proposal:
s.	Name and signature of the Head of the implementing agency:
t.	Name and signature of the Head of the Animal Husbandry Department:
u.	(i) Detailed Project Report: (ii)Detailed Techno-economic feasibility report with physical and financial projections

Sub-mission: Livestock Development

Component VII: Utilization of Fallen Animals

1.	Name of the Component	Utilization of Fallen Animals
2.	Objectives	<ul style="list-style-type: none"> i. To Prevent bird-hit hazards to civil and defence aircrafts. ii. To Prevent environmental pollution and spread of livestock diseases. iii. To Produce better quality hides and skins through timely recovery, better handling and transport. iv. Mandatory under Prevention and Control of Infectious and Contagious Disease in Animal Act, 2009 to dispose-off the fallen animals/carcasses properly. v. To Provide opportunity of employment to poorest of poor engaged in carcass collection, flaying and by-product processing
3.	Pattern of financial assistance	Central assistance as one time subsidy, as provided under Annexure-E
4.	Beneficiaries	Municipalities/Local bodies/State Government.
5.	Implementing agencies	Municipalities / Department of Animal Husbandry of the States. States may involve NGOs, SHGs, Co-operatives. However, funds will be released through State Government concerned.

Sub-mission: Livestock Development**Proforma for submitting proposal under the component of
“Utilization of Fallen Animals”**

a	Name of the Implementing agency / Organization / Department & details of Nodal Officer:
	i) Address:
	ii) Telephone No. and Fax No.:
	iii) Email ID of the HOD:
b	Project ID
c	Name of the Project and component under which project proposal is to be considered:
d	Whether requisite approval/s of competent authority/ies has/have been obtained:
e	Project Cost (In lakh) recommended by the State a. State share: b. Central share:
f	Financial Pattern of Assistance proposed:
g	Details of foreign currency, if any required for the project, :
h	Ownership/Lease of land proposed for the project:
i	Location of the project/plant and distance from nearest airport:
j	Distance from nearest Veterinary Hospital:
k	Duration a. Commencement (Year): b. Expected Date of Completion:
l	Whether proposal is in accordance with the NLM guide lines?
m	Whether UCs (in form 19-A) of funds released earlier submitted?
n	Whether audited UCs of funds given in previous years furnished?
o	Processing capacity of the plant (kg per shift or number of animals per shift of 8 hrs.):
p	Expected Outcomes: Likely production /Productivity increase subsequent to the implementation of the project.
q	Locking period:
r	Previous experience related to the field, if any:
s	Information on raw material availability:
t	Any other relevant information related to the proposal:
u	Name and signature of the Head of the implementing agency:
v	Name and signature of the Head of the Animal Husbandry Department:
w	Detailed Project Report:

Sub-mission: Livestock Development

Component VIII: Establishment of Rural Slaughter Houses

1	Name of the Component	Establishment of Rural Slaughter Houses
2	Objectives	<ul style="list-style-type: none"> i. To establish a new system of slaughter of livestock, ii. To establish/modernise slaughter houses, which can be operated by private entrepreneurs in rural and semi-urban areas with population of less than 50,000, iii. To encourage value addition to products in rural areas so that livestock owners get better income with proper utilization of by-products, iv. To ensure hygiene in meat production from slaughter houses to consumers' table by establishing network of cold chains and distribution on commercial basis.
3	Pattern of financial assistance	Central assistance as one time subsidy, as provided under Annexure-E
4	Beneficiaries	Panchayats/Local bodies/State Government.
5	Implementing agencies	Panchayats /Department of Animal Husbandry of the States. States may involve NGOs, SHGs, Co-operatives, Entrepreneur. However, funds will be released through State Government concerned.

Sub-mission: Livestock Development**Proforma for submitting proposal under the component of
“Establishment of Rural Slaughter Houses”**

a.	Name of the Implementing agency / Organization / Department & details of Nodal Officer:
	i) Address:
	ii) Telephone No. and Fax No.:
	iii) Email ID of the HOD:
b.	Project ID
c.	Name of the Project and component under which project proposal is to be considered:
d.	Whether requisite approval/s of competent authority has/have been obtained:
e.	Project Cost (in Lakh) recommended by the State a. State share b. Central share
f.	Financial Pattern of Assistance proposed:
g.	Details of foreign currency, if any required for the project, :
h.	Ownership of land proposed for the project:
i.	Location of the project/plant:
j.	Distance from the nearest town and population of the town:
k.	Duration a) Commencement (Year): b) Expected Date of Completion:
l.	Whether proposal is in accordance with the NLM guide lines?
m.	Whether UCs of funds released earlier submitted?
n.	Whether audited UCs of funds given in previous years furnished?
o.	Expected number of animals to be slaughtered per day
p.	Proposed capacity (species- wise) per shift of 8 hrs.
q.	Expected Outcomes: Likely production /Productivity increase subsequent to the implementation of the project.
r.	Lock in period:
s.	Any other relevant information related to the proposal:
t.	Name and signature of the Head of the implementing agency:
u.	Name and signature of the Head of the Animal Husbandry Department:
v.	Detailed Project Report:

SUB MISSION: PIG DEVELOPMENT IN NER

Component I: Strengthening of Farms

1	Name of the Component	Strengthening of Farms
2	Objectives	<ol style="list-style-type: none"> 1. For production and supply of improved germ plasm 2. To encourage commercial rearing of pigs by adopting scientific methods and creation of infrastructure 3. To improve production performance of native breed through cross breeding by using selected animals of high performing breeds through artificial insemination and natural services, while preserving local germ plasm in specified areas.
3	Pattern of financial assistance	Central assistance as one time grant, as provided under Annexure-E .
4	Beneficiaries	State Government.
5	Implementing agencies	Department of Animal Husbandry of the States, Semi Government Organisation, However, funds will be released through State Government concerned.

SUB MISSION: PIG DEVELOPMENT IN NER**Proforma for submitting proposal under the component of
“Strengthening of Farms”**

a	Name of the Implementing agency / Organization / Department & details of Nodal Officer:
	i) Address:
	ii) Telephone No. and Fax No.:
	iii) Email ID of the HOD:
b	Project ID
c	Name of the Project and component under which project proposal is to be considered:
d	Whether requisite approval/s of competent authority has/have been obtained:
e	Project Cost (In Crore) recommended by the State a State share: b Central share:
f	Financial Pattern of Assistance proposed:
g	Details of foreign currency, if any required for the project, :
h	Ownership of land proposed for the project:
i	Location of the project/plant:
j	Distance from nearest Veterinary Hospital:
k	Duration c) Commencement (Year): d) Exp. Date of Completion:
l	Whether proposal is in accordance with the Mission guidelines?
m	Whether UCs of funds released earlier submitted?
n	Whether audited UCs of funds given in previous years furnished?
o	Expected Output / per Unit / per beneficiaries
p	Expected Outcomes: Likely production /Productivity increase subsequent to the implementation of the project.
q	Locking period:
r	Any other relevant information related to the proposal:
s	Name and signature of the Head of the implementing agency:
t	Name and signature of the Head of the Animal Husbandry Department:

SUB MISSION: PIG DEVELOPMENT IN NER

Component II: Import of Germplasm

1	Name of the Component	Import of Germplasm
2	Objectives	To assist States for import pig Germplasm/frozen semen/embryo to upgrade and enhance pig production in the country.
3	Pattern of financial assistance	Central assistance as one time grant, as provided under Annexure-E
4	Beneficiaries	State Government.
5	Implementing agencies	Department of Animal Husbandry of the States, Semi Government Organisation

SUB MISSION: PIG DEVELOPMENT IN NER**Proforma for submitting proposal under the component of
“Import of Germplasm”**

a	Name of the Implementing agency / Organization / Department & details of Nodal Officer:
	i) Address:
	ii) Telephone No. and Fax No.:
	iii) Email ID of the HOD:
b	Project ID
c	Name of the Project and component under which project proposal is to be considered:
d	Whether requisite approval/s of competent authority has/have been obtained:
e	Project Cost (In Crore) recommended by the State a State share: b Central share:
f	Financial Pattern of Assistance proposed:
g	Details of foreign currency, if any required for the project, :
h	Technical experts available:
i	Location of the project/plant and infrastructure:
j	Training facilities:
k	Duration e) Commencement (Year): f) Exp. Date of Completion:
l	Whether proposal is in accordance with the Mission guidelines?
m	Whether UCs of funds released earlier submitted?
n	Whether audited UCs of funds given in previous years furnished?
o	Expected Output / per Unit / per beneficiaries
p	Expected Outcomes: Likely production /Productivity increase subsequent to the implementation of the project.
q	Locking period:
r	Any other relevant information related to the proposal:
s	Name and signature of the Head of the implementing agency:
t	Name and signature of the Head of the Animal Husbandry Department:

SUB MISSION: PIG DEVELOPMENT IN NER**Component III: Support to Breeding Programmes**

1	Name of the Component	Support to Breeding Programmes
2	Objectives	To assist NE States for breeding programmes to be implemented by selected organizations both in Government and Semi-government sector that will provide breeding materials for the multiplication herds either in the Government sector or private entrepreneurs supported under NMPS. Performance of the animals in such breeding programmes will be analysed scientifically for constant improvement in performance and a proper animal identification and performance recording system will be followed.
3	Pattern of financial assistance	Central assistance as one time grant, as provided under Annexure-E
4	Beneficiaries	State Government/Semi-Government Organisations
5	Implementing agencies	Department of Animal Husbandry of the States. States may involve Semi-Government Organisation i.e. SAU, SVU, ICAR, Corporative. However, funds will be released through State Government concerned.

SUB MISSION: PIG DEVELOPMENT IN NER**Proforma for submitting proposal under the component of
“Support to Breeding Programmes”**

a	Name of the Implementing agency / Organization / Department & details of Nodal Officer:
	i) Address:
	ii) Telephone No. and Fax No.:
	iii) Email ID of the HOD:
b	Project ID
c	Name of the Project and component under which project proposal is to be considered:
d	Whether requisite approval/s of competent authority has/have been obtained:
e	Project Cost (In Crore) recommended by the State a. State share: b. Central share:
f	Financial Pattern of Assistance proposed:
g	Details of foreign currency, if any required for the project, :
h	Technical experts available:
i	Location of the project/plant and infrastructure:
j	Training facilities:
k	Duration a) Commencement (Year): b) Exp. Date of Completion:
l	Whether proposal is in accordance with the Mission guidelines?
m	Whether UCs of funds released earlier submitted?
n	Whether audited UCs of funds given in previous years furnished?
o	Expected Output / per Unit / per beneficiaries
p	Expected Outcomes: Likely production /Productivity increase subsequent to the implementation of the project.
q	Locking period:
r	Any other relevant information related to the proposal:
s	Name and signature of the Head of the implementing agency:
t	Name and signature of the Head of the Animal Husbandry Department:

SUB MISSION: PIG DEVELOPMENT IN NER**Component IV: Propagation of Reproductive Technologies**

1	Name of the Component	Propagation of Reproductive Technologies
2	Objectives	To support NE States for training of functionaries in artificial insemination technology and State Government and other multiplication farms in setting up artificial insemination centres. This component will also support import of embryos and setting up embryo transfer facilities in organizations implementing a scientific breeding programme to supply breeding stock to the multiplication farms.
3	Pattern of financial assistance	Central assistance as one time grant, as provided under Annexure-E
4	Beneficiaries	State Government
5	Implementing agencies	Department of Animal Husbandry of the States. States may involve Semi-Government Organisation i.e. SAU, SVU, ICAR, NGO, Corporative. However, funds will be released through State Government concerned.

SUB MISSION: PIG DEVELOPMENT IN NER**Proforma for submitting proposal under the component of
“Propagation of Reproductive Technologies”**

a	Name of the Implementing agency / Organization / Department & details of Nodal Officer:
	i) Address:
	ii) Telephone No. and Fax No.:
	iii) Email ID of the HOD:
b	Project ID
c	Name of the Project and component under which project proposal is to be considered:
d	Whether requisite approval/s of competent authority has/have been obtained:
e	Project Cost (In Crore) recommended by the State c. State share: d. Central share:
f	Financial Pattern of Assistance proposed:
g	Details of foreign currency, if any required for the project, :
h	Technical experts, training facilities available:
i	Location of the project/plant and infrastructure:
j	In case of Semi Government, Cooperatives etc. MoU with the State Government:
k	Duration c) Commencement (Year): d) Exp. Date of Completion:
l	Whether proposal is in accordance with the Mission guidelines?
m	Whether UCs of funds released earlier submitted?
n	Whether audited UCs of funds given in previous years furnished?
o	Expected Output / per Unit / per beneficiaries
p	Expected Outcomes: Likely production /Productivity increase subsequent to the implementation of the project.
q	Locking period:
r	Any other relevant information related to the proposal:
s	Name and signature of the Head of the implementing agency:
t	Name and signature of the Head of the Animal Husbandry Department:

SUB MISSION: PIG DEVELOPMENT IN NER

Component V: Health Cover

1	Name of the Component	Health Cover
2	Objectives	To support NE States for prevention & control of important diseases of pigs like Classical Swine Fever (CSF) and Foot and Mouth Diseases (FMD). Control of parasites of the neonates (Ascaris) will also be covered under the programme.
3	Pattern of financial assistance	Central assistance as one time grant, as provided under Annexure-E
4	Beneficiaries	State Government
5	Implementing agencies	Department of Animal Husbandry of the States. States may involve Semi-Government Organisation i.e. SAU, SVU, ICAR, NGO, Corporative. However, funds will be released through State Government concerned.

SUB MISSION: PIG DEVELOPMENT IN NER**Proforma for submitting proposal under the component of
“Health Cover”**

a	Name of the Implementing agency / Organization / Department & details of Nodal Officer:
	i) Address:
	ii) Telephone No. and Fax No.:
	iii) Email ID of the HOD:
b	Project ID
c	Name of the Project and component under which project proposal is to be considered:
d	Whether requisite approval/s of competent authority has/have been obtained:
e	Project Cost (In Crore) recommended by the State a. State share: b. Central share:
f	Financial Pattern of Assistance proposed:
g	Details of foreign currency, if any required for the project, :
h	Technical experts, training facilities available:
i	Location of the project/plant and infrastructure:
j	In case of Semi Government, Cooperatives etc. MoU with the State Government:
k	Duration a. Commencement (Year): b. Exp. Date of Completion:
l	Whether proposal is in accordance with the Mission guidelines?
m	Whether UCs of funds released earlier submitted?
n	Whether audited UCs of funds given in previous years furnished?
o	Expected Output / per Unit / per beneficiaries
p	Expected Outcomes: Likely production /Productivity increase subsequent to the implementation of the project.
q	Locking period:
r	Any other relevant information related to the proposal:
s	Name and signature of the Head of the implementing agency:
t	Name and signature of the Head of the Animal Husbandry Department:

Sub-mission: Fodder and Feed Development**Component I: Fodder production from Non-forest wasteland /rangeland/ / non-arable land**

1	Name of the Component	Fodder production from Non-forest wasteland / rangeland / grassland / non-arable land
2	Objectives	<p>(i) Rehabilitation of degraded Non-forest wasteland / rangeland / grassland / non-arable land by introducing suitable grass, legumes and fodder trees</p> <p>(ii) Increasing production of palatable grasses / legumes / tree leaves</p> <p>(iii) Production of bio-mass to minimize the gap between availability and requirement of fodder</p> <p>(iv) Creating surplus reserve of forage for use during lean periods / crisis situations</p>
3	Salient Features	<p>The component will enable improvement of degraded Non-forest wasteland / rangeland / grassland/ non-arable land, and enhance the vegetation cover of problematic soils like saline, acidic and heavy soil. Under this programme the specific fodder trees, perennial grasses and legumes will be identified for particular type of soil, so that a vegetation cover may be provided which will not only give additional quantity of fodder but will also improve the fertility status of land by introducing suitable legumes.</p> <p>The categorization of different types of land has been done (Annexure-C.I (B)) and indicative cost norms are given at Annexure-E.</p> <p>In case of individual farmers, proposals for minimum one ha. area and in case of Government land / community land / Gaushalas, proposals for minimum 2.50ha and in multiples of 2.50ha may be taken up for perennial fodder crops for at least 3 years on the same site. However, to cover more area at one site, the estimates should be worked out accordingly.</p> <p>The implementing agencies may, if necessary, provide variations in cost of different items, subject to total ceiling for a particular type of land. For coverage of larger area for pasture development, State Govt. may take up additional measures in the detailed plans, including import of grasses and legumes seed.</p> <p>Individual farmers can also take up perennial Fodder crops cultivation in their fields. Such farmers will have to enter into a legally binding agreement or Memorandum of Understanding with the concerned implementing State Department for ensuring continuity of operations, with an undertaking that the land shall be maintained under grassland at least for 3 years; otherwise, the farmers will have to refund the whole</p>

		<p>amount of Govt. assistance.</p> <p>The area to be developed as grassland should be outside the municipality / municipal corporation limits, and if in the district a development authority has been constituted then it should be outside the Development area.</p>
4	Pattern of financial assistance	<p>Central assistance as one time subsidy, as provided under Annexure-E. The whole part of state share can either be met by the State Govt. or State can seek the whole part from the beneficiary or State can share the same with beneficiaries.</p>
5	Implementing agencies	<p>State Department of Animal Husbandry / Agriculture / Forest, Milk Cooperatives / Federations, Gaushalas. However, funds will be released through State Government.</p>

Sub-mission: Fodder and Feed Development

Proforma for submitting proposal under the component of “Fodder production from Non-forest wasteland / rangeland / grassland / non-arable land”

a.	Name of the Implementing agency / Organization / Department:
	a) Address:
	b) Telephone No. and Fax No.:
	c) Email ID of the HOD:
b.	Present status of requirement and availability of green and dry fodder in the State
c.	Present statistics of grasslands available in the:
	i) State :
	ii) With the implementing agency:
d.	Whether clarification about arrangement of State share has been done? If yes, details may be provided.
e.	Location and addresses of plots already developed, if any under the scheme and, proposed to be developed (Full details must be provided – on Survey No., Khasra No., etc., duly certified by a Revenue official not below the rank of a Tehsildar).
f.	Whether area is leased (for at least 3 years in case of farmer for using the land for grass perennial crop production) or owned by Agency seeking assistance for Grassland & Fodder Development
g.	Distance of the site from the Municipal boundary / Development area boundary in case of lands other than individual farmers.
h.	Type of Grasses, Trees, and legumes to be sown (Full details, with botanical names upto variety level, if applicable)
i.	Quantity of seeding / planting material required for development of grassland:
j.	Whether seeding material is available with the organization (give details) or specify the source of availability of the seeding material:
k.	Cost estimate and requirement of funds for development of proposed grasslands
l.	Anticipated quantity of green / dry fodder to be produced from the proposed grasslands after development:
m.	Mode of disposal of fodder produced:
n.	Any other relevant information related to the proposal:
o.	Name and signature of the Head of the implementing agency:
p.	Name and signature of the Head of the Animal Husbandry Department:

Sub-mission: Fodder and Feed Development

Proforma for submitting proposal under the component of “Fodder production from Non-forest wasteland / rangeland / grassland / non-arable land”

(In rupees per ha.)

S. No.	Item	CPR, Gochar land / community land / waste land which need treatment of soil.	CPR, Gocher land / community land / waste land which does not need treatment of soil	Govt. Farm/ Goshala land	Forest land / Grassland in remove area	Individual farmers
Continuing Parameters						
A. Capital Investment						
(a)	Demarcation of boundary, fencing/ (trench / brushwood / barbed wire)	7500	7500	2000	7000	0.00
(b)	Land Development	10000	7500	5000	5000	0.00
(c)	Farm sheds – for equipment, seed, manure, and office	15000	15000	0.00	0.00	0.00
(d)	Purchase of agricultural implements	5000	5000	5000	2500	0.00
(e)	Creation of irrigation facilities: wells, pumps, power line, water tank, pump room, pipelines etc.	37500	30000	25000	7500	0.00
	Sub- Total	75000	65000	37000	22000	0.00
B. Recurring Expenditure						
i.	Wages of supervisory staff	2000	2000	5000	5000	0.00
ii.	Seeds, fertilizer/ manure, insecticides	4000	4000	6000	6000	12000
iii.	Cultivation charges	10000	5000	6000	6000	12000
iv.	Irrigation electricity / fuel charges	3000	3000	5000	5000	0.00
v.	Maintenance of Store/dead stock	3000	3000	3000	3000	0.00
vi.	Miscellaneous and unforeseen expenses	3000	3000	3000	3000	6000
	Sub-Total	25000	20000	28000	28000	30000
	Grand Total	100000	85000	65000	50000	30000

Note:

- 75% central assistant will be provided out of above rates for one hectare.
- Funds for improvement of grasslands by reseeding, import of fodder seeds, transportation, labour wages will be as per rates available at that time of submitting the project proposal.

Sub-mission: Fodder and Feed Development

Component II: Fodder production from Forest land

1.	Name of the Component	Fodder production from Forest land
2.	Objectives	<p>(i) Rehabilitation of degraded Forest land by introducing suitable grass, legumes and fodder trees</p> <p>(ii) Increasing production of palatable grasses / legumes / tree leaves, along with improving the forest floor</p> <p>(iii) Production of bio-mass to minimize the gap between availability and requirement of fodder</p> <p>(iv) Creating surplus reserve of forage for use during lean periods / crisis situations</p>
3.	Salient Features	<p>The component will enable rehabilitation and improvement of degraded forest land, and enhance the vegetation cover of degraded forest areas.</p> <p>Under this program, effective protection will be provided to the degraded forest area, and natural regeneration will be assisted through planting of fodder trees, perennial grasses and legumes suitable to a forest area, so that vegetation cover density may be improved, which will not only give additional quantity of fodder but will also improve the overall health of the forest.</p> <p>This component will be implemented by the Forest Department of the concerned State / UT, preferably with the assistance of the Joint Forest Management Committees. The cost norms will be as per the schedule of rates approved by the competent authority in the Forest Department, subject to a maximum of Rs. 50,000/- per hectare.</p> <p>The categorization of different types of land has been done (Annexure-C.I (B)) and indicative cost norms are given at Annexure-E.</p> <p>The implementing agencies may, if necessary, provide variations in cost of different items, subject to total ceiling for a particular type of land. For coverage of larger area for pasture development, State Govt. may take up additional measures in the detailed plans, including import of grasses and legumes seed.</p> <p>The area to be developed as grassland should be outside the municipality / municipal corporation limits, and if in the district a development authority has been constituted then it should be outside the Development area.</p>
4.	Pattern of financial assistance	Central assistance as one time subsidy, as provided under Annexure-E. The whole part of state share can either be met by the State Govt. or State can seek the whole part from the beneficiary or State can share the same with beneficiaries
5.	Implementing agencies	Forest Department of the State / UT

Sub-mission: Fodder and Feed Development**Proforma for submitting proposal under the component of “Fodder production from Forest land”**

a.	Name of the HOD:
	a) Address:
	b) Telephone No. and Fax No.:
	c) Email ID of the HOD:
b.	Location and addresses of forest areas already developed, if any under the scheme and, proposed to be developed (Full details must be provided – on Forest Division, Range, Beat, Block, Compartment No., etc., duly certified by a Forest official not below the rank of a Forest Range Officer).
c.	Whether clarification about arrangement of State share has been done? If yes, details may be provided.
d.	Name of the Joint Forest Management Committee, along with other relevant details [if applicable]
e.	Type of Grasses, Trees, and legumes to be sown (Full details, with botanical names upto variety level, if applicable)
f.	Quantity of seeding / planting material required:
g.	Whether seeding material is available with the Department (give details) or specify the source of availability of the seeding material:
h.	Cost estimate and requirement of funds (The HOD to certify that the cost norms are based on schedule of rates duly approved by the competent authority. Administrative and Technical Sanction to be attached)
i.	Anticipated quantity of green / dry fodder to be produced from the proposed grasslands after development:
j.	Mode of disposal of fodder produced (Internal utilization by the JFM committee, and surplus quantities to be disposed / sold):
k.	Any other relevant information related to the proposal:
l.	Name and signature of the Head of the Department:

Sub-mission: Fodder and Feed Development**Component III: Fodder Seed Production / Procurement & Distribution**

1.	Name of the Component	Fodder Seed Production / Procurement and Distribution
2.	Objectives	Promoting cultivation of superior variety of fodder crops for fodder seeds (breeder, foundation and certified seed), preferably through contract farming, with a buy back arrangement, and distribution of seeds among the farmers.
3.	Salient Features	<p>This component aims at creation of assured market for quality fodder seeds.</p> <p>The State Govts. will assess the requirement of fodder seeds of the state & procure foundation seeds of desired varieties the Regional Fodder Stations (RFS) of GOI and thereafter if seeds are not available with RFS then same can be procured from Universities, NSC, SFCI and Research Institutes of ICAR. States will further multiply these seeds through farmers, Department of Animal Husbandry/ Agriculture, SHGs, Government Corporations, Milk Cooperatives/ Federation / Central and State Agriculture or Veterinary Colleges / Universities and may enter into a buy back arrangement of fodder seeds produced by these agencies for preparation of minikits for further distribution among the farmers for fodder production, thereby passing the Central subsidy to the farmers. Only certified seeds will be distributed to the farmers alternatively the States may make an agreement with seed supplying agencies (excluding Private Entrepreneurs) for supply of fodder seeds inclusive of transportation cost upto delivery point of minikits.</p>
4.	Pattern of financial assistance	Central assistance as one time subsidy, as provided under Annexure-E. The whole part of state share can either be met by the State Govt. or State can seek the whole part from the beneficiary or State can share the same with beneficiaries. States will have to purchase the seed from Regional Fodder Stations on first hand, in case seeds are not available with the Regional Fodder Stations, then before purchasing seeds from outside agency they will obtain an NOC from the concerned Regional Fodder Station.
5.	Beneficiaries	Farmers (including Members of Milk Cooperatives/ Federations).
6.	Implementing agencies	Department of Animal Husbandry/ Agriculture of the States. States may involve NGOs, SHGs, Corporations, Milk Cooperatives/ Federation / Central and State Agriculture or Veterinary Colleges / Universities for supply of seeds.

Sub-mission: Fodder and Feed Development**Proforma for submitting proposal for Fodder Seed Production / Procurement & Distribution.**

a.	Name of implementing agency/Organization/Department:						
	i. Location:						
	ii. Address:						
	iii. Telephone No. and Fax No.:						
	iv. E-mail ID of the HOD:						
b.	Present status of requirement and availability of green and dry fodder in the State :						
c.	Whether clarification about arrangement of State share has been done? If yes, details may be provided.						
d.	Requirements of fodder seeds of cultivated crops, grasses and legumes in the State						
e.	Availability of fodder seeds of cultivated crops, grasses and legumes in the State						
f.	Following details may be provided (Procurement of seed or seed production is to be taken up by the State at their level for minikit preparation):						
Type of seed crop/variety to be procured and quality of seed	Source of procurement of Seeds	Quantity to be procured (in qtls.)	Rate of procurement of seed (Rs per qtls.)	Cost of seeds to be procured (Rs. in lakh)	75% cost of seed to be procured (Central share) (Rs.in lakh)	25% cost of seed arranged by the State Government (Rs. in lakh)	
g.	Whether agreement has been made with seed supplying agency, if yes, the copy of agreement to be enclosed:						
h.	Time of delivery of fodder seed.						
i.	Whether state has made the arrangement for distribution and these seeds among the farmers, if yes the details may be provided District wise:						
j.	Whether state Govt. has made the arrangement for distribution of fodder minikits to the farmers free of cost.						
k.	Any other relevant information related to the proposal:						

Sub-mission: Fodder and Feed Development**Component IV(i) : Distribution of hand driven chaff cutters**

1.	Name of the Component	Distribution of hand driven chaff cutters
2.	Objectives	Reducing wastage of fodder by chopping and promoting better utilization of fodder.
3.	Salient Features	Members of Milk Federation, KVKs and farmers having upto 5 livestock will be assisted under the scheme for purchases of the hand driven chaff cutters provided they have not availed earlier this type of benefit from Central Govt. or State Govt./any other organization formed by the Govt. Farmer should not have availed the benefit during the last five years from any agency.
4.	Pattern of financial assistance	<p>75% or Rs 3750/- Central assistance, whichever is minimum towards the cost of machinery (Hand Driven Chaff Cutter) for the farmers holding 1-5 livestock. In addition, 75% or Rs 1,500/- whichever is minimum towards the cost of transportation (Hand Driven Chaff Cutter) for the States where production facility of Hand Driven Chaff Cutter is not available and have to import the hand driven chaff cutter from other States. Hand Driven Chaff Cutter may be provided to the farmer having upto 5 Nos. of livestock.</p> <p>Central assistance is provided, subject to approval of the rates of the chaff cutters by the administrative head of the State Department responsible for Animal Husbandry / Dairying; on the recommendation of a duly constituted purchase committee. The machinery must be approved by a Central Government institution for its technical specifications and safety.</p>
5.	Beneficiaries	Farmers and Members of Milk Cooperatives.
6.	Implementing agency	Milk Cooperatives/ Federations, Department of Animal Husbandry, KVKs, etc.

Sub-mission: Fodder and Feed Development**Proforma for submitting proposals for distribution of Hand Driven Chaff cutters**

a.	Name of the Organization / Department / implementing agency
b.	Location
	a) Address
	b) Telephone No and Fax No.
	c) E-mail address of the HOD
c.	Name and address of the supplier of chaff cutters
d.	Whether clarification about arrangement of State share has been done? If yes, details may be provided.
e.	Whether quotation collected for supply of chaff cutters at farmers door step. Give details
f.	Type of chaff cutter to be purchased.
g.	No. of chaff cutters to be purchased.
h.	Cost of each chaff cutter.
i.	Total cost of the chaff cutter to be purchased.
j.	Central share (Rs. in lakh)
k.	Beneficiaries share (Rs in lakh).
l.	Whether 25% beneficiaries shares have been taken as an advance or state Govt. will arrange.
m.	Name and signature of Organization / Director, Animal Husbandry of the State with complete address

Sub-mission: Fodder and Feed Development**Component IV(ii) : Distribution of power driven chaff cutters**

1.	Name of the Component	Assistance for Introduction of Power Driven Chaff Cutter
2.	Objectives	(i) Reducing wastage of fodder by chopping, and promoting better utilization of fodder.
3.	Salient Features	Members of Milk Federation, ATMA/ KVKs and farmers will be assisted under the scheme for purchases of the power driven chaff cutters provided they have not availed earlier this type of benefit from Central Govt. Or State Govt./any other organization formed by the Govt. Farmer should not have availed the benefit during the last five years from any agency.
4.	Pattern of financial assistance	50% of the cost or Rs 6000/- (for power driven chaff cutter with one Horse Power motor for the farmers holding 5-15 livestock), Rs 8000/- (for power driven chaff cutter with two Horse Power motor for the farmers holding 16-25 livestock) and Rs 10000/- (for power driven chaff cutter with three Horse Power motor for the farmers holding 26 or more livestock) Central assistance, whichever is minimum towards the cost of machinery (Power Driven Chaff Cutter). Central assistance is provided subject to approval of the rates of the chaff cutters by the administrative head of the State Department responsible for Animal Husbandry / Dairying; on the recommendation of a duly constituted purchase committee. The machinery must be approved by a Central Government institution for its technical specifications and safety.
5.	Beneficiaries	Farmers and Members of Milk Cooperatives
6.	Implementing agency	Milk Federation, Department of Animal Husbandry, KVKs/ATMA. However, funds will be released through State Govts concerned.

Sub-mission: Fodder and Feed Development**Proforma for submitting proposals for distribution of Power Driven Chaff cutters**

a.	Name of the Organization/Department/ implementing agency
b.	Location
	a) Address
	b) Telephone No and fax No.
	c) E-mail address of the HOD
c.	Number of livestock held by the farmer.
d.	Name of the supplier of chaff cutters
e.	Whether clarification about arrangement of State share has been done? If yes, details may be provided.
f.	Whether quotation collected for supply of chaff cutters at farmers door step. Give details
g.	Type of chaff cutter to be purchased.
h.	No. of chaff cutters to be purchased.
i.	Cost of each chaff cutter.
j.	Total cost of the chaff cutter to be purchased.
k.	Central share (Rs. in lakh)
l.	Beneficiaries share (Rs in lakh).
m.	Whether 25% beneficiaries shares has been taken as an advance or state Govt. will arrange.
n.	Name and signature of Organization / Director, Animal Husbandry of the State with complete address

Sub-mission: Fodder and Feed Development

Component IV (iii) : Establishment of high capacity Fodder Block Making units

1.	Name of the Component	Establishment of high capacity Fodder Block Making units
2.	Objectives	<p>(i) Promoting conservation of fodder, and converting crop residues into fodder blocks through the use of modern technologies.</p> <p>(ii) Ensuring availability of fodder during crisis situations for survival of livestock during drought / floods</p> <p>(iii) Maintaining a buffer stock of dignified fodder blocks for long-distance transportation during crisis situations</p>
3.	Salient Features	<p>The densified fodder blocks will be useful during drought/floods, etc., when the main objective is survival/maintenance of livestock population.</p> <p>The fodder blocks can be enriched with different nutrients either at the time of densification; or, preferably, at the time of feeding</p>
4.	Pattern of financial assistance	<p>Central assistance as one time subsidy, as provided under Annexure-E, subject to maximum ceiling of Rs. 75.00 lakhs per unit towards the cost of a fodder block making unit (using dry straw/ Bagasse). The assistance includes machinery and related cost for installation of machinery and power connectivity.</p> <p>The detailed cost break-up, duly verified by the Head of the implementing agency and the administrative head of the State Department responsible for Animal Husbandry / Dairying, must be included in the project proposal.</p> <p>Assistance will be provided to only those units having bankable projects appraised for their viability by District Industries Centre / agency, any Nationalized Bank, or NABARD.</p> <p>The machinery must be approved by a Central Government institution for its technical specifications and safety. The whole part of state share can either be met by the State Govt. or State can seek the whole part from the beneficiary or State can share the same with beneficiaries</p>
5.	Implementing agency	Animal Husbandry Department, Milk Federations, University, Research Institutes, Private Entrepreneurs and NGOs

Sub-mission: Fodder and Feed Development**Proforma for submitting proposal for establishment of high capacity Fodder Block Making units**

a.	Name of the Organization/Department
b.	Location of the project:
	a) Address
	b) Telephone No and Fax No.
	c) E-mail ID of the HOD.
c.	Green and Dry Fodder availability in the area where establishment of Fodder Block Making Unit is to be established.
d.	Whether clarification about arrangement of State share has been done? If yes, details may be provided.
e.	Source of dry fodder for purchase
f.	Total requirement of fodder throughout the year for running the Fodder Block Making Unit viably.
g.	Storage facilities available with the Agency, establishing the Fodder Block Making Unit.
h.	Method of making Fodder Blocks.
i.	Provide detailed Project Report of the machinery and equipment along with cost of each component.
j.	Constituent/ingredients of Fodder Blocks.
k.	Total digestible nutrients (TDN) value of each fodder block.
l.	Scope for disposal of fodder blocks.
m.	Any other information pertaining to the project.
n.	Whether State Govt has recommended the proposal
o.	Whether the project has been appraised by any commercial bank / agency for economical viability of the project? Give details.
p.	Bank /Organization/ individual contributing towards the remaining cost of the project.
q.	Whether land of the project is owned by the implementing agency ? If yes, details thereof. If no, details of the arrangements for use of land.
r.	Name and signature of the Head of the implementing agency with complete address and phone numbers
s.	Name and signature of the head of the State Department responsible for Animal Husbandry / Dairying, with complete address and phone numbers

Sub-mission: Fodder and Feed Development**Component IV(iv) : Distribution of low capacity, tractor mountable Fodder Block Making units, hay baling machines/reapers / forage harvesters**

1.	Name of the Component	Distribution of low capacity, tractor mountable Fodder Block Making units, hay baling machines/reapers / forage harvesters
2.	Objectives	<ul style="list-style-type: none"> i. Promoting conservation of fodder, and converting crop residues into fodder blocks through the use of modern technologies. ii. Ensuring availability of fodder during crisis situations for survival of livestock during drought / floods iii. Providing doorstep facilities to farmers for conversion of their crop residues into densified fodder blocks, thereby increasing shelf life of dry fodder
3.	Salient Features	<p>Efforts will be made to provide the low capacity, tractor mountable Fodder Block Making units, hay baling machines/reapers / forage harvesters, etc., for community use at the level of Village Panchayats / Primary Milk Cooperatives / Joint Forest Management Committees</p> <p>The densified fodder blocks will be useful during the lean periods, when the main objective is survival/maintenance of livestock population.</p> <p>The fodder blocks can be enriched with different nutrients either at the time of densification; or, preferably, at the time of feeding</p>
4.	Pattern of financial assistance	<p>Central assistance as one time subsidy, as provided under Annexure-E, to the extent of Rs. 10.00 lakh per unit or 75% of the cost , whichever is lower will be provided.</p> <p>The machinery must be approved by a Central Government institution for its technical specifications and safety. The whole part of state share can either be met by the State Govt. or State can seek the whole part from the beneficiary or State can share the same with beneficiaries</p>
5.	Implementing agency	Village Panchayats / Primary Milk Cooperatives / Joint Forest Management Committees through the concerned State Department. Funds will be released through State Governments concerned.

Sub-mission: Fodder and Feed Development

Proforma for submitting proposal for Distribution of low capacity, tractor mountable Fodder Block Making units, haybaling machines/reapers / forage harvester

a.	Name of the Organization/Department
b.	Location of the project:
	a) Address
	b) Telephone No and Fax No.
	c) E-mail ID of the HOD.
c.	Whether State Govt has recommended the proposal
d.	Name of the Village Panchatyats / Primary Milk Cooperatives / Joint Forest Management Committees included in the proposal
e.	Whether clarification about arrangement of State share has been done? If yes, details may be provided.
f.	Type of fodder available in the area for relevant machine
g.	Source of availability of fodder (cultivated area or other source like gochar land, etc.)
h.	No. of beneficiaries under each Village Panchatyat / Primary Milk Cooperative / Joint Forest Management Committee
i.	Whether institutional arrangements are in place to ensure conflict free use of the resource by all the beneficiaries (Details to be included in the proposal)
j.	Whether an MOU has been signed by the implementing Department with the concerned Village Panchatyat / Primary Milk Cooperative / Joint Forest Management Committee
k.	Whether arrangements have been made to meet the operating costs, and sustainability (details to be given in the proposal)

Sub-mission: Fodder and Feed Development

Component IV(v) : Establishment of Silage making units

1.	Name of the Component	Establishment of silage making Units
2.	Objectives	Establishing silage-making units to preserve surplus fodder for feeding during lean periods.
3.	Salient Features	During the period of surplus supply of green fodder, farmers are to be encouraged to take up silage making to make the quality fodder available during lean (shortage) period of fodder.
4.	Pattern of financial assistance	<p>Grant-in aid by the Central Government will be provided as per Annexure-E for Establishment of new silage making Unit, including the cost of chaff cutter and the silage pit/tower, subject to the following ceiling:</p> <ul style="list-style-type: none"> • For a unit of 50 MT capacity 75% of the cost, or Rs 75,000/- whichever is minimum towards civil work & in additional grant will be provided towards cost of the three HP motor chaff cutter as per the norms given under the component of Distribution of Power Driven Chaff Cutter. • For a unit of 25 MT capacity 75% of the cost, or Rs 55,000/- whichever is minimum towards civil work & in additional grant will be provided towards cost of the two HP motor chaff cutter as per the norms given under the component of Distribution of Power Driven Chaff Cutter. • For a unit of 10 MT capacity 75% of the cost, or Rs 40,000/- whichever is minimum towards civil work & in additional grant will be provided towards cost of the one HP motor chaff cutter as per the norms given under the component of Distribution of Power Driven Chaff Cutter <p>The civil work should be approved by a Central/ State Government institution for its cost, technical specifications, etc.</p>
5.	Beneficiaries	Farmers (including Members of Milk Federation)
6.	Implementing agency	Milk Cooperatives, state Department of Animal Husbandry, ATMA/ KVKs. However, funds will be released through State Govts concerned.

Sub-mission: Fodder and Feed Development**Proforma for submitting proposal for establishment of Silage Making unit**

a.	Name of the Organization/Department/ implementing agency:
b.	Location
	a) Address
	b) Telephone No and Fax No..
	c) E-mail address of the HOD.
c.	Present availability of surplus green fodder in the State during lush periods
d.	Present availability of surplus green fodder with the implementing agency/ in the district during lush periods
e.	Whether clarification about arrangement of State share has been done? If yes, details may be provided.
f.	Type of silo to be used:
g.	capacity of each silo
h.	No of units proposed.
i.	Total cost of units.
j.	List of the farmers selected with complete details
k.	Whether estimates for each silo pit & chaff cutters cost has been given.
l.	Any other information pertaining to the project.
m.	Whether the purchase of power driven chaff cutters has been done as per ISI mark.
n.	Name and signature of Organization / Director, Animal Husbandry of the State with complete address

Sub-mission: Fodder and Feed Development**Component IV(vi) : Establishment of Bypass protein making units**

1.	Name of the Component	Establishment of Bypass protein making units
2.	Objectives	Production of by-pass protein for feeding high yielding dairy animals to make better use of available high quality meals and improve feed efficiency.
3.	Salient Features	Commercial units shall be supported for production of bypass protein for supply to high yielding dairy animals.
4.	Pattern of financial assistance	<p>Central assistance as one time subsidy, as provided under Annexure-E,</p> <p>The detailed cost break-up, duly verified by the Head of the implementing agency and the administrative head of the State Department responsible for Animal Husbandry / Dairying, must be included in the project proposal.</p> <p>Assistance will be provided to only those units having bankable projects appraised for their viability by District Industries Centre / agency, any Nationalized Bank, or NABARD.</p> <p>The machinery must be approved by a Central Government institution for its technical specifications and safety. The whole part of state share can either be met by the State Govt. or State can seek the whole part from the beneficiary or State can share the same with beneficiaries</p>
5.	Implementing agency	Animal Husbandry Department, Milk Federations, University, Research Institutes, Private Entrepreneurs and NGOs

Sub-mission: Fodder and Feed Development**Proforma for submitting proposals for establishment of By-Pass Protein Production unit**

a.	Name of the Organization/Department want to establish the project:
b.	Location of the Project:
	a) Address
	b) Telephone No and Fax No..
	c) E-mail address of the HOD
c.	Requirement and Availability of concentrate in the state:
d.	Type of concentrate available round the year in the area:
e.	Whether clarification about arrangement of State share has been done? If yes, details may be provided.
f.	Total requirement of concentrate the year for running the viably.
g.	Storage facilities available with the Agency, establishing the By-Pass Protein Production unit.
h.	Method of making By-Pass Protein:
i.	Whether International/ National standards has been taken care while , making project proposal.
j.	Type of concentrate to be used for production of by- pass protein:
k.	Scope for disposal of.
l.	Any other information pertaining to the project.
m.	Whether the project has been appraised by any commercial bank for economical viability of the project? Give details:
n.	Whether State/Organization/ individual contributing towards the state / individual's share.
o.	Whether land of the project is owned by Entrepreneurs or state Govt.
p.	Name and signature of Organization / Director, Animal Husbandry of the State with complete address

Sub-mission: Fodder and Feed Development**Component IV(vii) : Establishment of Area Specific Mineral Mixture / Feed Pelleting/ Feed Manufacturing Unit**

1.	Name of the Component	Establishment of Area Specific Mineral Mixture / Feed Pelleting/ Feed Manufacturing Unit
2.	Objectives	To enhance availability of feed and area specific mineral mixture for feeding livestock for improving their productivity and health.
3.	Salient Features	By encouraging production of feed and area specific mineral mixture, the existing gap between availability of feed and mineral mixture could be narrowed down. However, this assistance will be provided to only those units having bankable projects appraised for their viability by NABARD or any other Nationalized Bank.
4.	Pattern of financial assistance	<p>Central assistance as one time subsidy, as provided under Annexure-E.</p> <p>The detailed cost break-up, duly verified by the Head of the implementing agency and the administrative head of the State Department responsible for Animal Husbandry / Dairying, must be included in the project proposal.</p> <p>Assistance will be provided to only those units having bankable projects appraised for their viability by District Industrial Centre, any Nationalized Bank, or NABARD.</p> <p>The machinery must be approved by a Central Government institution for its technical specifications and safety. The whole part of state share can either be met by the State Govt. or State can seek the whole part from the beneficiary or State can share the same with beneficiaries</p>
5.	Implementing agency	Govt. bodies / Universities / Corporations / Boards, including Milk Federations

Sub-mission: Fodder and Feed Development**Proforma for submitting proposal for establishment of Area Specific Mineral Mixture/ Feed Pelleting / Feed manufacturing Unit**

a.	Name of the Organization/Department
b.	Location
	a) Address
	b) Telephone No and Fax No.
	c) E-mail address of HOD
c.	Present requirement and availability of feed/ mineral mixture in the state.
d.	Availability of raw material in the area where establishment of plant is to be done.
e.	Whether clarification about arrangement of State share has been done? If yes, details may be provided.
f.	Total area available for establishment of plant.
g.	Owner of the land where plant is to be established.
h.	Whether permission from local body is required for such plants.
i.	Whether storage facilities available with the Agency.
j.	Method of making area specific Mineral Mixture/ Feed Pelleting/Feed manufacturing Unit.
k.	Constituent/ingredients of Feed, Feed Pelleting unit or Mineral Mixture to be produced.
l.	Scope for disposal of feed, feed pellets, mineral mixture.
m.	Any other information pertaining to the project.
n.	Whether the project has been appraised by any commercial bank for economical viability of the project? Give details.
o.	Whether Organization/ individual is contributing towards the state share (details to be provided)
p.	Name and signature of Organization / Director, Animal Husbandry of the State with complete address

Sub-mission: Fodder and Feed Development**Component IV(viii) : Establishment / modernisation of Feed testing laboratories**

1.	Name of the Component	Establishment / modernisation of Feed testing laboratories
2.	Objectives	Quality testing of manufactured feed and feed ingredients to promote production and supply of quality feed.
3.	Salient Features	To ensure the supply of quality feed to the farmers, Department wants to strengthen the laboratories for testing the case Feed. Assisted laboratories will take up testing of Feed samples received from various Govt. and private agencies as per prescribed rates. Funds will be provided for purchase of machinery and equipment related to Feed testing.
4.	Pattern of financial assistance	Central assistance as one time subsidy, as provided under Annexure-E . The detailed cost break-up, duly verified by the Administrative head of the concerned institution, and the administrative head of the State Department responsible for Animal Husbandry / Dairying, must be included in the project proposal. The whole part of state share can either be met by the State Govt. or State can seek the whole part from the beneficiary or State can share the same with beneficiaries
5.	Beneficiaries	Veterinary colleges, Agriculture Universities, Milk Federations, Animal Husbandry Department
6.	Implementing agency	Veterinary colleges, Agriculture Universities, Milk Federations, Animal Husbandry Department. However, funds will be released through State Govts concerned.

Sub-mission: Fodder and Feed Development**Proforma for submitting proposals for Establishment / modernisation of Feed testing laboratories**

a.	Name of the Organization/Department/ Implementing agency
b.	Location
	a) Address
	b) Telephone No and Fax No.
	c) E-mail address of the HOD
c.	Present Status of the laboratory
d.	No of Feed samples tested earlier.
e.	Whether clarification about arrangement of State share has been done? If yes, details may be provided.
f.	No of Feed samples testing that can be increased with the Central aid
g.	Whether such facility is available in the state, if yes, please give details.
h.	Constituent/ingredients of feeds to be tested.
i.	Whether laboratory will undertake the testing of feed samples received from private parties/ Govt. agency.
j.	What will be the rate for testing each constituent (Protein, fat etc.) of feed?
k.	Any other information pertaining to the project.
l.	Whether the project has been appraised by any Committee constituted by the ICAR, SAU, VCI etc. Give details.
m.	Whether matching state share will be provided by VCI/ SAU from their resources or by the state Govts.
n.	Name and signature of Organization / Director, Animal Husbandry of the State with complete address

Sub-mission: Fodder and Feed Development**Component VIII: Training & Human Resource Development**

Sl.No.	Name of the Component	Training & Human Resource Development
1.	Objectives	Operating specific Training and Capacity Building Interventions related to Feed and Fodder Development.
2.	Salient Features	To provide Refreshers training programme to trainers (of Animal Husbandry, Sheep Husbandry, Forest Deptt., Agriculture and Veterinary University, Agriculture Department of State, officers from NGOs, Milk Federations, Milk Cooperatives, Dairy Development Department, Extension Deptt., Panchayati Raj, Rural Deptt.etc), farmers, researchers, academicians and officials on production, conservation and efficient utilization of Feed and Fodder. A special training course on Azolla Production would also to be supported.
3.	Pattern of financial assistance	Central assistance would be provided from the funds spared for training in the NLM, as per the approved guidelines.
4.	Implementing agencies	Department of Animal Husbandry Dairying & Fisheries, Agriculture Department, KVKs, ICAR Institutions and Research & Development Organizations, Agriculture and Veterinary Universities.

Sub-mission: Skill Development, Technology Transfer and Extension**Component I: IEC support for livestock extension**

Sl.No.	Name of the Component	IEC support for livestock extension,
1.	Objective	To increase awareness among all stakeholders involved in animal husbandry sector regarding scientific methods of rearing, susceptibility to disease, vaccination, breed improvement, aspects related to animal nutrition, schemes implemented by various agencies etc .and IEC support for Livestock Extension at various levels.
2.	Salient Features	<p>The component will provide extension education. Production of livestock extension literature. The IEC program for the state would be finalized by factoring in the specific characteristics of each district and block. In knowledge-driven development, there is need for providing extension education keeping in view the diverse needs of the livestock owners not only on production procedures, but also the knowledge about the whole range of livestock-business, production systems, research institutions, programmes and schemes of the development departments, quality certification and reporting procedures, grading, packaging, storage, transportation and other requirements of both domestic and export markets, including interfaces at different levels with unlimited partners. The development of Information Communication Technology (ICT) and Telecommunication Network have paved the way for creation of information network, knowledge pool and services which can be intensively used for the purpose.</p> <p>The agencies involved in Livestock Extension at field level have got sufficient material to prepare literature on livestock extension. They are however constrained to lack of resources for content development which needs to be provided for. Similarly, these institutions would be assisted in preparation and development of video and multi-media packages on livestock extension. In addition, support should be provided to development and documentation of success stories in livestock sector. Material so produced would be widely distributed through all the agencies involved in animal husbandry sector.</p> <p>While the above information is at national level, similar information is available at state, district and block levels. Through the introduction of the new scheme, “National Animal Disease Reporting System” (NADRS), DADF is trying to establish a computerized system of animal disease reporting linking each block, district and state headquarters to the central disease reporting and monitoring unit in New Delhi. This information is vital to the farmers who are in many cases not aware of the outbreak of</p>

		<p>various diseases in their vicinity, its symptoms, preventive measures to be taken, treatment, vaccination etc. The dissemination of this information also would be one of the major objectives of Livestock mela, Regional livestock fair, etc., which are discussed in the succeeding paragraphs.</p> <p>The IEC program for the state would be prepared by the state Livestock Extension Facilitator (LEF) Similarly, the district IEC plan would be finalized by the district LEF. Adopting a similar procedure, block IEC plan would be finalized by the block LEF.</p>
3.	Pattern of financial assistance	Central assistance as provided under Annexure-E
4.	Implementing agencies	Department of Animal Husbandry Dairying & Fisheries, Agriculture Department, KVKs, ICAR Institutions and Research & Development. However, funds will be released through State Govts concerned

Sub-mission: Skill Development, Technology Transfer and Extension**Proforma for submitting proposal under the component of IEC support for livestock extension**

a.	Name of the Implementing agency / Organization / Department:
	a) Address:
	b) Telephone No. and Fax No.:
	c) Email ID of the HOD:
b.	Present status of requirement and availability of Information support,
c.	Present statistics of Information support:
	i) State :
	ii) With the implementing agency:
d.	Location and addresses of Extension Centres already developed, if any under the scheme and, proposed to be developed (Full details must be provided).
e.	Any other relevant information related to the proposal:
f.	Name and signature of the Head of the Animal Husbandry Department:

Sub-mission: Skill Development, Technology Transfer and Extension**Component II: Training & capacity building**

Sl.No.	Name of the Component	Training & capacity building,
1.	Objectives	Operating specific Training and Capacity Building Interventions related to Livestock Sector.
2.	Salient Features	<p>Extension personnel/ Livestock Extension Facilitators (LEF) will be trained in all aspect related to animal rearing through induction and Refresher trainings programmes and capacity building of Field Level Extension Mechanism. Extension personnel already working in various agencies related to animal husbandry extension would also require training in all aspects related to animal rearing like animal health, diseases, vaccination, marketability, nutrition, fodder development, programmes implemented by central / state/ local bodies, convergence between animal husbandry department, ICAR, Department of Agriculture, etc Ordinary farmers also would be trained on scientific rearing practices, marketability of their products, post-harvest practices etc.</p> <p>The existing manpower employed at the field level in agriculture and allied departments including Gopal Mitras, Prani Bandhus, Village extension workers, NGOs, progressive farmers, etc., would require enhanced training and capacity building support. The field level extension mechanism would be further augmented through (i) greater hand holding support to Livestock Farmers Groups (LFGs) in the initial stages, (ii) improving their access to micro-financing, (iii) supporting goshala activities, (iv) organizing exposure visits of dairy farmers to the dairy developed areas, (v) promoting farmer to farmer extension, (vi) organizing livestock farm schools and (vii) providing AHD extension material/literature.</p>
3.	Pattern of financial assistance	Central assistance as provided under Annexure-E
4.	Implementing agencies	Department of Animal Husbandry Dairying & Fisheries, Agriculture Department, KVKs, ICAR Institutions and Research & Development. However, funds will be released through State Govts concerned

Annexure-D-III**Sub-mission: Skill Development, Technology Transfer and Extension****Component III: Livestock Farmers Groups**

Sl.No.	Name of the Component	Livestock Farmers Groups
1.	Objectives	Empowering Livestock Farmers Groups (LFGs) with technology required for improving their income from the livestock farming activities.
2.	Salient Features	<p>To organize large number of Livestock Farmers Groups (LFGs) for empowering them with technology required for improving their income from the livestock farming activities. This requires enhanced interface with ongoing development programmes and the implementing departments. Promoting LFGs federations at Taluka and District level is also envisaged.</p> <p>It is experienced that the group approach ensures efficiency and equity in delivery of extension services. Hence, farmers' organizations and their federations would be promoted and federated for sustaining the developmental efforts. The whole process will be oriented to develop the capacity of farmers to plan and attract support from all related organizations based on their needs and resources. In order to promote Farmer Led Extension, progressive farmers identified from each commodity group / federation will be trained in major commodity / enterprise. These trained farmers would be used as resource persons in extension activities. Programmes such as promotion of Farmers Organizations (FOs) and their federation and Capacity Building of Farmers in Agriculture for Farmer-Led Extension (CAFÉ) .</p>
3.	Pattern of financial assistance	Central assistance as provided under Annexure-E
4.	Implementing agencies	State Government, Department of Animal Husbandry Dairying & Fisheries. Department will coordinate with the State Government, ICAR Institutions and Research & Development Organizations. However, funds will be released through State Govts concerned

Sub-mission: Skill Development, Technology Transfer and Extension**Component IV: Livestock Mela**

Sl.No.	Name of the Component	Livestock Mela
1.	Objectives	Updating technical skills of the farmers
2.	Salient Features	<p>In this programme emphasis will be given for updating technical skills of the farmers by way of Organizing Livestock Mela / Show at block & district levels. There is also a provision in the scheme to organize technical conferences, display of panels and posters on various aspects of AH activity and invite various organizations to display their new achievements giving an opportunity to the farmers and development workers to exchange views on modern technology.</p> <p>At least one Livestock Mela / Show in each Block, District & State will be conducted every year. The duration of the mela is one days in the case of Block, two days in the case of District & three days in the case of State. It will be implemented by the State Government and Organizations of Central Government. The maximum unit cost of each mela at Block . District and State level will be Rs. 1 lakh . 2 lakh and Rs. 3 lakh respectively.</p> <p>The outstanding achievers in the field of milk production, egg production, purity of breed etc. would be awarded in the livestock meals.</p>
3.	Pattern of financial assistance	Central assistance as provided under Annexure-E
4.	Implementing agency	Department of Animal Husbandry Dairying & Fisheries, Agriculture Department, KVKs, ICAR Institutions and Research & Development. However, funds will be released through State Government concerned

Sub-mission: Skill Development, Technology Transfer and Extension**Component V: Regional livestock fair**

I.No.	Name of the Component	Regional livestock fair
1.	Objectives	Conservation of indigenous breed and other livestock and provide suitable incentive to farmers / breeders. Recognition of outstanding achievers.
2.	Salient Features	The Regional Livestock Fair will help in conservation of indigenous breed and other livestock and provide suitable incentive to farmers / breeders. The Regional Livestock Fairs may be organized by the State Governments for a period of five days. However, the judges for the Regional Livestock Fairs may be appointed by Central Government in consultation with the host State Government. A unit cost of Rs. 10 lakhs for the Regional Livestock Fair. The outstanding achievers in the field of milk production, egg production, purity of breed etc. would be awarded in the livestock regional livestock fairs
3.	Pattern of financial assistance	Central assistance as provided under Annexure-E
4.	Implementing agency	Department of Animal Husbandry Dairying & Fisheries, Agriculture Department, KVKs, ICAR Institutions and Research & Development. However, funds will be released through State Govts concerned

Sub-mission: Skill Development, Technology Transfer and Extension**Component VI: Farmers field schools**

Sl.No.	Name of the Component	Farmers field schools
1.	Objectives	<p>To operationalize front line demonstrations in animal husbandry activities,</p> <p>To provide training to target farmers by having interactive sessions</p> <p>To upgrade knowledge of the progressive farmers through regular training programmes envisaged under the component “Technical Training & Capacity Building”</p> <p>Exposure visit of the progressive farmers under the relevant component of this scheme</p>
2.	Salient Features	<p>Farmers field schools would be operationalized in each block. These would be set up in the field of outstanding or achiever farmers. Teachers in the farm schools could be progressive farmers, extension functionaries or experts belonging to Government or Non-Government sector. One of the main activities of farm schools would be to operationalize front line demonstrations in animal husbandry activities like scientific methods of rearing, susceptibility to disease, vaccination, breed improvement, aspects related to animal nutrition, schemes implemented by various agencies etc. Farm school would provide training to target farmers by having interactive sessions regularly. Knowledge of the progressive farmers would be continuously upgraded through regular training programmes envisaged under the component “Technical Training & Capacity Building”. Exposure visit of the progressive farmers also would be arranged under the relevant component of this scheme. At an approximate unit cost of Rs. 30,000/- for the establishment of a farm school, about 30,000 schools are expected to be operationalized.</p>
3.	Pattern of financial assistance	Central assistance as provided under Annexure-E
6.	Implementing agency	Department of Animal Husbandry Dairying & Fisheries, Agriculture Department, KVKs, ICAR Institutions and Research & Development. However, funds will be released through State Govts concerned

Sub-mission: Skill Development, Technology Transfer and Extension**Component VII: Exposure visit of Livestock Extension Facilitator**

Sl.No.	Name of the Component	Exposure visit of Livestock Extension Facilitator
1.	Objectives	To modify the contours of extension mechanism.
2.	Salient Features	The scheme envisages setting up a robust feedback mechanism from the farmers, animal health experts, government machinery, dairy cooperatives, NGOs etc. regarding the expectation and requirements from the extension machinery. The programmes envisaged under the exposure visits of LEFs to advanced states etc. would have a strong feedback mechanism which would be analyzed and efforts would be made to crystallize the important suggestions and modify the contours of the scheme in succeeding years after obtaining approval from the state level / national level monitoring committee.
3.	Pattern of financial assistance	Central assistance as provided under Annexure-E
4	Implementing agency	Department of Animal Husbandry Dairying & Fisheries, Agriculture Department, KVKs, ICAR Institutions and Research & Development. However, funds will be released through State Government concerned.

Sub-mission: Skill Development, Technology Transfer and Extension**Component VIII: Exposure visit of farmers**

Sl.No.	Name of the Component	Exposure visit of farmers
1.	Objectives	To modify the contours of extension mechanism.
2.	Salient Features	Exposure visit of farmers to progressive states where there is already established extension mechanism.
3.	Pattern of financial assistance	Central assistance as provided under Annexure-XII
4.	Implementing agency	Department of Animal Husbandry Dairying & Fisheries, Agriculture Department, KVKs, ICAR Institutions and Research & Development. However, funds will be released through State Govts concerned.

Sub-mission: Skill Development, Technology Transfer and Extension
Component IX: Staff component for livestock extension

Sl.No.	Name of the Component	Staff component for livestock extension
1.	Objectives	To facilitate augmentation of HRD to implement skill development, technology transfer and extension.
2.	Salient Features	<p>The objectives of the scheme are to achieved by providing livestock extension facilitators purely on contract basis for effective implementation both at central and state levels, for augmenting HRD back up. A senior officer namely Joint Director / Additional Director of the State Animal Husbandry Department would be entrusted with the responsibilities of coordinating the livestock extension activities of various agencies in the states like animal husbandry department, veterinary universities, ATMAAs, KVKs, etc.</p> <p>The Livestock extension Facilitator posted with him will assist in his duties. The Facilitator will prepare the IEC plan for the State and also coordinate all the activities related to Livestock Extension like (i) project formulation which should be bankable and implementable, (ii) training to animal rearers, (iii) organizing livestock camps, (iv) vaccinations, (v) preparation of IEC material and (vi) programmes related to animal nutrition etc. He would be the pivotal person coordinating veterinary services, nutrition related requirements, training programmes, data dissemination etc. He would continuously interact with all the agencies involved in livestock extension for successful implementation of the extension initiatives.</p> <p>All the above posts will be filled up purely on contract / consultancy basis with people possessing required qualification and experience The states would be divided into two categories with regard to appointment of livestock extension Facilitators at the district level. The bigger states having 500 blocks or more and those states having less than 500 blocks. The bigger states would be provided two LEFs per state whereas the smaller one would be provided 1 Facilitator for each state. All the Districts would be provided 1 Facilitator each (except in North Eastern States where the LEF would be posted in the block and state level only), whereas eight LEFs would be posted in DADF.</p>
3.	Pattern of financial assistance	Central assistance as provided under Annexure-XII
4.	Implementing agency	DADF, State Government, Department of Animal Husbandry Draying & Fisheries, PRI and other reputed organisations and Institutes However, funds will be released through State Governments concerned..

Components that can be financed under the National Livestock Mission, brief guidelines, and pattern of assistance are given below:

Sub-Mission on Livestock Development		
S.N.	Components	Pattern of Assistance
1	Entrepreneurship Development & Employment Generation [Central Sector (CS)] (Unit costs under different components given below)	<p>100% (Back-ended subsidy part only)</p> <p>Subsidy 25%, credit 65% for APL; and subsidy 33.33%, credit 56.67 for BPL / SC / ST in normal areas</p> <p>Subsidy 35%, credit 55% for APL; and subsidy 50%, credit 40 for BPL / SC / ST in NER / Hill areas / LWE affected areas</p> <p>Subsidy 45%, credit 45% for APL; and subsidy 60%, credit 30 for BPL / SC / ST in difficult areas</p> <p>Beneficiary Share 10% across all categories</p>
2	Infrastructure Development [Government of India (GOI) farms under CS , other farms under Centrally Sponsored Scheme (CSS)]	<p>GOI farms - 100%</p> <p>State farms - 75%</p>
3	Productivity Enhancement [CSS]	
a	Rural Backyard Poultry Development	75%
b	Interventions in the breeding tract of high fecundity breeds	100%
c	Research studies and linkages with professional bodies	100%
d	Propagation of Artificial Insemination	100%
e	Biotechnology centres for fecundity breeds	100%
f	Training and orientation of functionaries	100%

g	Ram / Buck / Boar shows	100%
h	Community led breed improvement programmes	100%
i	Cluster based mass de-worming / health cover programmes	100%
j	Innovative projects	100%
4	<p>Risk Management [CSS]</p> <p>[Premium rates for one year policy in Normal Areas - 3.0% , in NER / Hill areas / LWE affected areas - 3.5%, and in difficult areas - 4.0 %</p> <p>Premium rates for three year policy in Normal Areas - 7.5% , in NER / Hill areas / LWE affected areas - 9.0%, and in difficult areas - 10.5 %]</p>	<p>Central share 25%, State share 25% and Beneficiary share 50% for APL, and Central share 40%, State share 30%, and Beneficiary share 30% for BPL / SC / ST in Normal Areas</p> <p>Central share 35%, State share 25% and Beneficiary share 40% for APL, and Central share 50%, State share 30%, and Beneficiary share 20% for BPL / SC / ST in NER / Hill areas / LWE affected areas</p> <p>Central share 45%, State share 25% and Beneficiary share 30% for APL, and Central share 60%, State share 30%, and Beneficiary share 10% for BPL / SC / ST in Difficult Areas</p>
5	Conservation of Breeds [CSS]	100%
6	Development of Minor Livestock Species [CSS]	100%
7	Utilisation of Fallen Animals [CSS]	75%
8	Rural Slaughterhouses [CSS]	75%

Indicative subsidy ceilings under the component of 'Entrepreneurship Development and Employment Generation'

Sub-component - Poultry Venture Capital Fund (PVCF)		
S.N.	Component	Ceiling of Subsidy
i	Breeding Farms for Birds of alternate species like turkey, ducks, Japanese quails, guinea fowl and geese	At 25% level subsidy- subsidy ceiling Rs. 7.50 lakh Varies depending on the species and unit size.
ii	Central Grower Units (CGU) – upto 16000 layer chicks per batch.	At 25% level subsidy- subsidy ceiling Rs. 10 lakh for a unit of 16000 layer chicks per batch (three batches a year) - Varies with size.
iii	Hybrid Layer (chicken) Units – upto 20000 layers	At 25% level subsidy- subsidy ceiling Rs. 2 lakh for 2000 layer unit - Varies with the size.
iv	Hybrid Broiler (chicken) Units – upto 20000 birds. Can be weekly, fortnightly, monthly, all-in all-out batches. Bird strength at any point of time should not exceed 20000 birds	At 25% level subsidy- subsidy ceiling Rs. 0.56 lakh for a batch of 1000 broilers - Varies with unit size
v	Rearing of Poultry like low-input technology variety of chicken and other alternative species like turkey, ducks, Japanese quails, guinea fowl and geese..	At 25% level subsidy- subsidy ceiling Rs. 5 lakh Varies with the species and unit size
vi	Feed Mixing units (FMU) - 1.0 ton per hour Disease Investigation Lab (DIL)	At 25% level subsidy- subsidy ceiling Rs. 4 lakh
vii	Transport Vehicles – open cage	At 25% level subsidy- subsidy ceiling Rs. 2 lakh
viii	Transport Vehicles – Refrigerated	At 25% level subsidy- subsidy ceiling Rs. 3.75 lakh
ix	Retail outlets – Dressing units	At 25% level subsidy- subsidy ceiling Rs. 2.50 lakh
x	Retail outlets – marketing units	At 25% level subsidy- subsidy ceiling Rs. 3.75 lakh
xi	Mobile marketing units	At 25% level subsidy- subsidy ceiling Rs. 2.5 lakh
xii	Cold storage for poultry products	At 25% level subsidy- subsidy ceiling Rs. 5 lakh
xiii	Egg / Broiler Carts	At 25% level subsidy- subsidy ceiling Rs. 3750/-
xiv	Large Processing Units 2000-4000 birds per hour	At 25% level subsidy- subsidy ceiling Rs. 125 lakh
xv	Emu Processing units	At 25% level subsidy- subsidy ceiling Rs. 250 lakh
xvi	Feather Processing Units/ litter management	Varies with unit size
xvii	Technology upgradation/ innovations including waste disposal/ incinerators, mini-hatchers, egg vending machines etc.	Varies with the component. The subsidy ceiling is Rs. 125 lakh. For new/ innovative projects EC may decide the subsidy/ value cap depending upon the scope and importance of the project.

Sub-component - Integrated Development of Small Ruminants and Rabbits (IDSRR)		
i	Commercial Units of 10 ewe / does+ 1 ram / buck	At 25% level subsidy- subsidy ceiling Rs. 12,500/-
ii	Breeding farms with 100 ewe / does + 5 ram / bucks	At 25% level subsidy- subsidy ceiling Rs. 2,50,000/-
Iii	Commercial rabbit - Angora units	At 25% level subsidy- subsidy ceiling Rs. 75,000/-
Iv	Rabbit -Angora breeding Farms	Varies with unit size
Sub-component - Pig Development		
I	Commercial rearing units (3 sows + 1 Boar)	At 25% level subsidy- subsidy ceiling Rs. 25,000/-
Ii	Pig Breeding Farms (20 sows + 4 Boars)	At 25% level subsidy- subsidy ceiling Rs. 2,00,000/-
Iii	Retail Pork Outlets with facility for chilling	At 25% level subsidy- subsidy ceiling Rs. 3,00,000/-
Sub-component - Salvaging of Male Buffalo Calves		
I	Mini Units: Rearing of male Buffalo calves upto 25 calves.	At 25% level subsidy - subsidy ceiling Rs. 6,250/- per calf. It would be implemented by the State Governments and subsidy would be channelized through NABARD. The beneficiary will have to avail bank loan to a tune of minimum 50% of project cost minus subsidy and prescribed beneficiary share.
II	Commercial Units: Rearing of male Buffalo calves, more than 25 calves upto 200 calves at one location.	At 25% level subsidy - subsidy ceiling Rs. 1,50,000/- per 25 calves (at the rate of Rs.6,000/- per calf). It would be implemented by the State Governments and subsidy would be channelized through NABARD. The beneficiary will have to avail bank loan to a tune of minimum 50% of project cost minus subsidy and prescribed beneficiary share.
III	Industrial Rearing Units: more than 200 calves upto 2000 Buffalo calves at one location.	At 25% level subsidy - subsidy ceiling Rs. 6,25,000/- per 200 calves (at the rate of Rs.3,125/- per calf). It would be implemented by the APEDA and subsidy would be channelized through NABARD. The beneficiary will have to avail bank loan to a tune of minimum 50% of project cost minus subsidy and prescribed beneficiary share.

Note:

- (a) The ceiling on subsidy in general is at the rate of 25%. Pro-rata variable subsidy depending on category of beneficiary and location of the project will be applicable. The unit cost assumed for calculation of ceiling of subsidy is indicative only and SLSCMC can revise or modify as per the prevailing market price in the area.
- (b) Rearing of male buffalo calves for a minimum period of 24 months.
- (c) All units under 'Entrepreneurship Development and Employment Generation', include provisions for feed and fodder, silage making, biosecurity and healthcare, insurance and other project activities etc.

Sub-Mission on Pig Development in North-Eastern Region		
S.No.	Components	Pattern of Assistance
1	Strengthening of farms [CSS]	90% Central Assistance; 10% State Share Maximum ceiling per unit – Rs 50.00 lakh
2	Import of germplasm [CSS]	90% Central Assistance; 10% State Share
3	Support to breeding programmes [CSS]	90% Central Assistance; 10% State Share
4	Propagation of reproductive technologies [CSS]	90% Central Assistance; 10% State Share
5	Health cover [CSS]	90% Central Assistance; 10% State Share

Sub-Mission on Fodder and Feed Development		
S.No.	Components	Pattern of Assistance
1	Forage production from Non-forest wasteland /rangeland/ grassland /non-arable land (ha)	75% Central Assistance; 25% State Share Maximum per hectare ceiling (total cost) – Rs One lakh for common land requiring treatment, Rs 85,000 for common land not requiring treatment, Rs 65,000 for govt farms / Gaushalas, Rs 50,000 for other grasslands in remote areas, and Rs 30,000 for individual farmers,
2	Forage production from Forest Land (ha)	75% Central Assistance, 25% State Share subject to a maximum assistance of Rs 50,000 per hectare
3	Cultivation of coarse grains and dual purpose crops (ha)	To be operated under the National Food Security Mission
4	Fodder seed procurement and distribution (MT)	75% Central Assistance; The remaining would be State's contribution, of which a part may be charged to the beneficiaries, as may be decided by the State

5	Conservation of fodder through post harvest technologies	
(i)	Distribution of hand driven chaff cutters (No.)	75% Central Assistance; The remaining would be State's contribution, of which a part may be charged to the beneficiaries, as may be decided by the State
(ii)	Distribution of power driven chaff cutters (No.)	50%, Rest beneficiary share, of which the State may bear a part.
(iii)	Establishment of high capacity Fodder Block Making units (No.)	50% of cost excluding cost of land (Private entrepreneurs), 75% of cost excluding cost of land (Cooperatives, Government institutions), subject to a ceiling of Rs 75.00 lakh as central assistance, whichever is less. Cost of land will not be supported by Government of India. In case of private entrepreneurs, the amount to be given as back-ended subsidy for a project duly appraised by a nationalized bank. In other cases, the remaining part may be contributed by the State Government
(iv)	Distribution of low capacity, tractor mountable Fodder Block Making units/ Hay Baling Machine/ Reaper/Forage Harvester (No.)	50% of cost excluding cost of land (Private entrepreneurs), 75% of cost excluding cost of land (Cooperatives, Government institutions), subject to a ceiling of Rs 10.00 lakh as central assistance, whichever is less. Cost of land will not be supported by Government of India. In case of private entrepreneurs, the amount to be given as back-ended subsidy for a project duly appraised by a nationalized bank. In other cases, the remaining part may be contributed by the State Government
(v)	Establishment of Silage making units (No.)	75% central assistance, 25% State Share including the cost of chaff cutter and the silage pit/tower, subject to the following ceiling: <ul style="list-style-type: none"> • For a unit of more than 25 MT capacity - Rs.1,00,000 • For a unit of 10 MT to 25 MT capacity - Rs.70,000 • For a unit of upto 10 MT capacity - Rs.50,000 Farmers can adopt any other types of silos, like drums, etc., for making silage, or smaller units can be taken up. Cost estimates should be given accordingly. The assistance includes machinery and related accessories, civil works, and power connectivity.

S.No.	Components	Pattern of Assistance
(vi)	Establishment of Bypass protein/ fat making units (No.)	25% of cost excluding cost of land (Private entrepreneurs), 75% of cost excluding cost of land (Cooperatives, Government institutions), subject to a ceiling of Rs 200.00 lakh as central assistance, whichever is less. Cost of land will not be supported by Government of India. In case of private entrepreneurs, the amount to be given as back-ended subsidy for a project duly appraised by a nationalized bank. In other cases, the remaining part may be contributed by the State Government
(vii)	Establishment of area specific mineral mixture / feed processing units (No.)	-same as above-
(viii)	Establishment / modernisation of Feed testing laboratories (No.)	75% central assistance, 25% State Share only to Govt agencies, universities, Cooperatives, subject to a ceiling of Rs 200.00 lakh
6	Regional fodder stations (No.)	100% central assistance

Sub-Mission on Skill Development, Technology Transfer and Extension		
S.No.	Components	Pattern of Assistance
1	IEC support for livestock extension	75% central assistance, 25% State Share (As per actuals)
2	Training and capacity building	100% central assistance (As per actuals)
3	Livestock Farmers group	75% central assistance, 25% State Share (As per actuals)
4	Livestock Mela	75% central assistance, 25% State Share Subject to a ceiling Rs 1 lakh, Rs 2 lakh, and Rs 3 lakh for 1 day, 2 days, and 3 days mela at Block, District, and State levels, respectively.

5	Regional livestock fair	100% central assistance Ceiling of Rs 10.00 lakh per fair
6	Farmer's Field School	75% central assistance, 25% State Share Approximate unit cost of Rs 30,000/- per farmer's school
7	Exposure visit of Livestock Extension Facilitator	100% central assistance As per actuals
8	Exposure visit of farmers	75% central assistance, 25% State Share As per actuals
9	Staff component for livestock extension	100% central assistance (As per actuals)

Annexure-F**List of Low-Input Technology birds eligible under National Livestock Mission implemented by the Department of Animal, Husbandry, Dairying & Fisheries, Government of India**

S.#	Name of the organization	Type of stock
PUBLIC SECTOR ORGANIZATIONS		
1.	Central Poultry Development Organization and Training Institute (SR), Bangalore.	a) Chabro b) Kalinga brown c) Kaveri
2.	Central Poultry Development Organization(ER), Bhubaneswar.	Kalinga brown
3.	Central Poultry Development Organization(NR), Chandigarh	Chabro
4.	Central Poultry Development Organization(WR), Mumbai.	a) Kalinga brown (Kadakhnath stocks are also available)
5.	Project Directorate on Poultry, ICAR, Hyderabad	a) Gramapriya b) Vanaraja
6.	Central Avian Research Institute, Izatnagar	a) CARI GOLD b) Nirbheek c) Hitcari d) Cari-Debendra e) Upcari
7.	Karnataka Veterinary, Animal and Fisheries Sciences University, Bidar, Karnataka	a) Giriraja b) Girirani c) Swarnadhara
8.	Poultry Research Station, Nandanam, Chennai Tamil Nadu	Nandanam 99
9.	Kerala Veterinary University, Mannuthy	a) Gramalakshmi b) Gramashree c) Krishipriya
10.	Sri Venkateshwara Veterinary University, Rajendernagar, Hyderabad	Rajasri
PRIVATE SECTOR ORGANIZATIONS		
1.	Dr.YashvantAgritechPvt. Ltd, Jalgaon, Maharashtra	Satpuda-desi
2.	Indbro Research and Breeding Farm Pvt. Ltd., Hyderabad	Rainbow rooster
3.	Kegg Farms, New Delhi	Kuroiler
4.	Shipra Hatcheries, Patna, Bihar	Shipra

*This list may be updated by this Department as and when required and updated list will also be put up on the website of the Department <http://dahd.nic.in>

No. 53-51/2009-LDT (LH) Vol.III
Government of India
Ministry of Agriculture and Farmers Welfare
Department of Animal Husbandry, Dairying & Fisheries

Krishi Bhawan, New Delhi
Dated, the 1st May, 2017

To

The Pay and Accounts Officer,
Department of Animal Husbandry Dairying and Fisheries,
Ministry of Agriculture and Farmers Welfare, New Delhi

Subject: Administrative approval for implementation of Centrally Sponsored Scheme 'Livestock Health and Disease Control (LH&DC)' under Department of Animal Husbandry, Dairying & Fisheries, Ministry of Agriculture & Farmers Welfare, Government of India, for the year 2017-18.

Sir,

I am directed to convey Administrative Approval of Competent Authority for implementation of Livestock Health and Disease Control (LH&DC) scheme, categorized as State Plan scheme with following nine components with **BE of Rs 298.77 Crore (Rs Two hundred and ninety eight crore and seventy seven lakh only)** for the year 2017-18.

Sl. No.	Name of Scheme	BE (Rs in crores)	Funding pattern
1	Livestock Health and Disease Control (categorized under umbrella scheme- white revolution : "Rashtriya Pashudhan Vikas Yojana".	298.77	
i.	Assistance to States for Control of Animal Diseases (ASCAD)		60% for States
			90 % for 3 Himalayan and North Eastern States
			100% for UTs.
			For training & control of emergent & exotic diseases, 100% central grants will be provided. However, Payment of compensation to farmers for culling of birds, elimination of infected animals, and destruction of feed/eggs including operational cost will be (50:50 basis). 100% assistance is provided for conducting training and holding the seminars/workshops

ii.	National Project on Rinderpest Surveillance and Monitoring (NPRSM)	GOI -100%
iii.	National Animal Disease Reporting System (NADRS)	GOI -100%
iv.	Foot and Mouth Disease Control Programme (FMD-CP)	60% for States 90 % for 3 Himalayan and North Eastern States 100% for UTs
v.	Peste des Petits Ruminants Control Programme (PPR-CP)	60% for States 90 % for 3 Himalayan and North Eastern States 100% for UTs
vi.	Brucellosis Control Programme (Brucellosis- CP)	60% for States 90 % for 3 Himalayan and North East States 100% for UTs
vii.	Establishment and Strengthening of existing Veterinary Hospitals and Dispensaries (ESVHD).	60% for States 90 % for 3 Himalayan and North East States 100% for UTs
viii.	Professional Efficiency Development (PED)	50% for States 100% for UTs & VCI
ix.	Classical Swine Fever Control Programme (CSF-CP)	90% for NE States

2. Available funds for the component 'Assistance to States for Control of Animal Diseases' will be provided to State/Union Territory Governments for control of economically important and zoonotic diseases of livestock and poultry through immunization, strengthening of existing State Veterinary Biological Production Units & State Disease Diagnostic Laboratories and holding of workshops/seminars & training of Veterinarians and Para-veterinarians. 100% assistance is provided for conducting training and holding the seminars/workshops. Under immunization programme, available funds will be provided for vaccination against canine rabies also. Under parasitic control programme, available funds will be provided to control endo-parasites in cattle and buffaloes (preferably where intensive vaccination programmes are being carried out). States will have to submit the annual action plan for using anthelmintics (preferably broad spectrum anthelmintics) depending upon the prevailing parasite profile (Nematode, Trematode and Cestode) in the state. The State Vaccine Production Units will be strengthened to make them GMP compliant subject to a maximum of Rs. 10.00 crores as central share. The states will have to submit the action plan with detailed project report for assistance under this activity. State Disease Diagnostic Laboratories will also be strengthened to make them GLP compliant. BSL 2 laboratories set up under World Bank Project and ELISA laboratories set up under NPRES Scheme will be strengthened for ISO certification and GLP compliant. ASCAD component would also strengthen the existing surveillance and control measures for Avian Influenza and other exotic diseases. States are at liberty to ask for the funds for vaccination as per the disease scenario of livestock & poultry in the state/region.

3. Funds available under 'National Project on Rinderpest Surveillance & Monitoring (NPRSM)', assistance will be provided to States/UTs, for meeting administration costs, for

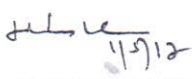
undertaking ongoing activities of strengthening veterinary services, surveillance of various animal diseases including syndromic diseases with more focus on diseases like, Contagious Bovine Pleuro-pneumonia (CBPP) & Bovine spongiform Encephalopathy (BSE) etc. for which freedom status has to be maintained. The provision of funds has also been made for meeting expenditure under funds available in Central Project Monitoring Unit (CPMU) of NPRSM.

4. The component of National Animal Disease Reporting System (NADRS) will be implemented through National Informatics Centre(NIC) of Government of India to undertake the activities like (i) Ongoing activities for running of NADRS like modifications in the Application Software, maintenance of Hardware, internet connectivity, etc. (ii) Training of manpower at the National Level and in the States upto Block Level, (iii) Monitoring on hardware & internet connectivity related complaints for ensuring trouble free transmission of disease data from the nodes to the State Project Monitoring Unit/ Central Project Monitoring Unit. Funds for internet connectivity will be provided by the department directly to BSNL/ MTNL and for manpower to National Informatics Centre Systems Incorporated (NICSI) from available funds. Central Assistance will also be provided to States/ UTs for meeting expenditure on publication of Animal Diseases Reports and its dissemination and other allied activities from available funds.

5. Since financial year 2017-18, Foot & Mouth Disease Control Programme (FMD-CP) will be implemented in all the districts of the States & UT. Available funds under Foot & Mouth Disease Control Programme (FMD-CP) component will be provided for procurement of FMD vaccine to States/UTs including for meeting vaccination cost, animal identification cards, establishment of temporary quarantine/ check posts and other logistical support for undertaking vaccination by the States/UTs as per scheme norms. Available funds will be provided to PD-FMD for sero-monitoring at central level.

6. Peste des Petits Ruminants Control Programme (PPR-CP) which was initially being implemented in States/UTs of Andhra Pradesh, Karnataka, Kerala, Tamil Nadu, Maharashtra, Goa, Andaman & Nicobar Islands, Lakshadweep, Puducherry, Dadra & Nagar Haveli and Daman & Diu in first phase has been extended to all the remaining States/UTs since February, 2014. Available funds will be provided to States/ UTs for procurement of vaccine for carrying out mass vaccination against PPR, strengthening of ELISA labs and PPR vaccine production units, TA / DA, hiring of vehicle, Information, Education & Communication (IEC), purchase of animal identification health cards, equipment & consumables and surveillance. Research institutions will also be assisted for undertaking surveillance and monitoring under PPR-CP.

7. Available funds under component 'Brucellosis Control Programme (Brucellosis-CP) will be provided to States/UTs for mass screening of animals at village/ block/ district level and vaccination of all female calves between 6-8 months in areas where the prevalence of the disease is high. Research institutions will also be assisted for strengthening their laboratories to facilitate the states in procuring diagnostics and for monitoring quality of testing.


HARBANS DAS
Joint Secretary
Govt. of India
Dir Animal Husbandry, Dairying & Fisheries
Ministry of Agriculture & Farmers Welfare
Kilshikumbh, New Delhi

8. Under the component 'Establishment and Strengthening of Existing Veterinary Hospitals and Dispensaries (ESVHD)' available funds will be provided to States/ UTs for establishment of new hospitals and dispensaries and up-gradation of existing ones, for improving efficiency as per approved norms. 'Mobile Veterinary Clinics (MVCs)' will also form part of the component of ESVHD. Each Mobile Veterinary Clinic (MVC) will have the basic diagnostic facility and treatment of animals and provision for sample collection/transportation from the field. The MVCs will be provided with Rs. 5 lakh grant per annum as upper limit. The available funds will be provided to the States/UTs for contractual services for technical persons, hiring the vehicles, procurement of necessary equipment required for treatment and disease diagnosis including sample collection and transportation of these samples to the designated laboratory place maintaining cold chain or preservation as necessary. The vehicle should accommodate the necessary staff, the equipment, reagents/ medicines for treatment and diagnosis, facility for AI and also suitable freeze or related equipment for sample transportation in cold chain.

9. Funds available under component 'Professional Efficiency Development (PED)' will be provided for establishing State/ UT Veterinary Councils and to meet cost of administration. Funds to Veterinary Council of India (VCI) will be provided for meeting the administration costs. Besides, the funds will also be provided for Continuing Veterinary Education (CVE) to VCI & State Veterinary Councils (SVC)/State Veterinary/Agriculture Universities.

10. Under component, 'Classical Swine Fever Control Programme (CSF-CP)', available funds will be provided to the States/UTs for carrying out the vaccination of entire eligible pig population in a phased manner starting in NE states which would be the focus. Depending on the vaccine availability, the scope will be enlarged to cover entire country subsequently. States (NE states) will submit the action plan with detailed requirements for assistance under this activity.

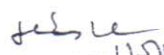
10. It may be ensured that 16.2% of the funds are targeted for SC farmers/beneficiaries under Scheduled Caste Special Plan (SCSP) as per directives of the Planning Commission.

10(A). The scheme was originally approved for the 12th Plan period and is presently under review. This Administrative Approval is being issued subject to the following-

a) Pending appraisal/approval of the scheme for continuation beyond 12th Plan, an interim extension for a period of six months beyond 31.03.2017 i.e. upto 30.09.2017 has been granted subject to the condition that there shall be no change in nature, scope and coverage of the scheme as approved for the 12th Plan.

b) The norms of assistance for various components shall be the same as approved by the Government for the 12th Plan and no change /modification/addition shall be permissible in scheme components/operational/technical guidelines during this interim period.

c) Provisions of General Financial Rules, 2017 shall be applicable during this period.


HARSH V. J.
Under Secretary
Govt. of India
Dir. Animal Husbandry, Dairying & Fisheries
Min. Agriculture & Farmers Welfare
Krisi Bhawan, New Delhi

d) Release of funds shall be as per Cash Management System guidelines issued by Budget Division, Department of Economic Affairs, Ministry of Finance vide OM No. 4(10)-W&M/2016 dated 4.8.2016.

11. This issues with concurrence of IFD vide their Dy. No. P-4345 / AS&FA dated 24.04.2017

(Harbans Lal)

Under Secretary to the Government of India

Copy for information and necessary action to:

D/o Animal Husbandry Dairying & Fisheries
Ministry of Agriculture & Farmers Welfare
Krishi Bhawan, New Delhi

1. Secretary, Deptt. of Agricultural Research and Education, and DG, ICAR
2. Director General, National Informatics Centre, CGO Complex, Lodi Road, New Delhi
3. Principal Secretary/Secretaries of Animal Husbandry, all States/UTs.
4. Commissioner/Secretary, Finance Department of all States/UTs
5. Chairperson, National Dairy Development Board, Anand, Gujarat
6. Chairman, National Bank for Agriculture and Rural Development, Mumbai
7. Director, Indian Veterinary Research Institute, Izatnagar, Bareilly
8. Directors (AH&VS) of all States/U.T.s
9. Secretary, Veterinary Council of India, New Delhi

Internal

10. PPS to Secretary (AHD&F)
11. PSs to AHC / JS (LH)/ JS (C&DD)/ JS (P&F)
12. Principal Accounts Officer, 16 A, Akbar Road Hutments, New Delhi
13. PAO (Secretariat), Room No. 35, Krishi Bhawan, New Delhi
14. Director (Admin.)/Director (NPRSM)JC (LH)/DC(LH)/AC(LH)/AC(AQ)/AC(AH)
15. US (Fin.)/A.O. (Budget)
16. Admn. I/ Admn.II/ Cash Section/ Guard File

(Harbans Lal)

Under Secretary to the Government of India

D/o Animal Husbandry Dairying & Fisheries
Ministry of Agriculture & Farmers Welfare
Krishi Bhawan, New Delhi

No. 5-1/2017-RKVY
Government of India
Ministry of Agriculture
Department of Agriculture & Cooperation
Rashtriya Krishi Vikas Yojana

Krishi Bhawan, New Delhi
Dated the 11th April, 2017

To,

Agriculture Production Commissioner/
Principal Secretary (Agriculture)/
Commissioner & Secretary/Secretary (Agriculture)
of all State Government.

Sub:- Administrative Approval for the Normal RKVY & Sub-Schemes under the Rashtriya Krishi Vikas Yojana (RKVY) for the year 2017-18 - regarding.

Sir/Madam,

I am directed to convey Administrative Approval of Government of India to the implementation of under the Rashtriya Krishi Vikas Yojana (RKVY) Normal RKVY & Sub-Schemes in the States and Union Territories (UTs) during 2017-18 with allocation of 4750 Crore (Rupees Four Thousand Seven Hundred Fifty Crore Only) as per details given below:-

(' in Crore)

Revenue Section Major Head	Plan	Non-Plan	Total
3601 - Grants-in-aid to State Governments	4246.99	--	4246.99
2552- North Eastern Areas	458.00	--	458.00
2401 - Crop Husbandry	45.00	--	45.00
3602- Grants-in-aid to UTs (with Legislature)	0.01	--	0.01

2. The sharing pattern of the allocation / release of funds will be in the ratio of 60:40 between Centre and States (90:10 in respect of North Eastern and Himalayan States). The allocation for UTs will be 100% Grant.
3. 20% of the fund under MH-3601 & MH-2552 i.e. Rs.941.00 cr is earmarked for implementation of Sub-schemes under RKVY 2017-18. The allocation under different Sub-schemes will be communicated separately as and when finalized.
4. The concerned States / UTs will be responsible for allocation and monitoring of resources for SC/ST/Women beneficiaries and maintain database for the same as per extant guidelines for Normal RKVY and Sub-schemes.
5. States need to fulfill the following requirements during programme implementation.


- i. There should be no deviation from the components/guidelines, etc. stipulated in the administrative approval and operational guidelines of RKVY and its Sub-Schemes.
 - ii. State Government / UTs shall ensure that project details of all the project approved under Normal RKVY and Sub-Schemes are entered in the RKVY Database & Management Information System (RDMIS) from time to time.
6. The State Governments/ UTs are requested to furnish utilization certificates in the prescribed proforma (GFR – 19A) for the funds utilized upto 31.03.2017 to this Department immediately.
7. States and other Implementing Agencies may formulate their project proposals for approval of State Level Sanctioning Committee (SLSC), for release of funds after fulfilling stipulated conditions mentioned in RKVY guidelines.

Yours faithfully,


 (Dr. Chandramani Sharma)
 Director (RKVY)
 Tel. No. 011-23386849

Copy to:

1. The Adviser (Agriculture), Niti Aayog, New Delhi.
2. The Adviser (State Plan), Niti Aayog, New Delhi.
3. The Adviser (FR), Niti Aayog, New Delhi.
4. The Pay & Accounts Officer, Ministry of Agriculture, Department of Agriculture & Cooperation, 16-Akbar Road Hutments, New Delhi.
5. The Principal Accounts Officer, Ministry of Agriculture, Department of Agriculture & Cooperation, 16-Akbar Road Hutments, New Delhi.
6. Secretary (Planning)/Secretary (Finance)/Director of Agriculture/Accountant General (A&C) of all State Governments.
7. Secretary, Department of Expenditure, North Block, New Delhi.
8. Joint Secretary (LH)/Joint Secretary (Fisheries)/Joint Secretary (DD)/Joint Secretary (PC), DAHD&F Krishi Bhawan, New Delhi.
9. Sr. PPS to Secretary (A&C)/PPS to AS (RKVY)/PPS to Joint Secretary (RKVY).
10. Finance Division/Budget Section/Budget & Account Section of DAC.
11. Guard File.


 (Dr. Chandramani Sharma)
 Director (RKVY)



सत्यमेव जयते

Rashtriya Krishi Vikas Yojana (RKVY)

Operational Guidelines For XII Five Year Plan

**Department of Agriculture & Cooperation
Ministry of Agriculture
Government of India
2014**

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1. Introduction

- 1.1 To spur growth in the Agriculture and allied sectors, National Development Council (NDC), in its meeting held on 29th May, 2007 observed that a special Additional Central Assistance (ACA) Scheme be introduced to incentivize States to draw up comprehensive agriculture development plans taking into account agro-climatic conditions, natural resources and technology for ensuring more inclusive and integrated development of agriculture and allied sector.
- 1.2 In pursuance to aforesaid observation and in consultation with the Planning Commission, Department of Agriculture & Cooperation (DAC), Ministry of Agriculture, Govt. of India launched Rashtriya Krishi Vikas Yojana (RKVY) from 2007-2008, which has been operational since then.
- 1.3 During XI Plan, Rs. 22,408.76 crore was released to States out of which Rs. 21,586.6 crore was utilized in implementing 5768 projects in certain broad categories namely; crop development, horticulture, agricultural mechanization, natural resource management, marketing & post-harvest management, animal husbandry, dairy development, fisheries, extension etc.
- 1.4 By virtue of these enhanced investments, agriculture and allied sectors could achieve an annual growth rate of 3.64% during the XI plan against a growth rate of 2.46% per annum in the X plan period.
- 1.5 Based on feedback received from States, experiences garnered during implementation in XI Plan and inputs provided by Stakeholders; Operational Guidelines of RKVY have been revised to not only enhance efficiency and efficacy of the programme but also its inclusiveness during XII Plan period.

2. Objectives of RKVY

- 2.1 RKVY aims at achieving and sustaining desired

annual growth during the XII Plan period, by ensuring holistic development of Agriculture and allied sectors.

- 2.2 To recapitulate, the main objectives of the scheme are:

- (i) To incentivize the States so as to increase public investment in Agriculture and allied sectors.
- (ii) To provide flexibility and autonomy to States in the process of planning and executing Agriculture and allied sector schemes.
- (iii) To ensure the preparation of agriculture plans for the districts and the States based on agro-climatic conditions, availability of technology and natural resources.
- (iv) To ensure that the local needs/crops/priorities are better reflected in the agricultural plans of the States.
- (v) To achieve the goal of reducing the yield gaps in important crops, through focused interventions.
- (vi) To maximize returns to the farmers in Agriculture and allied sectors.
- (vii) To bring about quantifiable changes in the production and productivity of various components of Agriculture and allied sectors by addressing them in a holistic manner.

3.0 Eligibility Criteria and Inter State Allocation of Funds:

- 3.1 RKVY will continue to be implemented as a State Plan Scheme. The list of allied sectors as indicated by the Planning Commission will be the basis for determining the sectoral expenditure, i.e., Crop Husbandry (including Horticulture), Animal Husbandry and Fisheries, Dairy Development, Agricultural

Research and Education, Forestry and Wildlife, Plantation and Agricultural Marketing, Food Storage and Warehousing, Soil and Water Conservation, Agricultural Financial Institutions, other Agricultural Programmes and Cooperation. In addition, expenditures which are directly related to the development of agriculture viz., expenditure on shallow tube well, deep tube well, drip irrigation, sprinkler irrigation, dug wells or other similar irrigation activities which are budgeted under Agriculture Department of the State, authenticated figures of expenditure by Panchayati Raj Institutions (PRI) /Administrative Units on agriculture & allied activities will also be considered for calculating base line expenditure. (Also refer to Appendix-B)

3.2 Eligibility Criteria: A State will become eligible to receive RKVY allocation, if and only if:

- a) The base line share of Agriculture and allied sectors in its total State Plan (excluding RKVY funds) expenditure is at least maintained; and
- b) District Agriculture Plans (DAP) and State Agriculture Plans (SAP) have been formulated.

The base line level of expenditure will be the “minimum of the percentage expenditure incurred on agriculture and other identified related sectors during three years preceding to previous year”. For States to become eligible, “average percentage share of expenditure in agriculture and other identified related sectors during last three years” should be at least equal to base line level (Illustration is at Appendix-A).

3.3 Inter-State Allocation: Once a State becomes eligible for accessing funds under RKVY, the quantum of assistance (or fund allocation) and the process of subsequent allocation to the State will be in accordance with the parameters and respective weights,

as explained in Appendix-B.

- 3.4 There may arise a situation when a particular State becomes ineligible to avail of the funds under RKVY in a subsequent year due to its lowered expenditure on Agriculture and allied sectors. If this were to happen, such States shall be required to commit their own resources for completing the sanctioned/ ongoing projects/schemes under the RKVY.
- 3.5 RKVY Funds will be made available to the States in two installments of 50% each. Eligibility & Inter-State allocation criteria will not be applied for providing funds under the sub-schemes of RKVY or RKVY Special schemes.
- 3.6 Release of funds will be made to the State Government only and States may supplement RKVY projects from within their own resources.

4.0 Programme Components (Streams)

- 4.1 RKVY funds would be provided to the States as 100% grant by the Central Government in following streams.

- (a) RKVY (Production Growth) with 35% of annual outlay,
- (b) RKVY (Infrastructure and Assets) with 35% of annual outlay;
- (c) RKVY (Special Schemes) with 20% of annual outlay; and
- (d) RKVY (Flexi Fund) with 10% of annual outlay (States can undertake either Production Growth or Infrastructure & Assets projects with this allocation depending upon State specific needs/priorities).

4.2 RKVY (Production Growth): States can take up any project under this stream to raise production and productivity in agriculture and allied sectors. This will normally include all

food crop activities, including distribution of agricultural inputs, extension, soil health, plant health & Integrated Pest Management (IPM), production & distribution of seeds, animal husbandry, dairying & fisheries, training and skill development of stakeholders, production specific research projects, information dissemination etc. Projects proposed under RKVY (Production Growth) shall normally emanate from the District and State Agriculture Plans. Broad areas of focus for this Stream are at Appendix-C1.

4.3 RKVY (Infrastructure and Assets): Projects under this stream will emanate from State Agriculture Infrastructure Development Programme (SAIDP) (please refer to para 5.7 also). This will normally include projects selected on the basis of normative requirement of infrastructure, actual availability thereof and the gap in agriculture infrastructure in the State viz. setting up of laboratories and testing facilities, storage including cold-storages, mobile vans, agricultural marketing etc. An illustrative list of possible infrastructure and assets which can be funded under this stream is given at Appendix-C2. State Governments will also determine sectoral classification for investment requirements for infrastructure in public, public-private and private sectors and accordingly work out financial support for funding gaps in infrastructure taking into account viability gap which would be based on financial analysis. However, in any case, subsidy will be capped to 25% of total project cost. While a number of infrastructure items are covered under Rural Infrastructure Development Fund (RIDF) and Viability Gap Funding (VGF) of the Ministry of Finance, RKVY funds should supplement those sources and not replace them. In any case, quantum of assistance under RKVY should not exceed assistance under VGF.

4.4 RKVY (Special Schemes): This will comprise of schemes based on national priorities as notified by Govt. of India from time to time. In the event of Government of India not declaring any special subscheme in a year (or not continuing sub-schemes of previous year) or the aggregate amount earmarked for such

special sub-schemes falling short of 20% of the RKVY budgetary allocation for the year, the remaining amount will be allocated additionally to RKVY (Production Growth Stream) funds.

4.5 Under RKVY (Production Growth) & RKVY (Infrastructure & Assets) streams, States are free to choose appropriate components/activities, but it has to be ensured that these are reflected adequately in SAP and DAPs. Scheme(s) administered by the Departments of Agriculture and Cooperation, Animal Husbandry, Dairying and Fisheries, Dept. of Land Resources, Ministry of Water Resources, Ministry of Food Processing Industries etc., already have elaborate guidelines, which ought to be followed by the implementing Agencies for similar activities/project components. However, State must refrain from undertaking activities/components as illustrated in Appendix-D.

4.6 Cost Norm & Pattern of Assistance: Activities/components proposed under RKVY especially under production growth stream are generally covered under various ongoing schemes/programmes of Central Government viz. Dept. of Agriculture & Cooperation, Dept. of Animal Husbandry, Dairying & Fisheries, Dept. of Land Resources, Ministry of Water Resources, Ministry of Food Processing Industries, Ministry of New & Renewable Energy, Ministry of Rural Development etc. Technical requirements / standards and financial norms (cost norms and pattern of assistance) etc. for these activities/components that have been specified in various schemes/programmes will also be applicable for RKVY. In the absence of such criterion in respect of any component in Central Plan Scheme, norms and conditions prescribed by respective State Governments for their schemes may be applied. In cases where no Central / State Govt. norms are available, a certificate of reasonableness of the

proposed project cost along with reasons thereof will invariably be given by State Level Project Screening Committee (SLPSC) in each such case. Even in such cases, financial assistance should not be more than 25% of the project cost (Also refer to para-6.1-6.3).

5.0 District and State Agriculture Plans:

5.1 Districts and State Agriculture Plans will remain as cornerstone of planning and implementation of this scheme.

5.2 District Agriculture Plans (DAPs) are integral to the District Development Plan. Each District will have a DAP after taking into consideration resources that would be available during XII Plan from other ongoing schemes (both State and Central), like Mahatma Gandhi National Rural Employment Guarantee Scheme (MGNREGS), Swarnajayanti Gram Swarajgar Yojana (SGSY) and Backward Regions Grant Fund (BRGF), Integrated Watershed Management Programme (IWMP), Accelerated Irrigation Benefit Programme (AIBP), Bharat Nirman etc. DAP shall not be the usual aggregation of the existing schemes but would aim at moving towards projecting the requirements for development of Agriculture and allied sectors of the district. These plans will present the vision for Agriculture and allied sectors within the overall development perspective of the district. DAP's would also present their financial requirements in addition to sources of financing the agriculture development plans in a comprehensive way. Since achievement of RKVY's objectives is sequel to proper District Planning, these requirements should be adhered to by the State as far as possible. The States will have to specify the institutional mechanisms evolved by them for District Planning and submit a status report at the stage of the Annual Plan exercise. DAP will include animal husbandry and fishery development,

minor irrigation projects, rural development works, agricultural marketing schemes and schemes for water harvesting and conservation, etc. keeping in view the natural resources and technological possibilities in each district.

- 5.3 District level potential linked credit plans (PLP) already prepared by the National Bank for Agriculture and Rural Development (NABARD) and Strategic Research and Extension Plans (SREP) developed under the Agricultural Technology Management Agency (ATMA) etc. may be referred for revision of DAPs. It should also be ensured that the strategies for convergences with other programmes as well as the role assigned to the Panchyati Raj Institutions (PRIs) are appropriately incorporated in DAPs. States may also engage consultants/consulting agencies to revise / update DAPs and SAP.
- 5.4 Each State will also have a comprehensive State Agricultural Plan (SAP) for XII Plan by integrating the District Plans. SAPs will invariably have to indicate resources that can flow from the State to the districts.
- 5.5 Several States/UTs have already prepared comprehensive district and State agriculture plans for XI Plan, which should be revised and updated appropriately for implementing RKVY during XII Plan keeping in view modification proposed for the plan period and emerging needs of the State.
- 5.6 Revision and updation of SAPs could be a two-way process. Firstly, State nodal department (or Agriculture Department) could get DAPs revised in the first instance to ensure that priorities of the State are properly covered in the district plans. States

should, at this stage of scrutiny, ensure that requirements of districts and priorities of the State are appropriately captured and aligned in DAPs. Alternately, State Nodal Agency could communicate to the districts in the first instance, the State's priorities that ought to reflect in the respective district plans and the districts may incorporate these in their updated district plans.

- 5.7 Preparation/revision of the DAPs is an elaborate, exhaustive and iterative process and care need be taken by the State nodal department and district agriculture department in ensuring that these plans cover the entire gamut of agriculture & allied sectors.

- 5.8 State Agriculture Infrastructure Development Programme (SAIDP): Each State will be required to prepare SAIDP in similar manner to that of DAPs and SAPs for identifying shelf of projects for RKVY (Infrastructure & Assets) stream.

SAIDP should ideally be consolidation of requirement of infrastructure identified in DAPs and SAP.

- 5.9 State Planning Department will provide revised/updated SAP and SAIDP to Department of Agriculture (DAC) and Planning Commission as a part of State's annual State Plan exercise.

6.0 State Level Project Screening Committee (SLPSC):

- 6.1 A State Level Project Screening Committee (SLPSC) will be constituted by each State for screening RKVY project proposals, which will be headed by Agriculture Production Commissioner or any other officer nominated by Chief Secretary. Other members of SLPSC would be decided by the State Chief Secretary.

- 6.2 SLPSC will screen all project proposals for ensuring conformity with RKVY guidelines and that they flow from SAP/DAPs besides being consistent with technical requirements / standards and financial norms (cost norms and pattern of assistance) etc. in respect of components that have been specified in relevant Central Government/State Government schemes (As also outlined in para-4.6).

- 6.3 SLPSC will also screen all Detailed Project Reports (DPRs) prepared by various departments for its suitability, its linkage to DAP, SAIDP and SAP and its adherence to the RKVY guidelines.

- 6.4 Before recommending projects to SLSC, SLPSC will further examine and ensure that:

- a) Funds available under other schemes of the State Government and / or Government of India for the proposed projects have been accessed and utilized before they are brought under the RKVY umbrella;
- b) RKVY projects/activities should not create any duplication or overlapping of assistance /area coverage vis-à-vis other schemes/programmes of State/Central Government;
- c) RKVY funds are not being proposed as additional or 'top-up' subsidy to other ongoing schemes/programmes of State/Central Government;
- d) State Agriculture Infrastructure Development Programme (SAIDP) has been prepared;
- e) At least 25% of total value of projects including 'Production growth' and 'Assets & Infrastructure' Streams have emanated from comprehensive

district agricultural plan (CDAP) and have been approved by the District level Panchayati Raj Institutions (PRIs) so that field level gaps are correctly addressed;

- f) DPRs have included provision for monitoring and evaluation;
- g) For Research Projects proposed under RKVY, clearance of Indian Council of Agriculture Research (ICAR) has been obtained;
- h) Convergence with other State/Central Schemes has been attempted; and
- i) Recommended projects ensure adequate allocation to allied sectors including Farmer Producer Organizations (FPO).

A checklist containing items at 6.4(a) to 6.4 (i) shall be prepared and enclosed with SLSC agenda note.

7.0 State Level Sanctioning Committee (SLSC):

- 7.1 A State Level Sanctioning Committee (SLSC) headed by the Chief Secretary of the State is vested with the authority to sanction specific projects recommended by the SLPSC under each stream of RKVY in a meeting attended by representatives of Government of India. The quorum for SLSC meetings would not be complete without the presence of at least one representative from the Government of India. Composition of SLSC is at Appendix-E.
- 7.2 SLSC may co-opt two more members from Agricultural Research Organizations, reputed NGOs working in the field of Agriculture, District Collectors/Deputy Commissioners of important districts, and leading farmers. The State Governments will notify the

constitution of SLSC and consequent changes in its composition/incumbent.

7.3 SLSC will, inter alia, be responsible for

- a) Sanctioning the projects under RKVY;
- b) Monitoring progress of each project sanctioned by it under each stream of RKVY;
- c) Reviewing implementation of the schemes' objectives and ensure that the projects / schemes are implemented in accordance with the guidelines laid down;
- d) Ensuring that no duplication of efforts or resources takes place;
- e) Commissioning/undertaking field studies to monitor the implementation of projects;
- f) Initiating evaluation studies from time to time, as may be required;
- g) Undertaking any other project of importance to the State's Agriculture and allied sectors;
- h) Ensuring that there are no inter-district disparities with respect to the financial patterns / subsidy assistance in the projects; and
- i) Ensuring that all extant procedures and instructions of Govt. of India in addition to RKVY guidelines are followed so that the expenditure incurred on implementation of the projects is barest minimum with due concern for economy in expenditure and also in conformity with the canons of financial propriety, transparency and probity.

7.4 SLSC shall meet as often as required but

shall meet at least once in a quarter.

8.0 Preparation & Sanctioning of Projects:

8.1 Detailed Project Reports (DPRs):

RKVY is a project-based scheme. Thus, Detailed Project Reports (DPRs) shall have to be prepared for each of the RKVY projects incorporating all essential ingredients i.e. feasibility studies, competencies of the implementing agencies, anticipated benefits (outputs/outcomes) that will flow to the farmers/ State, definite time-lines for implementation etc. In case of large projects costing more than Rs. 25 crore, DPRs should be subjected to third party 'techno-financial evaluation' and circulated well in advance to concerned Central Ministries for obtaining comments/observations.

8.2 DPRs for all projects relating to agriculture, animal husbandry, dairying and fisheries etc., should certify that there would be no duplication of funding and/or undertaking similar activities in the same areas under other Plan schemes of Central/State Government. DPRs should clearly indicate the year-wise physical & financial targets proposed under each project.

8.3 It will be permissible for the States to initiate specific projects with definite time-lines, and clear objectives for Agriculture and allied sectors excluding forestry and wild life, and plantations (i.e., Coffee, Tea and Rubber).

8.4 The Nodal Department (refer to para-9.1) will place RKVY project proposals before the State Level Project Screening Committee (SLPSC) which shall, after due consideration, place eligible & scrutinized project proposals before SLSC for approval.

8.5 SLSC's will normally approve projects equal to the amount of State's allocation under RKVY. Under no circumstances, SLSC's may approve projects for more than 150% of the State's allocation under RKVY for funding in a year (after taking into account cost to be funded in the year concerned for multi-year infrastructure projects). In case projects with outlay higher than the allocation for the State is approved by SLSC, priority will be indicated in the Minutes of SLSC meeting inter-alia specifying costs and physical & financial targets that will be taken up for implementation during the year limited to the ceiling of total allocation of funds to the States for the year. In case of projects having implementation period spanning over more than one financial year, financial year-wise phasing of expenditure and the targets/milestones to be achieved will be specifically mentioned in the minutes of SLSC meetings.

8.6 While sanctioning projects under RKVY, SLSC shall also ensure that adequate coverage of small and marginal farmers, Scheduled Castes (SC), Scheduled Tribes (ST), physically challenged, women and other weaker segments of society is ensured so that the benefits of implementation are inclusive and accrue to the intended beneficiaries in accordance with Govt. guidelines and policies. In addition, SLSC shall also ensure that Farmer Producer Organization (FPO) are given desirable support in RKVY projects.

9.0 Planning & Implementation of RKVY

9.1 State Agriculture Department shall be the nodal department for the implementation of the scheme. For administrative convenience and ease of implementation, State governments may identify, or create an exclusive agency for implementing the scheme on

a fast-track. Even where such an Agency is created/designated, the entire responsibility of ensuring proper implementation of RKVY rests with the State Agriculture Department.

- 9.2 In a situation where the States notify a Nodal agency, the costs of running the agency, will have to be met from within the 1% limit of RKVY allocation (excluding special schemes) and subject to conditionality(s) indicated in para 11 of the guidelines.

States may supplement any administrative expenditure in excess of the 1% limit, from their own resources.

- 9.3 The Agriculture department/nodal agency will be responsible for the following:-

- (i) Preparing State Agriculture Plan (SAP) & State Agriculture Infrastructure Development Programme (SAIDP) and ensuring the preparation of the District Agriculture Plans (DAPs).
- (ii) Effectively coordinating preparation and appraisal of projects, implementing, monitoring, and evaluation with various Departments and implementing Agencies.
- (iii) Management of funds received from the Central, and State Governments and disbursement of the funds to the implementing agencies.
- (iv) Furnishing of utilization certificates and quarterly physical & financial progress reports to the Department of Agriculture and Cooperation. Indicative proforma for submission utilization certificate is at Appendix-F.

- (v) Effectively utilizing and regularly updating web enabled IT based RKVY Management Information System (RKVY-MIS).

- 9.4 The State Level Nodal Agency will forward SLSC meeting notice along with sufficient number of copies (not less than 20) of agenda and project details to Department of Agriculture & Cooperation (DAC) so as to reach at least 15 days before the meeting of SLSC to enable Government of India's representatives to come prepared and to participate meaningfully in the SLSC meeting.

- 9.5 Once SLSC sanctions the projects, DAC will release funds to State Government only.

- 9.6 As envisaged in National Policy for Farmers (2007) (para 11-viii), Panchayati Raj Institutions (PRI) should be actively involved in implementation of RKVY especially in selection of beneficiaries, conducting social audit etc. Recommended activity mapping for effective devolution of funds, functions and functionaries to PRIs is at Appendix-G.

10.0 Release of Funds:

- 10.1 50% of the RKVY annual allocation will be released as first installment to the State, upon the receipt of the minutes of SLSC approving implementation of new projects and/or continuation of ongoing projects during current financial year alongwith lists of projects approved and their entry in RKVY Database (RDMIS).
- 10.2 In case, total cost of approved project is less than annual outlay, funds to the tune of 50% of approved project cost will be released.

- 10.3 Release of the second and final

installment would be considered on the fulfillment of the following conditions:

- a) 100% Utilization Certificates (UCs) for the funds released upto previous financial year;
- b) Expenditure of at least 60% of funds released in first installment during current year; and
- c) Submission of performance report in terms of physical and financial achievements as well as outcomes, on a quarterly basis, within the stipulated time frame in specified format.

10.4 If a State fails to submit these documents within reasonable period of time, balance funds may be reallocated to better performing States.

10.5 Nodal Agency shall ensure that Project-wise accounts are maintained by the Implementing Agencies and are subjected to the normal process of Statutory Audit. Likewise, an inventory of the assets created under RKVY Projects should be carefully preserved and assets that are no longer required should be transferred to the Nodal Department, for its use and redeployment where possible.

10.6 Central assistance will be released as per the approved mechanism of the Ministry of Finance.

10.7 Nodal Agency/Department should ensure that the Central Assistance released under the Scheme is utilized in accordance with the approved State and District Plans. Since the amounts of the second and final installment of the allocation will depend upon the progress of utilization of funds, States should ensure that the funds released are utilized promptly, properly and progress

reports are sent to DAC at the earliest. Non-utilization of central assistance will hinder further release of funds.

11.0 Administrative Expenses & Contingencies:

11.1 State is permitted to use upto 1% of its total RKVY funds (excluding funds allocated under RKVY sub-schemes) for incurring administrative expenditure that includes payments to consultants, recurring expenses of various kinds, staff costs, etc. However, no permanent employment can be created, nor can vehicles be purchased.

11.2 DAC may retain a proportion of 1% of the RKVY funds (including RKVY sub schemes) at Central level for monitoring, evaluation or for such administrative contingencies that may arise at various times.

11.3 Nodal Agency is authorized to hire consultants/consulting agencies to prepare the DPRs and up to 5% of the funds in the stream can be utilized for the preparation of DPRs.

12.0 Monitoring & Evaluation:

12.1 RKVY-Management Information System (RKVY-MIS): DAC has put in place a web-based Management Information System (MIS) for RKVY to collect essential information related to each project. States will be responsible for timely submission/updating project data online in the system (preferably on a fortnightly basis), which has been designed to provide current and authenticated data on outputs, outcome and contribution of RKVY projects in the public domain (<http://www.rkvy.nic.in>). As RKVY-MIS report shall be the basis of 'on line monitoring' and judging 'Inter-State performance', States may establish a

dedicated RKVY-MIS cell for this purpose.

- 12.2 To the extent possible, assets created by this scheme should be captured digitally and be mapped on a GIS platform for future integration onto National-GIS system.
- 12.3 Twenty five percent (25%) of the projects sanctioned by the State each year under the three streams e.g. RKVY (production growth), RKVY (Infrastructure & Assets) & RKVY (Sub-schemes) shall have to be compulsorily taken up for third party monitoring and evaluation by the implementing States.
- 12.4 Action plan for monitoring and evaluation will be chosen by SLSC every year in its first meeting based on project cost, importance of the project etc. preferably covering all sectors. The State Government will be free to choose any reputed agencies for conducting the monitoring and evaluation work in their States.

Requisite fees/cost towards monitoring & evaluation will be met by the State Government from the 1% allocation retained by them for administrative expenses.
- 12.5 DAC will evolve suitable mechanism for concurrent evaluation of implementation of RKVY. DAC may engage suitable agency for conducting State specific/Pan India periodic implementation monitoring and/or mid-term/end-term evaluation of the scheme.
- 12.6 The performance of the States will be reflected in the Outcome Budget document of this Ministry.

13.0 Convergence:

- 13.1 RKVY is additional central assistance to the State Plan for Agriculture and allied sectors and thus it is essential to encourage convergence with schemes like Mahatma Gandhi National Rural Employment Guarantee Scheme (MGNREGS), Swarnajayanti Gram Swarojgar Yojana (SGSY) and Backward Regions Grant Fund (BRGF). States shall also ensure convergence with other Central Schemes of Ministry of Agriculture (e.g. Department of Agriculture & Cooperation & Department of Animal Husbandry, Dairying & Fisheries & Department of Agriculture Research & Education) and other relevant Ministries/Departments viz., Ministry of Food Processing Industries, Ministry of New and Renewable Energy, Department of Land Resources, Ministry of Rural Development, Ministry of Water Resources etc. Ministry of Panchayati Raj shall also be appropriately consulted for ensuring that local/Panchayat level requirements are adequately addressed in District Development Plans. Planning Commission and the Ministry of Agriculture will together examine the States' overall Plan proposals for Agriculture and allied sectors as part of the Annual Plan approval exercise.
- 14.0 Department of Agriculture and Cooperation, Ministry of Agriculture, Govt. of India may effect changes in the RKVY operational guidelines, other than those affecting the financing pattern as the scheme evolves, whenever such changes are considered necessary.
- 15.0 These guidelines are applicable to all the States and Union Territories.

ILLUSTRATION**Computing Eligibility for Allocation of Funds under Rashtriya Krishi Vikas Yojana (RKVY)**

1. Each state will become eligible to receive RKVY allocation, **if and only if:**
 - a) The base line share of Agriculture and allied sectors in its total State Plan (excluding RKVY funds) expenditure is at least maintained.
 - b) District Agriculture Plans and State Agriculture Plans have been formulated.
2. The base line level of expenditure will be the “minimum of the percentage expenditure incurred on agriculture and other identified related sectors during three years preceding to previous year”.
3. For States to become eligible, “average percentage share of expenditure in agriculture and other identified related sectors during last three years” should be at least equal to base line level.
4. Let us consider the following example for State ‘A’: (Rs. in Crore)

Year	Expenditure in Agriculture & Allied sector (excluding RKVY funds)	Total Plan expenditure	% of total Plan Expenditure Incurred in Agriculture & Allied Sector
2009-10	492	10750	4.6
2010-11	709	11456	6.1
2011-12	605	13500	4.5
2012-13	1135	20000	5.7

5. Baseline percentage expenditure = Minimum percentage expenditure during preceding three (3) years (excluding RKVY funds) (2009-10, 10-11 & 11-12) = 4.5% (2011-12)
6. Average of last three years' share of expenditure in agriculture & allied sector (2012-13, 2011-12 & 2010-11): $16.3/3 = 5.43\%$
7. Since, average percentage share of last three years' expenditure (5.43%) is more than baseline percentage expenditure (4.5%); State is eligible for grant under the RKVY for 2013-14 provided it has also formulated District Agriculture Plans (DAPs) and State Agriculture Plan (SAP). Inter-State Allocation under RKVY for 2013-14 will be worked out by the Planning Commission using the parameters and weights indicated in Appendix-B of the Guidelines.

Inter State Allocation of the funds under Rashtriya Krishi Vikas Yojana (RKVY)

- 1.0 Annual outlay under RKVY will depend upon the amount provided in State Budgets for Agriculture and allied sectors over and above the base line percentage expenditure incurred by the State Government on these sectors. Inter State allocation of RKVY funds will be based on the following parameters and weights:

SINo	Criteria/Parameters	Weightage
1	Percentage share of net un irrigated area in a state to the net un irrigated area of all eligible States.	15%
2	Last three (3) years average area under oil seeds and pulses	5%
3	State's highest GSDP for agriculture and allied sectors for the past five years.	30%
4	Increase in expenditure in Agriculture and allied sectors in the previous year over the year prior to that year. (For example, previous year for allocating State's share for 2014-15 would be the year 2012-13 and the year prior to that would be 2011-12.	30%
5	Increase in Plan and non-plan expenditure made by the States from the State Budgets on Animal Husbandry, Fisheries, Agricultural Research & Education in the previous years over the year prior to that year.	10%
6	Inverse of Yield gap between state average yield and potential yields as indicated in the frontline demonstration data	10%

- 2.0 Ministry of Agriculture, in consultation with the Planning Commission, could modify above criteria/weights depending upon new parameters becoming relevant in future.

- 3.0 Some of the expenditure which should be excluded for the purpose of parameter concerning expenditure on agriculture and allied sector are:

- (a) Expenditure on output subsidies such as that relating to food subsidy, subsidy for procurement of milk, bonus on procurement of food grains and other crops etc.;
- (b) Expenditure on Civil Supplies and Public distribution system. However, expenditure on creation of storage and warehouse for agriculture purposes will be considered for the purpose of Parameter 4;
- (c) Expenditure on interest subvention, electricity or diesel subsidy etc.;
- (d) Direct income support to farmers, debt relief or other one time relief to farmers;
- (e) Irrigation except as included in para-4 below.

- 4.0 Some expenditure which is directly related to the development of agriculture sector may be allowed in the expenditure on agriculture and allied sector for the purpose of parameter 4;

- a) Expenditure on watershed development including State's share on Integrated Watershed Management Programme (IWMP);
- b) Plan and non-plan expenditure on agriculture and allied sectors;
- c) Plan expenditure on Minor Irrigation & Command Area Development; and
- d) Expenditure incurred on agriculture and allied sectors out of the funds devolved for the decentralized district planning units or to the autonomous regional/sub-regional development councils set by the States such as Bodoland Territorial Council etc.

Areas of Focus under RKVY (Production Growth)

The components / activities which would be eligible for project based assistance under RKVY (Production Growth) are elaborated below. This is an illustrative list and the States may choose other components/activities, but ensure that they are reflected adequately in the SAP and the DAP.

- a) **Integrated development of major food crops such as wheat, paddy, coarse cereals, minor millets, pulses, oilseeds:** Assistance can be provided for making available certified/HYV seeds to farmers; production of breeder seed; purchase of breeder seed from institutions such as ICAR, public sector seed corporations, production of foundation seed; production of certified seed; seed treatment; Farmers Field Schools at demonstration sites; training of farmers etc. Similar support would be provided for development of other crops such as sugarcane, cotton or any other crop/variety that may be of importance to the state.
- b) **Agriculture mechanization:** Assistance can be provided to individual beneficiaries for farm mechanization efforts especially for improved and gender friendly tools, implements and machinery. However, assistance for large equipment e.g. tractor, combine harvester, sugarcane harvester, cotton picker etc. for which individual ownership may not be economically viable, assistance should only be limited for establishing custom hiring centres under RKVY (Infrastructure & Assets) stream.
- c) **Activities related to enhancement of soil health:** Assistance can be provided to the farmers for distributing soil health cards; micro nutrient demonstration; training of farmers for promotion of organic farming including printing of publicity/utility literature; amelioration of soils affected with conditions such as alkalinity and acidity.
- d) **Development of rainfed farming systems in and outside watershed areas:** Assistance for promoting integrated farming system (agriculture, horticulture, livestock, fisheries etc.) generating livelihoods for farmers Below the Poverty Line (BPL).
- e) **Integrated Pest Management schemes:** This would include training of farmers through Farm Field Schools etc. on pest management practices; printing of literature/ other awareness programmes.
- f) **Promoting Extension Services:** This would include new initiatives for skill development and training in the farming community and to revamp the existing State agricultural extension systems.
- g) **Activities relating to enhancement of horticultural production:** Assistance will be available for nursery development and other horticulture activities.
- h) **Animal husbandry and fisheries development activities:** Assistance will be available for improvement in fodder production, genetic up-gradation of cattle and buffaloes, enhancement of milk production, enlarging raw material base for leather industry, improvement in livestock health, poultry development, development of small ruminants and enhanced fish production.
- i) **Study tours of farmers:** Study tours of farmers within the country especially to research institutions, Model farms etc.
- j) **Organic and bio-fertilizers:** Support for decentralized production at the village level and their

marketing, etc. This will include vermicomposting and introduction of superior technologies for better production.

- k) **Sericulture:** Sericulture upto the stage of cocoon production alongwith extension system for cocoon and silk yarn production and marketing.

The above list is not exhaustive. Therefore, schemes that are important for agriculture, horticulture and allied sector development, but cannot be categorized under (a) to (k) can also be proposed under this stream.

However, projects for creation/strengthening of infrastructure & assets should be funded under RKVY (Infrastructure & assets) stream.

Illustrative List of Projects that can be funded under RKVY(Infrastructure & Assets) Stream

SI. No	SECTOR	DESCRIPTION OF INFRASTRUCTURE
1.	Horticulture	<p>Nurseries</p> <p>Tissue Culture Labs</p> <p>Community tanks/Farm ponds/on farm water resources with plastic/RCC lining</p> <p>Green House/ Poly house/Shade net House structures</p> <p>Sanitary and phytosanitary infrastructure</p> <p>INM/IPM infrastructure such as Disease Forecasting Units, Plant Health Clinics, Leaf/Tissue Analysis labs, Bio-control laboratories</p> <p>Vermi compost units</p> <p>Controlled atmosphere storage</p> <p>Cold storage/pre cooling/refrigerated van, cold chain infrastructure</p> <p>Ripening/Curing chamber</p> <p>Primary/minimal processing units</p> <p>Terminal/wholesale/Rural market</p> <p>Functional infrastructure for collection, sorting, grading etc.</p> <p>Infrastructure related to Horticulture produce processing as per Ministry of Food Processing Industries (MoFPI) guidelines.</p>
2.	Natural Resources Management	<p>Soil & Water conservation activities (Terracing, Gully Control Measures, Spill Ways, Check Dams, Spurs, Diversion Drains, Protection Walls etc.)</p> <p>Reclamation of problem Soils (Acid/Alkali/Saline/Ravine/Water logged).</p>
3.	Pest Management & Pesticide quality control	<p>Labs for production of bio-control agents</p> <p>State Pesticide Residue Testing Labs</p> <p>State Pesticide Testing Labs</p> <p>Bio-Pesticide Testing Labs</p> <p>Seed Treatment drums & chemicals</p>
4.	Soil Nutrient Management Fertilizers Bio Fertilizers /Organic Farming	<p>Setting up of new soil testing laboratories.</p> <p>Strengthening of existing soil test laboratories with micro-nutrient testing facilities.</p> <p>Setting up of new Fertilizer Quality Control Laboratories (FQCLs).</p> <p>Strengthening of existing FQCLs.</p> <p>Bio fertilizer Production Units.</p> <p>Fruit/Vegetables waste, compost production units.</p>
5.	Animal Husbandry	<p>Semen collection and Artificial Insemination(AI) Units/Production Center</p> <p>Breeding farms</p> <p>Dispensaries/Hospitals for treatment of Animals</p> <p>Vaccine Production Unit</p> <p>Diagnosis Labs, including Mobile Units</p>

Sl. No	SECTOR	DESCRIPTION OF INFRASTRUCTURE
	Dairy	Animal Ambulance Cold Chain for storing and transportation of frozen Semen Tractor fitted with Fodder Block Machine Carcass rendering Plant to collect the fallen animals for processing/utilization in scientific manner Modernization of animal slaughter houses* and markets for livestock /livestock products Milk Collection Centers and Infrastructure : Purchase of milking machines (single/double bucket) Setting up of milk chilling/bulk milk cooling centres (BMC) alongwith automatic milk collection units (AMC) Setting up/modernization/strengthening of milk processing units Strengthening /expansion of cold storage facility for milk and milk product Purchase of insulated/refrigerated transport vehicles Setting up of milk parlor/milk booth Strengthening of lab facility in milk chilling/milk processing unit Establishment of cattle feed storage godown Establishment/strengthening of cattle feed plant Establishment of cattle shed for milch animals Setting /strengthening of ETP at milk chilling/milk processing unit
	Fisheries	Fish Ponds/Reservoirs Fish seed Hatcheries Marketing infrastructure Mobile Transport/Refrigerated vans Cold Storage & Ice Plants
6.	Marketing and Post-Harvest	Fruits & Vegetable Markets/Distribution Centres Market Infrastructural Facilities, including Agricultural Produce Market Committees (APMC) Construction of Specialized Storage Facilities like Onion Storage Godowns Electronic Trading including Spot and Futures Markets and E-auctioning Farmers Service Centres Food Grain Procurement Centres E-Kisan Bhawans / Internet Kiosks Grading including grading line Quality Control Packing
7.	Seeds	Seed Testing Labs Seed Processing Facilities Seed Storage Godowns including Dehumidified Refrigerated Seed Storage Godowns Seed Certification Agencies and Certification Infrastructure Seed Multiplication Farms

Sl. No	SECTOR	DESCRIPTION OF INFRASTRUCTURE
8.	Agriculture Mechanization	Custom Hiring Centers for Agricultural Equipment Agriculture Machines Testing Centers
9.	Agricultural Extension	Kisan Call Centres ATMA Infrastructure Knowledge / Technology Resource Centres
10.	Agriculture Research	Research Infrastructure Strengthening of Krishi Vigyan Kendras (KVKs)
11.	Minor / Micro Irrigation	Shallow Wells & Dug Wells Tube Wells (except in dark/grey /critical zone identified by Central Ground Water Board) Percolation & Minor Irrigation Tanks Farm Ponds Drip & Sprinkler Irrigation System Field Channels Piped Water Conveyance System

* Extant norms of Ministry of Food Processing Industries, Govt. of India / Dept. of Animal Husbandry, Dairying & Fisheries, Ministry of Agriculture, Govt. of India will apply.

Note:

1. Food processing units, especially those industries which get assistance under various schemes of the MoFPI, should not be eligible for assistance under RKVY.
2. State specific research projects through SAUs/ICARs in any area of agriculture and allied sectors may be undertaken under Production Growth stream only.
3. Infrastructure and Assets stream emphasizes promoting group approach for subsidies. Accordingly, level of subsidies in the case of unspecified projects should be kept to the minimum for higher coverage of beneficiaries/ areas.
4. State should form of stakeholders' groups/Farmer Producer Organizations (FPO) and involve them in planning, execution and future maintenance of the created assets.

Illustrative List of Projects that should not be funded under RKVY

1. Creation/topping up of any kind of revolving fund / corpus fund ;
2. Expenditure towards maintenance of assets or any such recurring expenses;
3. Expenses towards Salary, Transport, Travelling Allowances (TA), Daily Allowances (DA) of permanent / semi-permanent employees. However, expenses towards hiring of manpower on outsourcing/contractual basis can be met within 1% allocation earmarked for administrative expenses with approval of SLSC.
4. Expenses towards POL (Petrol, Oil, Lubricants);
5. Financing State's share and/or topping up subsidy level in respect with other Central/State Schemes;
6. Foreign Visits/Tours including study tours of farmers abroad;
7. Purchase of vehicles;
8. Financing any kind of debt waiver, interest subvention, payment of insurance premium, compensation to farmers and calamity relief expenditure; additional bonus over & above Minimum Support Price (MSP);
9. Creating/Strengthening assets in Private Sector/NGO's beyond what is permissible under any schemes/programmes of Govt. of India.

Composition of State Level Sanctioning Committee (SLSC)

Chief Secretary	-	Chairman
Agri. Prod. Commissioner /Principal Secretary (Agriculture)	-	Vice-Chairman
Secretary, Finance	-	Member
Secretary, Planning	-	Member
Secretary, Fisheries	-	Member
Secretary, Animal Husbandry	-	Member
Secretary, Environment and Forests	-	Member
Secretary, Panchayati Raj	-	Member
Secretary, Rural Development	-	Member
Secretary, Water Resources/Irrigation/Minor Irrigation	-	Member
Director, Agriculture	-	Member
Director, Horticulture	-	Member
Director, Animal Husbandry	-	Member
Director, Fisheries	-	Member
Representative of Department of Agriculture & Cooperation, Govt. of India (Officer not below the rank of Joint Secretary)	-	Member
Representatives of Departments of Animal Husbandry, Dairying & Fisheries, Govt. of India (Officer not below the rank of Joint Secretary)	-	Member
Representative of State Agriculture University	-	Member
Representative of Planning Commission	-	Member
Secretary, Agriculture	-	Member-Secretary

Note:

1. SLSC may co-opt two more members from Agricultural Research Organizations, reputed NGOs working in the field of Agriculture, Deputy Commissioners of important districts, and leading farmers.
2. The quorum for the SLSC meeting would not be complete without the presence of at least one representative from the Government of India.

Appendix-F**Form of Utilization Certificate**

Sl. No.	Letter No. and date	Amount
	Total	

Certified that out of Rs. _____ of grants-in-aid sanctioned during the year _____ in favour of _____ under this Ministry/Department Letter No. given in the margin and Rs. _____ on account of unspent balance of the previous year, a sum of Rs. _____ has been utilized for the purpose of _____ for which it was sanctioned and that the balance of Rs. _____ remaining unutilized at the end of the year has been surrendered to Government (vide no. _____ dated _____) / will be adjusted towards the grants-in-aid payable during the next year _____.

2. The Utilization Certificate should also disclose whether the specified, quantified and qualitative targets that should have been reached against the amount utilized, were in fact reached, and if not; the reasons thereof. They should contain an output-based performance assessment instead of input-based performance assessment.

3. Certified that I have satisfied myself that the conditions on which the grants-in-aid was sanctioned have been duly fulfilled/are being fulfilled and that I have exercised the following checks to see that the money was actually utilized for the purpose for which it was sanctioned.

Kinds of checks exercised

- 1.
- 2.
- 3.
- 4.
- 5.

Signature _____

Designation _____

Date _____

Appendix-G

Recommended activity mapping for effective devolution of funds, functions and functionaries to Panchayati Raj Institutions (PRIs)

RKVY FUNCTIONS MAP

Sl. No.	ACTIVITY DESCRIPTION		State Government	District Planning Committee (DPC)	LOCAL GOVERNMENTS AND PLANNING BODIES			User groups. SHGs. Etc.
	Activity Category	Union Government			District Panchayat	Intermediate Panchayat	Panchayati Raj System/Institutions Village Panchayat	
1.	Setting Standards	DAC- Issue of guidelines for implementation of RKVY in the States	Issue/translation of guidelines in local language.					
2.	Planning	DAC & Planning Commission: To provide framework for preparation of SAP.	Preparation of SAP by integrating the District Agriculture Plans (DAPs)	Will be associated in the formulation of DAP taking into account location specific agro-climatic conditions, natural resources etc.	Districts Agriculture Planning Unit (DAPU) may be actively associated in formulation of Comprehensive District Agriculture Plans	Block/Taluka Agriculture Planning Unit (BAPU/TAPU) may be associated in providing inputs for DAP.	Village Agriculture Planning Unit (VAPU) may be associated in identifying clusters/selection of beneficiaries.	
3.	Implementation of Projects (Crop, Development Horticulture, Micro Mini irrigation, Animal Husbandry, Sericulture etc. as per sectors taken up by each State)	DAC- Release of funds to State	Release of funds to implementing Departments/Agencies.	Prioritise projects based on availability of funds	Will be associated in selection of site/location of projects in consultation with implementing agencies.	Will be associated in selection of locations/villages for implementation of projects.	Will be associated in selection of beneficiaries based on cluster approach (however, there should not be any repeat beneficiary year after year in RKVY).	Priority should be given to SC/ST, Women and weaker section of the society.



सत्यमेव जयते

RKVY DIVISION

Department of Agriculture & Cooperation
Ministry of Agriculture
Government of India

F. No 9-1/2013-RKVY
Government of India
Ministry of Agriculture
Department of Agriculture & Cooperation
(RKVY Cell)

Krishi Bhawan, New Delhi
Dated the 11th December, 2014

To

Principal Secretary (Agriculture)/ Agriculture Production
Commissioner/Secretary (Agriculture)
(All States/ UTs/ As per list)

Subject: Revised guidelines for implementation of Rashtriya Krishi Vikas Yojana (RKVY) during XII Five Year Plan- reg.

Sir,

I am directed to refer to para 4.1 of revised RKVY operational Guidelines (2014) which stipulate that RKVY funds would be provided to the States as 100% grant by the Central Government in following streams.

- (a) RKVY (Production Growth) with **35%** of annual outlay,
- (b) RKVY (Infrastructure and Assets) with **35%** of annual outlay;
- (c) RKVY (Special Schemes) with **20%** of annual outlay; and
- (d) RKVY (Flexi Fund) with **10%** of annual outlay (States can undertake either Production Growth or Infrastructure & Assets projects with this allocation depending upon State specific needs/priorities).

Aforesaid distribution is applicable at Central level, out of which outlays for Special schemes are held back by this Department for allocating among Programmes of National priorities e.g. BGREI, VIUC, NMPS etc.

States are provided with allocations under **RKVY (Normal) category** comprising of **Production Growth, Infrastructure & Assets and Flexi Fund streams**.

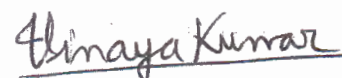
Out of total allocations available to States under **RKVY (Normal) category** (*excluding allocation under Special Schemes*), percentage shares of Production Growth, Infrastructure & Assets and Flexi Funds are **43.75%, 43.75% and 12.5%** respectively. Out of these, as per RKVY guidelines, States can allocate a maximum of **56.25%** (43.75%+12.5%-flexi fund) to either Production Growth or Infrastructure & Assets streams. On the other hand, a **minimum allocation 43.75% is stipulated** for both these streams.

On the basis of requests received from State Governments and to bring more flexibility in implementation of RKVY and to further boost creation of agriculture infrastructure & assets, it has now been decided that to **waive off the requirement of minimum allocation of RKVY fund (35% at Central Level or 43.75% at State Level) to "Production Growth Stream"**.

Accordingly, States will be able to allocate beyond 56.25% of their RKVY Normal allocation to Infrastructure & Assets stream. However, minimum stipulated allocation of RKVY fund to 'Infrastructure & Asset stream' (35% at Central Level or 43.75% at State Level) shall continue, which means that States have to allocate at least 43.75% of their RKVY (Normal) to this stream. As an illustration, following table may be referred to:

Scenario	Infrastructure & Assets (%) allocation)	Production Growth (%) allocation)	Total RKVY Normal (excluding Special Scheme) allocation at State Level
1	43.75%	56.25%	100%
2	50%	50%	100%
3	60%	40%	100%
4	80%	20%	100%
5	100%	0%	100%
6	25%	75%	Not allowed. Min. stipulation in Infrastructure is not met.

Yours faithfully,



(V.K Srivastava)

Under Secretary to the Government of India
Ph. No.011- 23383990

Copy to:

Director (Agriculture) of All States/UTs

Joint Secretary (Coordination), Dept. of Animal Husbandry, Dairying & Fisheries,
Krishi Bhawan, New Delhi/ All Joint Secretaries of DAC.

(राष्ट्रीय सहकारी विकास निगम)

National Cooperative Development Corporation (NCDC)

A gist of Central Sector **Integrated Scheme on Agricultural Cooperation (CSISAC)** based on information available on NCDC website:

1. Introduction

1.1. NCDC provides financial assistance in the form of loan (both Term Loan and Investment Loan) and subsidy to the cooperative societies for their development. The assistance is provided under the Central Sector Integrated Scheme on Agricultural Cooperation (CSISAC) & other Central Sector Schemes and NCDC Sponsored Scheme. The loan component is provided from out of NCDC's own funds while the subsidy is provided from outlay earmarked under the CSISAC and other Central Sector Schemes. Subsidy is provided subject to availability from Government of India (GOI) otherwise equivalent amount is provided as loan.

1.2. Coverage/ Area of operation:

All parts of the country covering all States and Union Territories (UTs).

For the purpose of NCDC's funding, the States/Union Territories are categorised as under:

- a. **Cooperatively Least Developed States** - Arunachal Pradesh, Assam, Bihar, Jharkhand, Jammu & Kashmir, Manipur, Meghalaya, Mizoram, Nagaland, Sikkim, and Tripura
- b. **Cooperatively Under Developed States/Union Territories** - Andhra Pradesh, Chhattisgarh, Goa, Himachal Pradesh, Madhya Pradesh, Odisha, Rajasthan, Telangana, Uttar Pradesh, Uttarakhand, West Bengal, Andaman & Nicobar Islands (UT) and Lakshadweep (UT)
- c. **Cooperatively Developed States/Union Territories** - Gujarat, Haryana, Karnataka, Kerala, Maharashtra, Punjab, TamilNadu, Chandigarh (UT), Dadra & Nagar Haveli (UT), Daman & Diu (UT), Puducherry (UT), Delhi

1.3. Eligible Sectors for NCDC's assistance under the scheme:

Agricultural Marketing, Processing, Storage, Computerization and weaker sections' Programmes, and input supply, Plantation/horticultural crops, SC & ST cooperatives, tribal cooperatives, hill area cooperatives, dairy, poultry, livestock, fisheries, handloom coir, jute, cash crops, sericulture, computerization of cooperatives including PACS, DCCB and State Cooperative Banks, Spinning Mills, modernization/expansion of existing mills, rehabilitation of sick Cooperative Spinning Mills, Margin money assistance to cooperative spinning mills.

Weaker Section Programme shall include programmes related to (i) Marketing, (ii) Processing (Small & Medium sized processing units related to agriculture and allied activities), (iii) Storage including Cold Storage and (iv) Consumer business and activities related to agriculture & allied activities taken up by (a) Fisheries, **(b) Dairy & Livestock**, (c) Poultry, (d) Coir, (e) Jute, (f) Sericulture, (g) Handloom & (g) Tobacco Cooperatives. Apart from these programme/activities, Weaker Section benefits will also be extended to Tribal / Scheduled Caste/ Scheduled Tribe/ Hill area, Labour and Women Cooperatives for undertaking the above activities.

1.4. Eligible Organizations for seeking assistance from NCDC under the scheme:

Financial assistance will be provided to cooperative societies. Societies should not be less than three years older, having positive balance net worth for last three years and having rich experience in the field for which project is proposed under the scheme. In the case of government sponsored projects for cooperatives, this condition could be relaxed on case to case basis by Managing Director, NCDC.

1.5. Other details about the scheme may be referred at NCDC website: www.ncdc.in

2. Dairy and Livestock related activities assisted under the scheme

2.1. NCDC provides assistance for the following activities:

- I. Purchase, rearing and breeding of milch animals
- II. Installation of milking machines
- III. Establishment of Testing Laboratories
- IV. Establishment/ expansion/ renovation of milk collection centres and chilling plants
- V. Purchase of equipments and bulk milk coolers
- VI. Milk Chilling Plants and Processing units
- VII. Purchase of transport vehicles
- VIII. Setting up of small feed mixing/ manufacturing units
- IX. Establishment of Integrated Dairy Projects with provisions for technical inputs for farmers' organisation, mobile veterinary care, artificial insemination and fodder development programme
- X. UHT Milk Processing and Packaging units
- XI. Margin money / working capital assistance for increasing business turnover

2.2. NCDC provides financial assistance for Integrated Livestock Projects/ Modernisation/Expansion/ Renovation of existing units; Processing and Marketing Infrastructure; Purchase of equipment and transport vehicles; & for meeting Margin Money requirements.

2.3. Pattern of Assistance:

Pattern for assistance for Dairy & Livestock activities under Central Sector Integrated Scheme on Agriculture Cooperation is provided at **Annex I.**

Central Sector Integrated Scheme on Agricultural Cooperation - Pattern of Assistance

a) **Least Developed States** (Arunachal Pradesh, Assam, Bihar, Jammu & Kashmir, Jharkhand, Manipur, Meghalaya, Mizoram, Nagaland, Sikkim and Tripura)

	NCDC to State Govt.	State govt. to Society	Direct Funding
A. BUSINESS DEVELOPMENT			
1. Margin Money - Loan - margin for availing Bank Credit	Loan 75% Subsidy 25% Total 100%	Loan or Share Cap 75% Subsidy 25% Total 100%	Loan 75% Subsidy 25% Total 100%
2. Share capital -	Investment Loan - as per requirement	Share Capital	-
B. INFRASTRUCTURE CREATION (PROJECT FACILITIES)			
All types of small and medium sized units, plant & machinery/equipment including integrated projects, furniture & fixtures, transport vehicles including refrigerated and insulated vehicles, bulk milk coolers, milk collection centers, installation of/purchase of computers/computerization, creation of infrastructure for marketing, setting up of slaughter houses. and any other related activities.	Loan 70% Subsidy 25% Total 95%	Loan 50% Share Cap 20% Subsidy 25% Total 95% Members Cont. 5%	Loan 65% Subsidy 25% Total 90% Members Cont 10%
C. PROCESSING			
Small and medium type agro processing units viz. Dairy units, milk chilling centres, Cattle feed mixing/ manufacturing units, purchase of equipments, modernization & expansion of existing processing units, purchase of livestock animals for breeding, rearing, meat, fleece, skin, wool and other by-products.	Loan 70% Subsidy 25% Total 95%	Loan 50% Share Cap 20% Subsidy 25% Total 95% Members Cont. 5%	Loan 65% Subsidy 25% Total 90% Members Cont 10%
D. Technical and Promotional Cell (All Federations)	Subsidy for employment of professionals to be provided for a period of 7 years on a tapering scale. i) 100% for the first 5 years. ii) 80% for the subsequent 2 years. Qualification and scales of pay and other emoluments for the various experts/professionals would be determined by the concerned federations in consultation with NCDC. Subsidy, if available from the Central Govt. is proposed to be provided only for Pay, HRA, CCA, DA for 5 to 7 years. The assistance will be sanctioned by the Corporation only after careful consideration of the proposal of the institutions and assessing the need for appointment of such experts.		

b) Under Developed States (Andhra Pradesh, Chhattisgarh, Goa, Himachal Pradesh, Madhya Pradesh, Odisha, Rajasthan, Telengana, Uttar Pradesh & West Bengal, Union Territories of Andaman and Nicobar Islands and Lakshwadeep)

	NCDC to State Govt.	State govt. to Society	Direct Funding
A. BUSINESS DEVELOPMENT			
1. Margin Money – Loan - margin for availing Bank Credit	Loan 80% Subsidy 20% <u>Total 100%</u>	Loan or Share Cap 80% Subsidy 20% <u>Total 100%</u>	Loan 80% Subsidy 20% <u>Total 100%</u>
2. Share capital -	Investment Loan - as per requirement	Share Capital	-
B. INFRASTRUCTURE CREATION (PROJECT FACILITIES)			
All types of small and medium sized units, plant & machinery/equipment including integrated projects, furniture & fixtures, transport vehicles including refrigerated and insulated vehicles, bulk milk coolers, milk collection centers, installation of/purchase of computers/computerization, creation of infrastructure for marketing, setting up of slaughter houses. and any other related activities.	Loan 70% Subsidy 20% <u>Total 90%</u>	Loan 50% Share Cap 20% Subsidy 20% <u>Total 90%</u> Members Cont. 10%	Loan 65% Subsidy 20% <u>Total 85%</u> Members Cont 15%
C. PROCESSING			
Small and medium type agro processing units viz. Dairy units, milk chilling centres, Cattle feed mixing/ manufacturing units, purchase of equipments, modernization & expansion of existing processing units, purchase of livestock animals for breeding, rearing, meat, fleece, skin, wool and other by-products.	Loan 70% Subsidy 20% <u>Total 90%</u>	Loan 50% Share Cap 20% Subsidy 20% <u>Total 90%</u> Members Cont. 10%	Loan 65% Subsidy 20% <u>Total 85%</u> Members Cont 15%
D. Technical and Promotional Cell (All Federations)	Subsidy for employment of professionals to be provided for a period of 7 years on a tapering scale. i) 100% for the first 5 years. ii) 80% for the subsequent 2 years. Qualification and scales of pay and other emoluments for the various experts/professionals would be determined by the concerned federations in consultation with NCDC. Subsidy, if available from the Central Govt. is proposed to be provided only for Pay, HRA, CCA, DA for 5 to 7 years. The assistance will be sanctioned by the Corporation only after careful consideration of the proposal of the institutions and assessing the need for appointment of such experts.		

c) Developed States

(Maharashtra, Karnataka, Kerala, Haryana, Punjab, Gujarat, Tamil Nadu, and Union Territories of Delhi, Daman & Diu, Dadra & Nagar Haveli, Chandigarh and Pondicherry)

	NCDC to State Govt.	State govt. to Society	Direct Funding
A. BUSINESS DEVELOPMENT			
1. Margin Money – Loan - margin for availing Bank Credit	Loan 85% Subsidy 15% <u>Total 100%</u>	Loan or Share Cap 85% Subsidy 15% <u>Total 100%</u>	Loan 85% Subsidy 15% <u>Total 100%</u>
2. Share capital -	Investment Loan - as per requirement	Share Capital	-
B. INFRASTRUCTURE CREATION (PROJECT FACILITIES)			
All types of small and medium sized units, plant & machinery/equipment including integrated projects, furniture & fixtures, transport vehicles including refrigerated and insulated vehicles, bulk milk coolers, milk collection centers, installation of/purchase of computers/computerization, creation of infrastructure for marketing, setting up of slaughter houses. and any other related activities.	Loan 75% Subsidy 15% <u>Total 90%</u>	Loan 50% Share Cap 25% Subsidy 15% <u>Total 90%</u> Members Cont. 10%	Loan 65% Subsidy 15% <u>Total 80%</u> Members Cont 20%
C. PROCESSING			
Small and medium type agro processing units viz. Dairy units, milk chilling centres, Cattle feed mixing/ manufacturing units, purchase of equipments, modernization & expansion of existing processing units, purchase of livestock animals for breeding, rearing, meat, fleece, skin, wool and other by-products.	Loan 75% Subsidy 15% <u>Total 90%</u>	Loan 50% Share Cap 25% Subsidy 15% <u>Total 90%</u> Members Cont. 10%	Loan 65% Subsidy 15% <u>Total 80%</u> Members Cont. 20%
D. Technical and Promotional Cell (All Federations)	Subsidy for employment of professionals to be provided for a period of 7 years on a tapering scale. i) 100% for the first 5 years. ii) 80% for the subsequent 2 years. Qualification and scales of pay and other emoluments for the various experts/professionals would be determined by the concerned federations in consultation with NCDC. Subsidy, if available from the Central Govt. is proposed to be provided only for Pay, HRA, CCA, DA for 5 to 7 years. The assistance will be sanctioned by the Corporation only after careful consideration of the proposal of the institutions and assessing the need for appointment of such experts.		

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National Cooperative Development Corporation
(Finance Division)
4, Siri Institutional Area, Hauz Khas, New Delhi - 110 016

No. NCDC:1-1/90-Budt.

26th April, 2016

To,

The Secretary In-charge of Cooperation,
All State Governments & Union Territories

Sub: Interest rates on NCDC loans

Dear Sir,

In modification of our letter of even number dated 05.10.2015, interest rates for NCDC loans are revised w.e.f. 26th April, 2016 as follows:

Scheme	Effective rate of interest *
A. Term Loans:	
(a) Through State Governments	
(i) Weaker section programmes	10.70%
(ii) Other programmes	10.90%
(b) Direct funding	
(i) Weaker section programmes	
- upto project cost of Rs.50 lakhs	10.95%
- above project cost of Rs.50 lakhs	11.20%
(ii) Other Programmes	11.45%
B. Working Capital Loans:	
(a) Through State Governments	
(i) from 3 to 6 months	9.15%
(ii) above 6 months - upto 9 months	9.40%
(iii) above 9 months - upto one year	9.75%
(iv) above one year - upto two years	10.00%
(b) Direct funding	
(i) from 3 to 6 months	9.15%
(ii) above 6 months - upto 9 months	9.40%
(iii) above 9 months - upto one year	9.90%
(iv) above one year - upto two years	10.30%

* Subject to payment of instalments on or before due date.

AR

2. Interest shall be charged on monthly compounding basis. In case of :

- i. Term Loans through State Govts., payment of interest shall be made annually,
- ii. Term Loans under Direct Funding, payment of interest shall be made half yearly; and
- iii. Working capital Loans, payment of interest shall be made at such intervals as indicated in the sanction/release letters.

Note:

(a) In case payment of the installment is not received on or before due date, Normal Rate (effective + 1%) would be applicable.

(b) Penal rate of interest in case of default will continue @ 2.5% over and above Normal Rate.

(c) Interest will be charged as applicable at the time of release of funds.

(d) Weaker section programmes:

- (i) Fisheries
- (ii) Tribal/ SC & ST/ Hill Area Cooperatives
- (iii) Dairy
- (iv) Poultry
- (v) Handloom
- (vi) Coir, Jute & Tobacco
- (vii) Sericulture
- (viii) Women Cooperatives
- (ix) Labour Cooperatives

3. Period of Term Loans will be upto 8 years. Period for margin money assistance (loan) will be upto 5 years and working capital loan will be provided upto 2 years.

4. Moratorium on term loans for the projects/ godowns will be upto 3 years, depending on gestation period of the project. For margin money, working capital and investment loan to State Governments for share capital participation, there will be no moratorium.



5. In case of direct funding, processing fee shall be charged @ 0.5% of the sanctioned amount, not exceeding Rs.3 lakhs (0.5% of Rs.6 crores) in each case. However, processing fee shall not be charged for working capital loans upto one year.

6. Other terms & conditions as contained in Corporation's letter of even number dated 15th October, 1984 shall continue to be applicable.

Yours faithfully,


(A.K. Pal)
Chief Director(Finance)

Copy to:

1. The Registrar of Cooperative Societies,
All States & Union Territories.
2. The Secretary In-charge, Fisheries Department,
West Bengal, Maharashtra, Karnataka, Gujarat, Kerala, Tamilnadu,
Andhra Pradesh, Telangana, Orissa, Manipur, Tripura, Assam, Nagaland.
3. The Addl. Secretary (Cooperation & Credit),
Ministry of Agriculture & Farmers Welfare, Deptt. of Agri. & Coop,
Krishi Bhawan, New Delhi.
4. The Joint Secretary (Cooperation & Credit),
Ministry of Agriculture & Farmers Welfare, Deptt. of Agri. & Coop,
Krishi Bhawan, New Delhi.
5. Director of Fisheries,
West Bengal, Maharashtra, Karnataka, Gujarat, Kerala, Tamilnadu,
Andhra Pradesh, Telangana, Orissa, Manipur, Tripura, Assam, Nagaland.
6. SPS to MD/DMD/ED.
7. All Chief Directors/Directors, NCDC, H.O.
8. All Regional Directors, NCDC.
9. All Advisers, NCDC, New Delhi.
10. Chief Director (Topic), NCDC, Gurgaon.


(A.K. Pal)
Chief Director(Finance)

National Rural Livelihood Mission (NRLM)

National Rural Livelihoods Mission (NRLM) was launched by the Ministry of Rural Development (MoRD), Government of India in June 2011. The program was renamed as Deendayal Antayodaya Yojana (DAY-NRLM) in November 2015. Aided in part through investment support by the World Bank, the Mission aims at creating efficient and effective institutional platforms of the rural poor, enabling them to increase household income through sustainable livelihood enhancements and improved access to financial services.

NRLM has set up dedicated sensitive support units at each level to catalyze social mobilization, build institutions, capacities and skills, facilitate financial inclusion and access to financial services, support livelihoods and to promote convergence and partnerships with various programmes and stakeholders. The units are:

- **National level** - National Rural Livelihoods Promotion Society (NRLPS)
- **State level** - State Rural Livelihoods Mission (SRLM)
- **District level** – District Mission Management Units (DMMU)
- **Block level** – Block Mission Management Units (BMMU)

An illustrative list of components being funded under the mission is given below:

- i. Social inclusion and institutions for the poor like milk producers' cooperatives
- ii. Promotion and setting up institutions of the poor at various levels.
- iii. Training, Capacity building and skill building
- iv. Revolving Fund and Capital Subsidy
- v. Universal Financial Inclusion
- vi. Provision of Interest Subsidy
- vii. Stabilizing and enhancing the existing livelihoods like cattle rearing, forest produce, fishing, and traditional non-farm occupations and subsequently diversifying their livelihoods
- viii. Infrastructure creation and Marketing support
- ix. Convergence with other programmes of the Ministry of Rural Development and other Central Ministries and programmes of state governments for developing synergies directly and through the institutions of the poor.

The details of the components being funded under the mission may be accessed from the NRLM Website: <http://www.aajeevika.gov.in/>



**GOVERNMENT OF INDIA
MINISTRY OF WOMEN & CHILD
DEVELOPMENT**

Revised Guidelines and Application format

On

**SUPPORT TO TRAINING AND EMPLOYMENT
PROGRAMME FOR WOMEN (STEP)**

2016



SUPPORT TO TRAINING AND EMPLOYMENT PROGRAMME FOR WOMEN (STEP) – REVISED GUIDELINES- 2016

1. INTRODUCTION AND NEED FOR THE SCHEME

Government of India has set an ambitious plan training 500 million individuals by 2022 which translates to training 42 million a year. For this purpose, India's vocational training infrastructure needs to be expanded to meet the diverse and many skill requirements of the population. There has been recent concern about the decline in women's workforce participation in India. Simultaneously, women have become more aspirational and are ready to contribute equally to the economy.

MWCD, through its STEP Programme, has been addressing special situation of poor women and women in remote areas who are not in a position to move out of their immediate surroundings and go to a formal skill centre to acquire training. The STEP Programme a 100% Central Sector Scheme is under implementation since 1986-87. Training is provided to poor and marginalized women in traditional trades which are largely in the informal sector. The programme strives to build upon the traditional knowledge of women and convert it into sustainable livelihood capacitation.

STEP Guidelines 2014 are revised on the basis of learning of the rigorous process of scrutiny of thousands of proposals that were received in response to the 2014 Guidelines as well as the Gazette notification issued by the Ministry of Skill Development & Entrepreneurship and NITI Aayog's Guidelines for implementation of Centrally Sponsored Schemes/Central Sector Schemes through NGOs. A separate section has been added as guidance to the applicant organizations.

2. OBJECTIVES OF THE SCHEME

The scheme has 2 fold objectives viz.

- a. To provide skills that give employability to women.
- b. To provide competencies and skills that enable women to become self-employed/entrepreneurs.

3. TARGET GROUPS

The scheme is intended to benefit women who are in the age group of 16 years and above.

4. ELIGIBLE ORGANIZATIONS/ PROJECT IMPLEMENTING AGENCIES (PIAs)

Grants-in-aid under the STEP programme may be given to an institution having a distinct legal entity as under:

- (a) Institutions or organizations set up as Autonomous Organization under a specific statute or as a Society registered under the Societies Registration Act, 1860 or Indian Trusts Act, 1882 (Not for profit) or other statutes.
- (b) Voluntary Organizations or Non-Government Organizations registered under the Societies Registration Act, Indian Trust Act carrying out activities which promote the objectives of the STEP programme, with adequate financial and other resources, credibility and experience of the type of activities to be undertaken.
- (c) Co-operative Societies.

5. CRITERIA FOR SELECTION OF PROJECT IMPLEMENTING AGENCIES (PIAs)

- (a) The NGO should have signed up in the NGO-Partnership (NGO-PS) Portal of the NITI Aayog with all self-declared details and should have obtained a Unique ID. The Unique ID should be mandatorily quoted by the NGO at the time of application for grants. NGOs shall update their data base in the Portal every year.
- (b) The NGO should also have signed up in the portal of this Ministry with the Unique ID of NITI Aayog.
- (c) The organization must be in existence at least for 3 years and have carried out activities for imparting skills related to employability and entrepreneurship during last 3 years. At the time of filing the application, the organization must have a positive net worth in at least 2 previous years.

6. TRADES COVERED

(a) Assistance under the STEP Scheme will be available in any sector for imparting skills related to employability and entrepreneurship as identified by the Ministry of Skill Development & Entrepreneurship (MSDE) including but not limited to the following :

- Agriculture
- Horticulture
- Food Processing

- Handlooms
- Traditional crafts like Embroidery, Zari etc.
- Handicrafts
- Gems & Jewellery
- Travel & Tourism, Hospitality

In case any other specific course is conducted in any trade which is not included in the list given in Schedule II of MSDE's notification dated

08.08.2015 and amendments thereto (attached below), consultation with the industry and thereafter approval of Common Norms Committee will be required for giving approval to it.

(b) Soft skills (which would include computer literacy, language and workplace inter-personal skills relevant for the sector/trade) would be an integral part of the skills training process and must be suitably integrated into the course modules.

(c) All Skill Development courses offered under the scheme framework must conform to the National Skill Qualification Framework (NSQF) notified on 27.12.2013(attached below). Government funding would not be available for any training or educational programme/course if it is not NSQF compliant.

7. REQUIREMENTS/INPUT STANDARDS FOR PIAs

(a) INPUT STANDARDS

The following inputs are essential to be followed so as to ensure that adequate training infrastructure and capacity exists:

- i) The overall training infrastructure specially the training aids and equipment being as per industry benchmarks.
- ii) Trainers with suitable qualifications/experience being hired and should have undergone Training of Trainers (ToT).
- iii) Industry relevant content appropriate to the learning groups and conforming to the requirements of NSQF/SDIS, being used
- iv) The student and trainer enrollment linked to Aadhar.
- v) Assessments being video recorded if required.

(b) OTHER REQUIRMENTS

- (i) The implementing agency will issue Photo Identity Card to all beneficiaries for the project and a copy of the same will be forwarded to the Ministry for records.
- (ii) The implementing agency will obtain the bank account details (Bank Name, Branch, Account No., IFSC code, MICR code,) of all the beneficiaries and forward the same to the Ministry.
- (iii) The implementing agency will obtain the photocopy of Aadhar Card of all the beneficiaries and forward the same to the Ministry.
- (iv) The implementing agency would also ensure the employment/self-entrepreneurship for passed out trained candidates in accordance with the extant Guidelines of MSDE.

8. NUMBER OF BENEFICIARIES

Approval would be given only for such number as are considered viable and the maximum number of beneficiaries in a project shall not exceed 200.

Training will be imparted in batches with number that are manageable, within the infrastructure and training capacity of the organization and in groups that can be imparted due attention by the instructors. For trades that use equipment/ small machines/ computers, the batches will typically be determined by the number of such equipment that is available.

9. COURSE DURATION & TRAINING HOURS

Skill development will be domain specific demand led skill training activity leading to employment or any outcome oriented activity that enables a participant to acquire a skill duly assessed and certified by an independent third party agency, and which enables her to get wage/self-employment leading to increased earnings, and/ or improved working conditions, such as getting formal certification for hitherto informal skills. The project in any case must ensure a training input spread over 200 hours in a 3 month programme and 400 hours in a 6 months programme (including practical and/or on the job training).

10. FUNDING NORMS FOR ASSISTANCE

The financial assistance under STEP will be provided on the basis of MSDE's Gazette Common Norms notification dated 08.08.2015 and clarifications/amendments thereto issued from time to time (attached below).

Some of the features are as under:

I. Base Cost: Base cost for different sectors will be as under w.e.f. 01.04.2016 :-

(i) Rs.40.50/- per hour of training for trades/sectors listed in Category I given at Annexure-I of the notification.

(ii) Rs. 34.70/- per hour of training trades/sectors listed in Category II given at Annexure-I of the notification.

(iii) Rs.28.90/- per hour of training trades/sectors listed in Category III given at Annexure-I of the notification.

* (The hourly rates shall be inclusive of cost components such as Mobilization of candidates, Post- placement tracking/monitoring, Curriculum, Placement expenses, Trainers' training, Equipment, Amortization of infrastructure costs/ utilities, Teaching aid, Raw material, Salary of trainers)

II. Transport Cost: For candidates from Specials Areas undergoing training outside such Special Areas, to and fro transport cost as per actuals, subject to a maximum of Rs. 5000/-per trainee, may be payable.

For :

- a) Residential trainings, and/or
- b) in respect of all skill development training programmes where trainees from Special Areas (as defined in MSDE's notification dated 08.08.2015) are trained outside these Special Areas, and/or
- c) Training programmes anywhere in the country where women trainees have to travel more than 80km from their homes to reach the nearest training centre and who are availing of boarding and lodging arrangements made for them.

Ministries will reimburse Boarding & Lodging Costs up to a maximum per trainee per day as per table below:

1.	X Category Cities/Town per day per Trainee	Rs. 300/-
2.	Y Category Cities/Town per day per Trainee	Rs. 250/-
3.	Z Category Cities/Towns per day per Trainee	Rs. 200/-
4.	Rural Areas and any Area not notified as a	Rs. 175/-
	municipal/town area.	

(The list of categories of cities is given at SCHEDULE-III)

III. Third Party Certification & Assessment Costs: To ensure independent and unbiased assessment and certification of trained candidates, costs for certification and assessment shall be payable to an independent third party including a University/Institute authorized for conducting assessments and certifications as per the rate as decided by MWCD within the range prescribed by MSDE. The independent third party agency should be NSQF approved independent third party agency.

IV. Additional Support for Special Areas: Over and above the Base Cost, an additional amount equal to 10% of the Base Cost will be permitted for Skill Development programmes conducted in the North Eastern States, Jammu & Kashmir, Himachal Pradesh, Uttarakhand, Andaman & Nicobar Islands, Lakshadweep and Districts affected by Left Wing Extremism (LWE) as identified by the M/o Home Affairs for the Integrated Action Plan (hereinafter referred to as "Special Areas").

V. Reimbursement of Conveyance Cost: Upon successful completion of non-residential skill training programmes, and after certification, candidates will be reimbursed the cost incurred in travelling to and from the training centres at the following rates:-

Reimbursement of Conveyance per month :		
Training Centre within District of domicile	-	Rs.1000/-
Training Centre outside District of domicile	-	Rs.1500/-

VI. Post Placement Support: In order to enable the newly skilled persons to settle into their jobs/vocations under wage employment, post placement support will be provided to candidates of special areas/groups directly at the rate of Rs. 1500/- per month for the following durations:-

Placement within District of domicile	2 months
Placement outside District of domicile	3 months

Provided the placement is made within three months of certification and after post validation of placement of the candidate.

VII. Training for Persons with Disability (PwD): Over and above the Base Cost, an additional amount equal to 10% of the Base Cost will be provided for skill development programmes imparted to Persons with Disability (PwD). Provided that in the case of training

of PwD in the Special Areas, the total cost permissible will be 120% of the Base Cost. At least 3% of total training done in each year shall be reserved for persons with disabilities, in trades as decided by the Department of Empowerment of Persons with Disabilities, Ministry of Social Justice & Empowerment in conjunction with the NSDA.

11. FUNDING PATTERN: Under the STEP scheme, financial assistance to meet a maximum of 90% of the project cost will be sanctioned by the Government of India. The remaining 10% will have to be borne by the implementing agency from its own resources.

12. APPLICATION PROCESS / SUBMISSION OF PROPOSALS

- a) The Ministry will invite applications for fresh proposals under Revised STEP Guidelines 2016 through advertisement in newspapers and official website.
- b) All NGO should register themselves on NGO-PS Portal of NITI Aayog and obtain Unique ID.
- c) All the Project proposals will be submitted to the Ministry of Women & Child Development, Government of India **online** through Ministry's NGO Proposal Management System.
- d) These Project proposals will be sent to the concerned State Government which will be examined by the State Government. State Government will verify the credentials of the applicant and examine its proposal and thereafter forward the proposals to Ministry of Women & Child Development, Govt. of India with its recommendation for further examination and release of funds within 45 days.
- e) The proposals recommended by the State Government will be examined by a Pre-Screening Committee to be set up by the Ministry.
- f) All proposals recommended by the Pre-Screening Committee shall be placed before the Project Appraisal Committee for final approval.
- g) On-going projects will continue to be funded as per the Guidelines under which they were sanctioned.

13. TECHNICAL APPRAISAL OF THE PROJECTS

In case so warranted, the Ministry may utilize the services of Government agencies like Development Commissioner (Handloom), Office of Development Commissioner (Handicrafts), Indian Council of Agricultural Research, NPC, NABARD, NIESBUD etc. for appraisal of specific projects.

14. PROJECT APPROVAL

The proposals will be considered by the Project Appraisal Committee (PAC). The PAC will be headed by an officer not below the rank of Joint Secretary of the Ministry of Women & Child Development, Government of India. It will have representatives from Central Government Ministry/ Department representing the sector, NITI Aayog, Economic Advisor of the Ministry, Integrated Finance Division of the Ministry and respective State/UT Govt. The representative of the implementing agency may be called for the PAC meeting to explain the details of the project.

The recommendation of PAC will be submitted to Secretary, MWCD/ Minister-WCD for final approval of the project proposal.

15. RELEASE OF GRANT-IN-AID

The funds would be released to the PIA based on the recommendation of the projects in the PAC and approval by the competent authority as per MSDE's Gazette Notification dated 08.08.2015 and amendments/ clarifications thereto (attached below) issued from time to time, in the following manner:

Schedule of release of payments will be as follows:

Instalment	Percentage of total Cost	Output Parameter
1 st	30%	On commencement of training batch against validated candidates.
2 nd	50%	On successful certification of the trainees.
3 rd	20%	Outcomes as defined in MSDE's Common Norms notification.

The above payment schedule is subject to following:

- (i) It is applicable only for fresh training.
- (ii) The second tranche of 50% will be calculated on the basis of total cumulative 80% payment for candidates actually certified.
- (iii) The dropouts will not be considered for 2nd and 3rd tranche. The 1st tranche payment of the dropouts is adjusted in next tranche.

The project period shall commence from the date of release of first installment of financial assistance.

16. RELEASE OF SUBSEQUENT GRANT

Subsequent grants may be released on receipt of the following documents on the portal of the Ministry :

- a. Utilization Certificate of the previous grant-in-aid released (in the prescribed format) duly certified by the Chartered Accountant.
- b. Audited Statement of Accounts (Receipt & Payment Accounts, Income & Expenditure Account and Balance Sheet) duly certified by the Chartered Accountant.
- c. Progress Report.
- d. List of candidates enrolled alongwith copies of their Aadhar numbers and Bank Account details.
- e. Details of services rendered.
- f. Physical achievement made.
- g. Photographs of assets created.
- h. Proof of certification of trainees at the time of release of 2nd instalment.
- i. Proof of outcome achieved at the time of release of 3rd instalment. As per MSDE notification dated 8.8.2015 and clarification issued, (i) one-month pay slip can be accepted as the evidence to support the wage employment and (ii) in case of self-employment, securing a relevant enterprise development loan can also be considered as proof of evidence under any other suitable and verifiable document.

- j. Action taken on the recommendation of the Evaluation Agency (if applicable)

17. MANAGEMENT INFORMATION SYSTEM (MIS)

The PIA will have to submit the particulars of candidates undergoing training in any batch into the central MIS of MSDE. PIAs should track the progress of candidates and update the same in central MIS.

18. MONITORING AND EVALUATION

Monitoring of the project will be online. The PIA will upload information/documents such as utilization certificates, audited statements of accounts, services rendered, physical achievements made, photographs of assets created etc. on the Portal of the Ministry. The concerned PIA should also upload the achievement of the project on its own website.

The Ministry may get any project inspected/ evaluated by an independent third party which can be NABARD, NIESBUD, NPC etc as per their domain to evaluate the focus and sensitivity of the NGOs towards the main issues in the project, organizational capacity, programme delivery, ensure quality of training and participation of trainees, maintenance of training centres of PIAs, PIAs adherence to transparency norms etc. About 3% of the annual allocation will be earmarked for expenditure towards engagement of independent third party to be identified by the Ministry as mentioned above for conducting inspection, evaluation etc.

19. AUDIT

The MWCD retains the right to carry out audit of the accounts of the project if deemed necessary, including audit by CAG and by PAO of the Ministry or by independent agency. The PIA shall make available all relevant records for the purpose when requested by an agency authorized by Ministry.

Financial Audit is to be carried out by the CA of the PIA as per statutory provisions. Accounts of the project of STEP shall be maintained separately by the PIA to facilitate meaningful audit.

20. OTHER CONDITIONS FOR ACCEPTANCE OF GRANT-IN-AID UNDER STEP SCHEME

- (i) The grantee organization/institution shall maintain a separate account of the grant-in-aid provided by the M/o WCD for undertaking a project.
- (ii) The grantee organization/institution shall not accept any financial assistance from any other source(s) for the same project without the prior permission of the M/o WCD.
- (iii) The grantee organization/institution shall furnish a progress report of the project along with a statement of expenditure for release of subsequent grant. The organization/ institution shall record a certificate to the effect that the expenditure has been incurred in accordance with the sanctioned grant.
- (iv) The persons employed in the project will be treated as the employees of the organization/ institution and not of the Government of India and the conditions of their service will be governed in accordance with the rules and orders of the organization applicable to such persons.
- (v) The scheme will not finance any capital expenditure on lands or buildings.
- (vi) The organization/ institutions will have to execute a bond in favour of the M/o WCD on judicial stamp paper of Rs. 100/-.
- (vii) On completion of the project, the organization/ institution shall submit final report along with supporting documents such as photographs and utilization certificate for the grant-in-aid.
- (viii) The applicant organization will submit the proposal in the prescribed application format with necessary documents as per Annexure-I of the guidelines.
- (ix) Unspent amount of grant-in-aid released by M/o WCD will be refunded to the M/o WCD along with interest accrued through PAO, M/o WCD.
- (x) The unsatisfactory performance/non-performance of the organization would mean refund of grant-in-aid along with interest accrued to M/o WCD through PAO, M/o WCD. (If the NGO does not abide by its commitment made in its proposal on number of trainees to be trained / training infrastructure to be provided / training material etc. at the time of completion of the project the money will be refunded).
- (xi) M/o WCD reserves the right to blacklist the organization if it is implementing these projects in an unsatisfactory or improper manner.

- (xii) In the event of a Court Case, the organization/implementing agency shall not be entitled to any grant-in-aid till the matter is pending in the court of law. The M/o WCD will not be responsible for any legal/intellectual/contractual disputes between organization/implementing agency and a third party. By accepting the grant, the recipient accepts this condition.
- (xiii) In case of default or misuse of funds by PIA, or, in case the PIA ceasing to exist, the Ministry may consider acquiring assets created from the grants-in-aid given to the PIA. Blacklist of PIA may also be resorted to in case of reasons cited above. Names of blacklisted PIAs shall be reflected in the Portal of the Ministry and will also appear in home page of the NGO-PS portal of NITI Aayog for the information of all Ministries/Department as well as State Governments and other stakeholders.
- (xiv) The PIA shall provide reservation to the extent of 15% to SCs, 7.5% to STs and 27% to OBCs in case of direct recruitment on all India basis where :
 - a. It employs more than 20 persons on a regular basis and at least 50% of its recurring expenditure is met from grant-in-aid from the Central Government and;
 - b. is a registered society or a co-operative institution and is in receipt of a general purpose annual grant-in-aid of Rs. 2.0 lakhs and above from the Consolidated Fund of India,

21. FOR GENERAL GUIDANCE OF THE APPLICANTS

- i. The primary objective of step scheme is to assist those organizations which have a deeper involvement and commitment for women based on harnessing local talents of women for their economic empowerment.
- ii. The applicant organization must have its presence on the ground in the geographical area in which they are proposing to conduct training of women.
- iii. Training areas which do not have direct bearing on the ability of a woman to generate additional income will not be considered for assistance under the STEP scheme. These include computer training, English speaking, stitching and tailoring etc.
- iv. The proposals of organizations who have not done anything other than holding awareness camps will not be considered.

- v. Preference will be given to organizations that have a proven track record of training local women and linking them to the economic mainstream through a sustainable economic activity in the form of employment, self-employment or micro-entrepreneurship.
- vi. Preference will be given to those proposals which incorporate linking the women directly to the market or getting the trained women employment.
- vii. Preference will be given to those organizations who have created assets related to training from previous grants received from any source including Government. Preference will also be given to organizations having their own skilled staff who can impart training to the women.
- viii. Preference will be given to projects who have positive impact on the environment such as organic farming, utilization of gobar etc.
- ix. A careful examination of the balance sheets of the organizations will be done and any organization which is found to have submitted wrong/forged/copied/falsely generated balance sheet will be blacklisted for any future assistance from the Ministry.
- x. If an applicant organization, which has undertaken similar training with assistance from any other Ministry/Department of the Government, submits a proposal where the cost of training in the previous proposal was only a fraction of what is reflected in the current proposal will be blacklisted,

APPLICATION FORMAT

Support to Training and Employment Programme for Women (STEP)

PART A- ORGANISATION

1. Name and full Postal address of the head office of the Organisation :
 - (a) Name
 - (b) Address
 - (c) District
 - (d) State
 - (e) Pin Code
 - (f) Telephone No. with STD code
 - (g) Fax No.
 - (h) Mobile No.
 - (i) E mail ID
 - (j) PAN number
2. Name and full details of each of the Office bearers/ Board of Directors/ Members
 - (a) Name
 - (b) Address
 - (c) Telephone No. with STD code
 - (d) Fax
 - (e) Mobile No.
 - (f) E mail ID
 - (g) Aadhar Number
 - (h) PAN
3. Bank details of the organization:
4. Do the bye-laws of the organization permit it to receive Govt. grants and implement women's programme in the project area?
5. Whether the institution has a distinct legal entity, if yes, the details thereof:

6. Whether the organisation is registered in the NGO-PS Portal of the NITI Aayog? If yes, its UID No. generated.

7. Capability and Capacity of the organization:

(a) Infrastructure Available

- i. Details of trainers and other employees (Qualification, Age, Experience, Salary etc.)
- ii. Land and buildings owned by the organization.
- iii. Training equipment owned by the organization.

(b) Organizational Capacity including past experience in skill development and training (Last 3 years)

Project already executed	Beneficiaries covered (Men and Women)	Project cost	Source of funding

(c) Financial Status of the organization in last 3 years

Year	Assets & Liabilities	Income & Expenditure	Receipt & Payment	Surplus/Deficit

8. Details of grants received during the last 3 years

Source of Funding	Date/Period	Amount	Project Details	Whether completed

9. Whether affiliated to to National Skill Development Corporation (NSDC)? (If yes the details thereof.)

10.Has the performance of the organisation being evaluated by any recognized /reputed independent agency during last three years? (If yes, the details thereof)

11.A write-up by the organization describing why the project should be entrusted to the organization including value addition proposed by the organisation

Signature with office stamp

Date

PART B- COURSE DETAILS

1. Sector/trade of the Course.
2. Duration of the Course.
3. Total no. of beneficiaries.
4. Project Area.
5. Basis of selection of the beneficiaries.
6. Whether the skill development course proposed to be given confirms to the National Skill Qualification Framework (NSQF) notified on 27.12.2013. If yes, proof thereof. If no, an undertaking that the course will be NSQF compliant before 27.12.2016.
7. Cost of the project – (Item wise).
(Detailed proposal to be attached)
8. Cost per beneficiary.
9. Physical targets.
10. Whether the overall training infrastructure specially the training aids and equipment being as per industry benchmarks?
11. List of Trainers alongwith their educational qualifications and experience and Aadhar Numbers.
12. Whether Trainers with suitable qualifications/ experience being hired and whether each trainer has undergone Training of Trainers?
13. Whether industry relevant content appropriate to the learning groups and conforming to the requirements of NSQF /SDIS, being used?
14. Total number of training hours (including practical and /or on the job training).

Signature with office stamp

Date

**DOCUMENTS TO BE ATTACHED TO THE APPLICATION AND FOR
RELEASE OF INITIAL GRANT**

- 1.** Attested Copies of Audited Statement of Accounts (Balance sheet, Income & Expenditure Account and Receipt & Payment Account) of the preceding three years.
- 2.** Annual Report for three preceding years.
- 3.** Proof of experience in the sector concerned.
- 4.** Copy of Registration Certificate, if applicable.
- 5.** Document in support of the statement that the course is NSQF compliant.

Form GFR 19 – A**UTILIZATION CERTIFICATE**

Sl. No.	Letter No. & Date	Amount	Certified that out of Rs...../- (Rupees only) of Grants-in-aid sanctioned as installment of year for the F.Y. in favour of M/s
1.		under the Ministry of Women & Child Development, Govt. of India vide letter No. & date given in the margin and Rs./- (Rupees) on account of unspent balance of the previous year, a sum of Rs./- (Rupees only) has been utilized during the period fromto.....for the purpose of running the STEP project of Ministry of Women & Child Development and a balance amount of Rs./- remaining unutilized at the end of the said period has been surrendered to the Govt.(vide No.....dated.....) or will be adjusted towards the amount of the grant payable for the next installment.

2. The amount of Rs..... /- (Rupees only) released by the Ministry of Women & Child Development, Govt. of India has already been spent by the organization for running the STEP project.

3. Certified that I have satisfied myself that the conditions on which the Grant-in-aid was sanctioned have been duly fulfilled and that I have exercised the following checks to see that the money was actually utilized for the purpose for which it was sanctioned.

Kinds of checks exercised:

1. Cash Book, Ledger, Journal.
2. Bills, Vouchers, Register and other records maintained by the organization.
3. Bank Account.

Place:

Signature

Date:

CHARTERED ACCOUNTANT

(Name & seal)

MINISTRY OF AGRICULTURE
(DEPARTMENT OF AGRICULTURE & COOPERATION)

New Delhi, the 6th July 2015

No. 8-217/2004-PP.I (Pt.)—In partial modification of Government of India, Ministry of Agriculture, Department of Agriculture & Cooperation Notification No.8-97/91-PP.I dated 26.11.1993 as amended from time to time it is hereby notified for general information that the following entries shall be included by way of addition or replacement under the relevant heads specifying officers, by designation, who are authorized to inspect, fumigate or disinfect and grant phytosanitary certificates in respect of plants and plant materials intended for export to other countries Governments of which require such certificates:

I. Central Government

- (xlii) The Officer-in-Charge,
Plant Quarantine Station, Ahmedabad,
(Gujarat)
[Code No. 'C' (PPQS) 1 (42)]
- (xliii) The Officer-in-Charge,
Plant Quarantine Station, Calicut,
(Kerala)
[Code No. 'C' (PPQS) 1 (43)]
- (xliv) The Officer-in-Charge,
Plant Quarantine Station, Coimbatore,
(Tamil Nadu)
[Code No. 'C' (PPQS) 1 (44)]
- (xlv) The Officer-in-Charge,
Plant Quarantine Station, Haldia
(West Bengal)
[Code No. 'C' (PPQS) 1 (45)]
- (xlvi) The Officer-in-Charge,
Plant Quarantine Station, JNPT
Mumbai (Maharashtra)
[Code No. 'C' (PPQS) 1 (46)]
- (xlvii) The Officer-in-Charge,
Plant Quarantine Station, Krishnapattanam,
(Andhra Pradesh)
[Code No. 'C' (PPQS) 1 (47)]
- (xlviii) The Officer-in-Charge,
Plant Quarantine Station, ICD,
Tuglakabad (New Delhi)
[Code No. 'C' (PPQS) 1 (48)]
- (xlix) The Officer-in-Charge,
Plant Quarantine Station, Moreh,
(Imphal)
[Code No. 'C' (PPQS) 1 (49)]

UTPAL KUMAR SINGH
Joint Secretary

Note: The original notification was issued by Department of Agriculture & Cooperation vide notification no. 8-97/91-PP.I dated 26.11.1993 and subsequently modified vide notification no. 8-97/91-PP.I dated 25.11.97, notification no. 8-70/98-PP.I dated 30.09.1999, notification no. 8-86/2000-PP.I dated 06.11.2001, notification no. 8-86/2000-PP.I dated 06.05.2002, notification no. 8-86/2000-PP.I dated 30.05.2002, notification no. 8-33/2003-PP.I dated 7.6.2004, notification no.8-217/2004-PP.I(pt.) dated 11.05.05, notification no.8-217/2004-PP.I(pt.) dated 20.06.05, notification no.8-217/2004-PP.I(pt.) dated 8.12.05, notification no.8-217/2004-PP.I(pt.) dated 9.1.06, notification no.8-217/2004-PP.I(pt.) dated 26th December, 2011 and notification no. 8-217/2004-PP.I(pt.) dated 30th January, 2013.

MINISTRY OF SKILL DEVELOPMENT AND ENTREPRENEURSHIP**New Delhi-110001, the 15th July 2015**

No. H-22011/2/2014-SDE-I—In order to bring about uniformity and standardization in the implementation of various Skill Development Schemes by different Central Ministries / Departments, the Government of India has approved constitution of a Common Norm Committee as the apex body to update and suitably revise the Common Norms with the following composition:-

- (i) Secretary, Ministry of Skill Development and Entrepreneurship - Chairman
 - (ii) Director General, National Skill Development Agency (NSDA) - Member
 - (iii) MD & CEO, National Skill Development Corporation (NSDC) - Member
 - (iv) Representative not below the rank of Joint Secretary of Department of Expenditure, Ministry of Finance - Member
 - (v) Representative not below the rank of Joint Secretary of three ministries engaged in skill development programmes - Member
 - (vi) Principal Secretary in charge of skill development programme/mission in three states (on rotational basis) - Member
 - (vii) Joint Secretary, Ministry of Skill Development and Entrepreneurship - Member Secretary.
2. The Committee may invite Training Providers, Institute of Cost Accountants of India (ICAI) and other such experts and stakeholders as it may consider necessary in discharge of its functions.
 3. Terms of Reference of Common Norms Committee:-
 - (i) To harmonize the functioning of various skill development schemes and bring about uniformity and standardization among them.
 - (ii) To review/revise training cost for skill development programmes
 - (iii) To review/revise funding norms for skill development programmes
 - (iv) To review/revise categorization of courses/trade for training cost
 - (v) To designate an agency and approve the process of empanelment of Training Providers/Assessors at the national level through that agency and validate the process to be adopted by the State Government through that agency.
 4. The Committee will be empowered to amend/revise the Schedules of the Notification at Annexure-I.
 5. The Committee shall meet once every year or upon request of any Ministry/Department/other stakeholders. Provided that there shall be a minimum of six months between any two reviews of the Common Norms Committee. In its first meeting, the Common Norms Committee shall prepare a document specifying how the review, monitoring and adjustment will be done by the Committee, and what the review/evaluation will cover both qualitatively and quantitatively.
 6. Coverage: The above Common Norms will be applicable to the Skill Development Schemes of the Government of India being implemented through various Ministries/Departments. The State Governments are also expected to align their skill development schemes with the Common Norms so as to bring in uniformity and standardization.
 7. The provisions of this Notification will come into force from the date of its Notification. All the current projects underway would be completed as per the existing scheme and new batches would transform into new norms in every scheme and full transition would be effected from 1st April 2016.
 8. TA/ DA, Sitting Fee and other expenditure on account of the conduct of the Meetings as admissible under the rules shall be met out of the budget provision of the Ministry of Skill Development and Entrepreneurship.

Annexure-1

The Common Norms for Skill Development Schemes implemented by Government of India are hereby notified as under.

1. Skill Development

Skill Development, for the purpose of any Government scheme, is defined as any domain specific demand led skill training activity leading to employment or any outcome oriented activity that enables a participant to acquire a Skill, duly assessed and certified by an independent third party agency, and which enables him/her to get wage/self-employment leading to increased earnings, and/or improved working conditions, such as getting formal certification for hitherto informal skills, and/or moving from informal to formal sector jobs or pursue higher education/training and shall fall in the categories as per below:

- (i) For fresh entrants to the job market, the training duration to be minimum 200 hours (including practical and/or on the job training) except where prescribed by any Statute.
- (ii) In case of re-skilling or skill up-gradation of persons already engaged in an occupation, training programmes having a minimum duration of 80 hours of trainings including practical and/or on-the-job training.
- (iii) In the case of persons who have acquired Skill through informal, non-formal or experiential training in any vocational trade or craft, formal recognition and certification of such skill, if necessary after imparting bridge courses, to be treated as Skill Development.

Extension work, such as that carried out in the fields of agricultural and related activities, public health etc. would be recorded as an activity distinct from skill development. These would need to be programmes of durations of 32 hours or more, which leads to any economic or social benefit that may not be immediately measurable, and the Common cost norms would not be applicable to such extension work.

2. Skill Development Courses

Soft skills (which would include computer literacy, language and workplace inter-personal skills relevant for the sector/trade) would be an integral part of the skills training process and must be suitably integrated into the course modules of all the above-mentioned categories in section 1.

2.1. Alignment with the National Skills Qualifications Framework (NSQF)

All Skill Development courses offered under the scheme framework must conform to the National Skill Qualification Framework (NSQF) notified on 27.12.2013 which provides for transition of all training/educational programmes/courses so as to be NSQF compliant by the third anniversary date of the notification of the NSQF (i.e., after 27.12.2016). Government funding would not be available for any training or educational programme/course if it is not NSQF compliant. All training providers empanelled/approved by the various Ministries/Departments of the Government of India/State Governments/NSDA/NSDC/Sector Skill Councils would need to comply with this requirement of the NSQF failure to do which would lead to their de-listing by the concerned empanelling/approving authority.

3. Input Standards

3.1 While all training programmes funded under any scheme of the Government of India need to ensure that the outcomes are achieved as per these Common Norms, the following inputs may also be considered so as to ensure that adequate training infrastructure and capacity exists:

- (i) The overall training infrastructure specially the training aids and equipment being as per industry benchmarks.
- (ii) Trainers with suitable qualifications/experience being hired and each trainer to having undergone Training of Trainers (ToT).
- (iii) Industry relevant content, appropriate to the learning groups, and conforming to the requirements of NSQF/SDIS, being used.
- (iv) The student and trainer enrollment linked to Aadhar.
- (v) Assessments being video recorded if required.

4. Outcome of Skill Development

In addition to independent third party certification of the skilled individual, the outcomes from skill development programmes shall be as under:

4.1. For training of fresh entrants to the workforce, outcome shall be defined to include all of the following:

- (i) Employment (both wage and self) on an annual basis of at least 70% of the successfully certified trainees within three months of completion of training, with at least 50% of the trainees passing out being placed in wage employment;

Provided that the Ministries/Departments shall have freedom to alter the percentage of wage and self-employment based on specifics of the scheme that have been designed exclusively for self-employment/entrepreneurship, nature of activity, local economy, social conditions, etc.

- (ii) In case of wage employment and recognition of prior learning, candidates shall be placed in jobs that provide wages at least equal to minimum wages prescribed and such candidates should continue to be in jobs for a minimum period of three months, from the date of placement in the same or a higher level with the same or any other employer.
- (iii) In case of self-employment, candidates should have been employed gainfully in livelihood enhancement occupations which are evidenced in terms of trade license or setting up of an enterprise or becoming a member of a producer group or proof of additional earnings (bank statement) or any other suitable and verifiable document as prescribed by the respective Ministry/Department.

4.2 In case of re-skilling or skill up-gradation of persons already engaged in an occupation, at least 70% of such persons shall have an increase of at least 3% in remuneration within 14 months of completion of the skill development training.

4.3 In case of persons who have acquired skills, through informal, non-formal or experiential training in any vocational trade or craft, the formal recognition and certification of such skills, (after imparting bridge courses if necessary) that provide appropriate increase in wages in the skill category of the candidate for immediate and subsequent production cycle in case of wage employment or meets the conditions under 3.1 (iii) in case of self-employment will be treated as the outcome of this effort.

5. Funding Norms

Funding under skill development schemes is available for either of the following:

- (i) Meeting the capital expenditure for creation/up gradation of infrastructure for skill development training; and
- (ii) Meeting the recurring cost of training individual trainees including post-placement costs.

5.1 Rationalization of funding norms across Ministries/Departments shall enable them to monitor inputs and outcomes effectively. This shall also streamline the quality of training programmes delivered across Training Providers. Therefore, the funding norms as given in SCHEDULE-I apply to all existing and new skill development schemes that fund the training costs of individual trainees.

Provided that Skill Development schemes/components of schemes catering to the creation/ augmentation of infrastructure for training should continue functioning as per their existing norms as decided by the concerned Ministries/Departments.

5.2 Base costs Skill Development training costs under any scheme of the Government of India should be paid at the rates as given in SCHEDULE-I and as per SCHEDULE-IV in respect of each trainee who successfully completes the training and is certified:

5.3. The trades/job roles listed in category I, II, III of SCHEDULE-II shall be aligned to National Skill Qualification Framework (NSQF) as notified vide Cabinet Notification No.8/6/2013-Invt.dated 27.12.2013. These categories were classified based on the level of capital expenditure and operational expenditure for imparting a course. The Ministries/Departments are free to identify the courses which can be classified under any of these categories and in case of those that are not covered in this list, it can be done in consultation with the industry, and thereafter seeking the approval of the Common Norms Committee.

5.4 The hourly rates shall be inclusive of cost components such as:

- i. Mobilization of candidates
- ii. Post-placement tracking/monitoring
- iii. Curriculum
- iv. Placement expenses

- v. Trainers' training
- vi. Equipment
- vii. Amortization of Infrastructure costs/Utilities
- viii. Teaching Aid
- ix. Raw material
- x. Salary of trainers

5.5 Any deviation from these norms would be permissible after the approval of the Common Norms Committee.

5.6 Support for Boarding & Lodging: Certain additional cost heads would be permissible as per below:

(i) For :

- a) residential training and/or
- b) in respect of all skill development training programmes where trainees from Special Areas (as defined in SCHEDULE-I) are trained outside these Special Areas, and/or
- c) training programmes anywhere in the country where women trainees have to travel more than 80 kms from their homes to reach the nearest training centre and who are availing of boarding and lodging arrangements made for them.

Ministries/Departments shall reimburse Boarding & Lodging costs at actuals, subject to a maximum per trainee per day as per SCHEDULE-I. The List of categories of cities for this purpose is given at SCHEDULE-III.

(ii) Transport costs: For candidates from Special Areas undergoing training outside these Special Areas, to and fro transport cost as given in SCHEDULE-I shall be payable.

5.7 Pooling of Resources: In case of geographies/sectors and trainee groups where the training cost is significantly higher than the norms specified in this Notification, the Training Providers are free to pool additional funding support from State Governments, Corporates, Employers, Philanthropic Institutions etc. However such dovetailing of funds shall have the approval of the respective Ministries/Departments.

5.8 Refundable security deposit chargeable to all candidates: To ensure that candidates selected for the training programmes are undertaking the training with seriousness, and also to reduce the drop-out rates during the course of training, Training Providers shall charge a refundable security deposit of Rs. 1000/- per candidate (for NSQF Level 5 and above), Rs. 500/- (for NSQF Levels 3 & 4), and Rs. 250/- (for NSQF Levels 1 & 2) at the commencement of the training. The amount would be refunded to every candidate who completes the training programme and is successfully certified. Proof of refund should be taken from Training Provider along with claims of training costs.

5.9 Third Party Certification & Assessment Costs: To ensure independent and unbiased assessment and certification of trained candidates, costs for certification and assessment shall be payable to an independent third party including a university / institute authorized for conducting assessments and certifications. Third Party Certification & Assessment Costs to paid is given in SCHEDULE-I.

6. Fund Flow Mechanism : The payments to the Training Providers shall be based on the outcomes achieved, and shall be released in a manner as given in SCHEDULE-IV to implement the programmes effectively.

7. Monitoring & Tracking

7.1 Different skill training schemes shall have access to an open, common and extensible data standards to ensure that their IT systems can share data and do transactions in a scalable way. Standardized Application Program Interface (APIs) will also be defined for use in the Management Information System (MIS) of various skills training programs. Also, the Ministry of Skill Development and Entrepreneurship shall facilitate the development of an integrated and interactive MIS based on the above standards and APIs which should thereafter be available for use by all Ministries/Departments. This integrated MIS should serve as an aggregator from the ERP/MIS solutions of States and Ministries/Departments of specific programmes.

To facilitate this, an Agency designated by the Ministry of Skill Development and Entrepreneurship shall put in place a system for pulling in information from different data structures and provide necessary technical support to

the States/Ministries/Departments for the required integration and seamless exchange of information. Such an interactive MIS should facilitate deeper qualitative insights which could be used for policy formulation.

7.2 All the trainees trained under a project will be tracked for a period of one year in case of fresh entrants/ 14 months in case of reskilling and upskilling from the date of completion/certification of training with respect to their career progression, retention and other parameters. An Innovative system for tracking to be developed that shall use technology (web and mobile based) and has incentives for the trainees to respond to the tracking system.

The following shall apply to the Monitoring & Tracking Mechanism:

- (i) If particulars pertaining to 90% of the candidates in any batch are fed into the central MIS, then this would account for successful tracking of the candidates of that particular batch. Completion of this step would entitle the training provider to seek disbursement of one installment of the training cost from the concerned Ministry, which would be 10% of the training cost, or an amount of Rs 5,000/- per candidate, whichever is less.
- (ii) Each candidate would be tracked once every month for a period of one year in case of fresh entrants/ 14 months in case of reskilling and upskilling after she/he completes her/his training. The parameters on to be tracked would be as under:
 - a) Placement should be within 3 months of completion of training
 - b) Once placed, remuneration/incremental remuneration per month
 - c) Whether continues to work in the same or higher job role till end of the tracking period (whether with same or different employer)
 - d) If there are periods of unemployment between different jobs, duration of such gaps and reason for leaving earlier job without having a job in hand.
- (iii) All Government of India funded schemes for skill development will be evaluated every three years by the Ministry or Agency designated by the Ministry, and continuance of schemes not achieving the Outcomes shall be reviewed. Performance here would be defined in both quantitative (Outcomes met) as well as qualitative terms (feedback from candidates/ States/training providers, degree of NSQF compliance, etc.)

8. Advocacy and Awareness Building

While the Ministry of Skill Development & Entrepreneurship would design and launch a coordinated countrywide awareness campaign, each of the Ministries/Departments would devise a strategy to reach out to the respective target groups/beneficiaries, with special focus on sector/geographies which are in need of skill development initiatives. The sensitization of other stakeholders, particularly employer industry, will be an integral part of such campaign.

9. Empanelment of Training Providers/Assessors

All Central Government programmes/schemes will be implemented through Training Providers/Assessors that are empanelled at the national level or through a validated process at the state level. At the national level, a single process for empanelment of Training Providers/Assessors would be put in place. This process would factor in sector specific issues/nuances in consultation with the related Ministries/Departments and the Sector Skill Councils. States would get their process of empanelment of Training Providers/Assessors validated by a designated agency at the national level.

SCHEDULE-I

SCHEDULE OF COST

1. Base cost

1.1 The Base Cost for different Sectors will be as under.

- (i) Rs.38.50 per hour of training for trades/sectors listed in Category I of SCHEDULE-II.
- (ii) Rs.33/- per hour of training trades/sectors listed in Category II of SCHEDULE-II.
- (iii) Rs.27.50 per hour of training trades/sectors listed in Category III of SCHEDULE-II.

Costs would be subject to a periodic enhancement of 10% annually or as decided by the Common Norms Committee provided minimum duration between any 2 revisions would be at least six months.

2. Transport costs

2.1 For candidates from Special Areas undergoing training outside such Special Areas, to and fro transport cost as per actuals, subject to a maximum of Rs. 5000/- per trainee, shall be payable.

- (i) For :
- Residential trainings, and/or
 - in respect of all skill development training programmes where trainees from Special Areas (as defined herein) are trained outside these Special Areas, and/or
 - training programmes anywhere in the country where women trainees have to travel more than 80 kms from their homes to reach the nearest training centre and who are availing of boarding and lodging arrangements made for them.

Ministries will reimburse Boarding & Lodging Costs at actuals, subject to maximum per trainee per day as per table below:

i. X Category Cities/Town per day per Trainee	Rs.300/-
ii. Y Category Cities/Town per day per Trainee	Rs.250/-
iii. Z Category Cities/Towns per day per Trainee	Rs.200/-
iv. Rural Areas and any Area not notified as a municipal/town area	Rs.175/-

(The List of categories of cities is given at SCHEDULE-III)

4. Third Party Certification & Assessment Costs

4.1 To ensure independent and unbiased assessment and certification of trained candidates, costs for certification and assessment shall be payable to an independent third party authorized for conducting assessments and certifications. This amount shall be over and above the Base Cost, and shall range from Rs. 600/- to Rs. 1500/- per candidate as decided by individual Ministries/Departments.

5. Additional Support for Special Areas/ Groups

5.1 Training in Special Areas: Over and above the Base Cost, an additional amount equal to 10% of the Base Cost should be permitted for Skill Development programmes conducted in the North Eastern States, Jammu & Kashmir, Himachal Pradesh, Uttarakhand, Andaman & Nicobar Islands, Lakshadweep and districts affected by Left Wing Extremism (LWE) as identified by the M/O Home Affairs for the Integrated Action Plan (hereinafter referred to as "Special Areas").

5.2 Upon successful completion of non-residential skill training programmes, and after certification, all women candidates as well as persons with disability will be reimbursed the cost incurred in travelling to and from the training centre at the following rates:

Reimbursement of Conveyance Costs per month	Amount (in Rs.)
1) Training Centre within District of domicile	1000/-
2) Training Centre outside District of domicile	1500/-

5.3. Post Placement Support: In order to enable the newly skilled persons to settle into their new jobs/vocations, post placement support would be provided directly to the candidate at the rate of Rs 1500/- per month for the following durations:

Post Placement Support @ Rs 1500 per month	Men	Women
1) Placement within District of domicile	1 month	2 months
2) Placement outside District of domicile	2 months	3 months

5.4 Training for Persons with Disability (PwD): Over and above the Base Cost, an additional amount equal to 10% of the Base Cost should be provided for skill development programmes imparted to Persons with Disability (PwD). Provided that in the case of training of PwD in the Special Areas, the total cost permissible will be 120% of the Base Cost. At least 3% of total training done by every Ministry in each year shall be reserved for persons with disabilities, in trades as decided by the Department of Empowerment of Persons with Disabilities, Ministry of Social Justice & Empowerment in conjunction with the NSDA.

SCHEDULE -II

List of Trades as per the Cost Category Prescribed

S.No.	Industry/ Sectors	Sub-Sector/Trades		
		Category-I	Category-II	Category-III
1.	Agriculture	Farm Machinery, Animal Husbandry, Farm Mechanisation, Precision farming, Fisheries and allied Sector	Agriculture, Plantation, Horticulture Floriculture, Poultry	Apiculture, Home Décor Art - Bonsai, Flower, water fall; Minor Forest Product processing and value addition, Natural Fibre product processing and value addition (Sericulture, Jute, cotton, hemp and Diversified Products)
2.	Apparel	Garment Manufacturing, Fashion Design	Garment making	
3.	Automotive	Manufacturing, Automotive repair	Automotive Sales	
4.	Beauty & Wellness		Spa and Wellness, Beauty Culture & Hair Dressing, Naturopathy	Home Décor Art Mehandi
5.	BFSI			Banking, Accounting, Insurance
6.	Capital Goods	Fabrication, Electro- Mechanical		
7.	Chemicals	Manufacture of Chemicals and bio- Chemicals Plastics Processing	Fragrance Flavour & Perfume	
8.	Construction	Construction Equipment, Fabrication	Paint, Wood Works, Bamboo Fabrication, Carpentry	
9.	Education & Skill Development		Education, Skill Development	Counselling Skills
10.	Electronics	Electronics System Design, and Manufacture Refrigeration and Air Conditioning	Consumer Electronics - Sales & Service	
11.	Fast Moving Consumer Goods			Fast Moving Consumer Goods

12.	Food Processing Industries	Food Processing Sectors		Food Processing Sectors such as Dairy Products, Fruit & Vegetable Products, Cereals and Cereal Products, Food Grain (including milling), Edible Oil and Fats, Meat and Meat Products, Fish and Fish Products, Sweets and Confectionery, Bread and Bakery, Spices and Condiments, Beverage, Aerated Water and Soft Drinks, Packaging of food products
13.	Furniture & Furnishing		Furniture Making	
14.	Gems & Jewellery	Gems & Jewellery Manufacturing		Home Décor Art Jewellery
15.	Green Skills	Renewable energy		Rain Water Harvesting, Green retail, Allied green skills
16.	Handloom & Handicrafts	Handlooms	Brassware, Khadi, Carpet, Handicrafts	Handmade Paper and Paper Products, Home décor art Ceramic Painting, Home Décor Art Wood
17.	Healthcare	Medical and Nursing Healthcare - Machine Technician	Community Healthcare, Healthcare – Assistants, Preventive Healthcare (including Nutrition & Health Education and Health Counselling)	Allied Healthcare,
18.	Instrumentation	Process, Instrumentation		
19.	Iron & Steel	Foundry (including Sponge Iron)		
20.	IT-ITES		Information and Communication technology	
21.	Leather	Leather Footwear & Leather Sports Goods Manufacture		
22.	Life Science	Manufacturing of Pharmaceuticals	Pharmaceutical Sales	
23.	Logistics			Courier & Logistics
24.	Management			Materials Management, Business & Commerce

25.	Manufacturing	Production & Manufacturing		
26.	Marine Engineering	Marine Engineering, Ship Construction		
27.	Media & Entertainment	Animation	Production Support, Media, Printing	Film Production
28.	Mining	Mining		
29.	Music	Musical instrument Manufacture	Instrumental Music service	
30.	Plumbing	Plumbing		
31.	Power & Energy	Electrical Industrial Electrician	Domestic Electrician	
32.	Retail		Store Operation, FMCG	Retail
33.	Rubber	Manufacturing	Rubber, Nursery/ Plantation	
34.	Security		Security, fire & Safety Engineering	
35.	Sports	Sports Goods Manufacture	Sports service	
36.	Telecom	Network & Infrastructure, Management	Telecom Service Provider, Handset Sales & Service	
37.	Textiles	Spinning, Weaving, Textiles, Knitting & Processing for Cotton, other Manmade & Synthetic Fibres		
38.	Tourism & Hospitality	Food Production, Cooking	Hospitality, Service F&B & Housekeeping	Travel & Tourism
39	Traditional / conventional sectors	Glassware	Painting Toy Making	Clock and watch Repair
40.	Other Sectors	Any trade not covered in any of the categories above	Any trade not covered in any of the categories above	Any trade not covered in any of the categories above

SCHEDULE-III

Categorization of Indian Cities for Residential Training Costs

S.N.	State	Cities classified as "X" As "X"	Cities classified as "Y"
1	Andhra Pradesh		Vijayawada [Urban Agglomeration (UA)], Visakhapatnam (UA), Guntur
2	Assam		Guwahati (UA)
3	Bihar		Patna (UA)
4	Chandigarh		Chandigarh
5	Chhattisgarh		Durg - Bhilai Nagar (UA); Raipur (UA)
6	Delhi	Delhi NCR (UA)	
7	Gujarat		Ahmedabad (UA), Rajkot (UA), Jamnagar (UA), Vadodara
8	Haryana		Faridabad
9	J&K		Srinagar(UA), Jammu (UA)
10	Jharkhand		Jamshedpur (UA), Dhanbad
11	Karnataka	Bengaluru(UA)	Belgaum (UA), Hubli-Dharwar, Mangalore (UA)
12	Kerala		Kozhikode (UA), Kochi (UA), Thiruvananthapuram (UA)
13	Madhya Pradesh		Gwalior (UA), Indore (UA), Bhopal (UA), Jabalpur
14	Maharashtra	Greater Mumbai (UA)	Amravati, Nagpur (UA), Aurangabad (UA), Nasik (UA), Bhiwandi (UA), Pune (UA), Solapur, Kolhapur (UA)
15	Orissa		Cuttack (UA), Bhubaneswar (UA)
16	Puducherry		Puducherry (UA)
17	Punjab		Amritsar (UA), Jalandhar
18	Rajasthan		Bikaner, Jaipur, Jodhpur (UA), Kota
19	Tamil Nadu	Chennai	Salem (UA), Tiruppur (UA), Coimbatore (UA), Tiruchirapalli (UA), Madurai (UA)
20	Telangana	Hyderabad (UA)	Warangal (UA)
21	Uttar Pradesh		Moradabad, Meerut (UA), Ghaziabad, Aligarh, Agra (UA), Bareilly (UA), Lucknow (UA), Kanpur (UA),

22	Uttarakhand		Dehradun (UA)
23	West Bengal	Kolkata(UA)	Asansol (UA)

All other cities/towns in various States/UTs which are not covered by classification as “X” or “Y” are classified as “Z”

(The above categorization of cities/towns being adopted from the categorization of Indian cities/towns for payment of HRA as per 2008 - 6th Pay Commission)

SCHEDULE-IV

Fund Flow Mechanism

1. Schedule of release of payments: The funds should be released to the Training Providers as per the following schedule

Instalment	Percentage of total Cost	Output Parameter
1 st	30% less aggregate amount of refundable security deposit collected from each trainee	On Commencement of Training Batch
2 nd	30%	On utilisation of 70% of the first instalment and continuation of training with at least 70% of initial trainees continuing
3 rd	20% plus aggregate amount of refundable security deposit collected from each certified trainee	On Completion of training and certification of the successful trainees
4 th	20%	Outcomes based as under

2. The 20% of training cost which is linked to outcome (4th instalment) would be released to the Training Provider subject to the following:

- (i) Training Provider shall be eligible for 100% payment on for outcome achievement under para 4.1 (i), (ii) and (iii), 4.2 and 4.3 of Annexure-1.
- (ii) Training Provider will be paid on pro rata basis on achievement in any of the following:
 - a) 50-69% placement of those who have been certified with at least 50% minimum wage employment of the certified trainees within three months of completion of training in case of fresh entrants.
 - b) 50-69% of certified candidates with increase of at least 3% remuneration within 14 months in case of reskilling and up skilling.
 - c) 50-69% formal recognition and certification of experiential training in vocational trade or craft leading to appropriate increase in wages in the respective skill category of the candidate for immediate and subsequent production cycle or meets the conditions provided under Para 4.1 (iii) of Annexure - I in case of self-employment.
- (iii) Training provider will be asked to discontinue the training in that particular trade/centre and will be paid only on pro rata basis, if the outcome achievement over the period of one year in case of fresh entrants/ 14 months in case of reskilling and upskilling, is unsatisfactory as defined under:
 - a. 49% and below placement of those who have been certified with at least 50% minimum wage employment of the certified trainees within three months of completion of training in case of fresh entrants,
 - b. 49% and below number of certified candidates with increase of at least 3% in remuneration within 14 months in case of reskilling and up skilling.
 - c. 49% and below number of formal recognition and certification of experiential training in vocational trade or craft leading to appropriate increase in wages in the respective skill category of the candidate

for immediate and subsequent production cycle or meets the conditions provided under Para 4.1 (iii) of Annexure - I in case of self-employment. In the case of such disengagements, the Ministry concerned would take a prompt decision, after careful consideration of all related factors with respect to performance, whether to disengage such Training Provider from implementation of the Scheme/Project. The de-empanelment by concerned Ministry would be done for the trade under advice to the Ministry/agency designated by the Ministry for informing all other concerned Ministries. The training provider would get an opportunity to re-apply for empanelment for the training after a gap of at least one year from the date of notification of de-empanelment by the concerned Ministry.

- (iv) An amount equal to 10% of the total training cost, subject to a maximum of Rs. 5000 per candidate, shall be linked to and released only upon the particulars relating to at least 90% of the candidates of a batch being fed into the integrated MIS.

3. In order to encourage the Training Provider who exceed the prescribed outcomes, the following additional incentives should be provided:

- (i) For every candidate, where outcome achievement is above 70% to 85%, the Training Provider should be paid an additional amount of Rs.3000/- of the base cost per candidate.
- (ii) For every candidate where outcome achievement is above 85%, the Training Provider should be paid an additional amount of Rs. 5000/- of the base cost per candidate.

JYOTSNA SITLING

Joint Secretary

मुद्रण निदेशालय द्वारा, भारत सरकार मुद्रणालय, एन.आई.टी. फरीदाबाद में मुद्रित एवं प्रकाशन नियंत्रक, दिल्ली द्वारा प्रकाशित, 2015

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MINISTRY OF SKILL DEVELOPMENT AND ENTREPRENEURSHIP

COMMON NORMS NOTIFICATION **WITH AMENDMENTS MADE ON 20.05.2016**

No. H-22011/2/2014-SDE-I -- In order to bring about uniformity and standardization in the implementation of various Skill Development Schemes by different Central Ministries / Departments, the Government of India has approved constitution of a Common Norms Committee as the apex body to update and suitably revise the Common Norms with the following composition:-

- (i) Secretary, Ministry of Skill Development and Entrepreneurship – Chairman
 - (ii) Director General, National Skill Development Agency (NSDA) – Member
 - (iii) MD & CEO, National Skill Development Corporation (NSDC) – Member
 - (iv) Representative not below the rank of Joint Secretary of Department of Expenditure, Ministry of Finance – Member
 - (v) Representative not below the rank of Joint Secretary of three ministries engaged in skill development programmes – Member
 - (vi) Principal Secretary in charge of skill development programme/mission in three states (on rotational basis) – Member
 - (vii) Joint Secretary, Ministry of Skill Development and Entrepreneurship – Member Secretary.
2. The Committee may invite Training Providers, Institute of Cost Accountants of India (ICAI) and other such experts and stakeholders as it may consider necessary in discharge of its functions.
3. Terms of Reference of Common Norms Committee:-
- (i) To harmonize the functioning of various skill development schemes and bring about uniformity and standardization among them.
 - (ii) To review/revise training cost for skill development programmes
 - (iii) To review/revise funding norms for skill development programmes
 - (iv) To review/revise categorization of courses/trade for training cost
 - (v) To designate an agency and approve the process of empanelment of Training Providers/Assessors at the national level through that agency and validate the process to be adopted by the State Government through that agency.
4. The Committee will be empowered to amend/revise the Schedules of the Notification at Annexure-I.
5. The Committee shall meet once every year or upon request of any Ministry/ Department/other stakeholders. Provided that there shall be a minimum of six months between any two reviews of the Common Norms Committee. In its first meeting, the Common Norms Committee shall prepare a document specifying how the review, monitoring and adjustment will be done by the Committee, and what the review/evaluation will cover both qualitatively and quantitatively.

6. Coverage: The above Common Norms will be applicable to the Skill Development Schemes of the Government of India being implemented through various Ministries/Departments. The State Governments are also expected to align their skill development schemes with the Common Norms so as to bring in uniformity and standardization.
7. The provisions of this Notification will come into force from the date of its Notification. All the current projects underway would be completed as per existing scheme and new batches would transform into new norms in every scheme and full transition would be effected from 1st April 2016.
8. TA/DA, Sitting Fee and other expenditure on account of the conduct of the Meetings as admissible under the rules shall be met out of the budget provision of the Ministry of Skill Development and Entrepreneurship.

Annexure I

The Common Norms for Skill Development Schemes implemented by Government of India are hereby notified as under:

1. Skill Development

Skill Development, for the purpose of any Government scheme, is defined as any domain specific demand led skill training activity leading to employment or any outcome oriented activity that enables a participant to acquire a skill duly assessed and certified by an independent third party agency, and which enables him/her to get wage/self-employment leading to increased earnings, and/or improved working conditions, such as getting formal certification for hitherto informal skills, and/or moving from informal to formal sector jobs or pursue higher education/training and shall fall in the categories as per below:

- (i) For fresh entrants to the job market, the training duration to be minimum 200 hours (including practical and/or on the job training) except where prescribed by any Statute
- (ii) In case of re-skilling or skill up-gradation of persons already engaged in an occupation, training programmes having a minimum duration of 80 hours of trainings including practical and/or on-the-job training.
- (iii) In the case of persons who have acquired Skill through informal, non-formal or experiential training in any vocational trade or craft, formal recognition and certification of such skill, if necessary after imparting bridge courses, to be treated as Skill Development.

Extension work, such as that carried out in the fields of agricultural and related activities, public health etc, would be recorded as an activity distinct from skill development. These would need to be programmes of durations of 32 hours or more, which leads to any economic or social benefit that may not be immediately measurable, and the Common cost norms would not be applicable to such extension work.

2. Skill Development Courses

Soft skills (which would include computer literacy, language and workplace inter-personal skills relevant for the sector/trade) would be an integral part of the skills training process and must be suitably integrated into the course modules of all the above-mentioned categories in section 1.

2.1 Alignment with the National Skills Qualifications Framework (NSQF)

All Skill Development courses offered under the scheme framework must conform to the National Skill Qualification Framework (NSQF) notified on 27.12.2013 which provides for transition of all training/educational programmes/courses so as to be NSQF compliant by the third anniversary date of the notification of the NSQF (i.e., after 27.12.2016). Government funding would not be available for any training or educational programme/course if it is not NSQF compliant. All training providers empanelled/approved by the various Ministries/Departments of the Government of India/State Government/ NSDA/NSDC/Sector Skill Councils would need to comply with this requirement of the NSQF failure to do which would lead to their de-listing by the concerned empanelling/approving authority.

3. Input Standards

3.1 While all training programmes funded under any scheme of the Government of India need to ensure that the outcomes are achieved as per these Common Norms, the following inputs may also be considered so as to ensure that adequate training infrastructure and capacity exists:

- (i) The overall training infrastructure specially the training aids and equipment being as per industry benchmarks.
- (ii) Trainers with suitable qualifications/experience being hired and each trainer to having undergone Training of Trainers (ToT).
- (iii) Industry relevant content, appropriate to the learning groups, and conforming to the requirements of NSQF/SDIS, being used.
- (iv) The student and trainer enrollment linked to Aadhar.
- (v) Assessments being video recorded if required.

4. Outcome of Skill Development

In addition to independent third party certification of the skilled individual, the outcomes from skill development programmes shall be as under:

4.1 For training of fresh entrants to the workforce, outcome shall be defined to include all of the following:

- (i) Employment (both wage and self) on an annual basis of at least 70% of the successfully certified trainees within three months of completion of training, with at least 50% of the trainees passing out being placed in wage employment;

Provided that the Ministries/ Departments shall have freedom to alter the percentage of wage and self-employment based on specifics of the scheme that have been designed exclusively for self-employment/ entrepreneurship, nature of activity, local economy, social conditions, etc.

- 4
- (ii) In case of wage employment and recognition of prior learning, candidates shall be placed in jobs that provide wages at least equal to minimum wages prescribed and such candidates should continue to be in jobs for a minimum period of three month, from the date of placement in the same or a higher level with the same or any other employer.
 - (iii) In case of self-employment, candidates should have been employed gainfully in livelihood enhancement occupations which are evidenced in terms of trade license or setting up of an enterprise or becoming a member of a producer group or proof of additional earnings (bank statement) or any other suitable and verifiable document as prescribed by the respective Ministry/Department.

4.2 In case of re-skilling or skill up-gradation of persons already engaged in an occupation, at least 70% of such persons shall have an increase of at least 3% in remuneration within 14 months of completion of the skill development training.

4.3 In case of persons who have acquired skills, through informal, non-formal or experiential training in any vocational trade or craft, the formal recognition and certification of such skills, (after imparting bridge courses if necessary) that provide appropriate increase in wages in the skill category of the candidate for immediate and subsequent production cycle in case of wage employment or meets the conditions in case of self-employment will be treated as the outcome of this effort.

5. Funding Norms

Funding under skill development schemes is available for either of the following:

- (i) Meeting the capital expenditure for creation/up gradation of infrastructure for skill development training; and
- (ii) Meeting the recurring cost of training individual trainees including post-placement costs.

5.1 Rationalization of funding norms across Ministries/Departments shall enable them to monitor inputs and outcomes effectively. This shall also streamline the quality of training programmes delivered across Training Providers. Therefore, the funding norms as given in SCHEDULE-I apply to all existing and new skill development schemes that fund the training costs of individual trainees.

Provided that Skill Development schemes/components of schemes catering to the creation/ augmentation of infrastructure for training should continue functioning as per their existing norms as decided by the concerned Ministries/Departments.

5.2 Base costs Skill Development training costs under any scheme of the Government of India should be paid at the rates as given in SCHEDULE-I and as per SCHEDULE-IV in respect of each trainee who successfully completes the training and is certified.

5.3 The trades/job roles listed in category I, II, III of schedule-II shall be aligned to National Skill Qualification Framework(NSQF) as notified vide Cabinet Notification No.8/6/2013-Invt. dated 27.12.2013. These categories were classified based on the level of capital expenditure and

operational expenditure for imparting a course. The Ministries/Departments are free to identify the courses which can be classified under any of these categories and in case of those that are not covered in this list, it can be done in consultation with the industry, and thereafter seeking the approval of the Common Norms Committee.

5.4 The hourly rates shall be inclusive of cost components such as:

- (i) Mobilization of candidates
- (ii) Post-placement tracking/monitoring
- (iii) Curriculum
- (iv) Placement expenses
- (v) Trainers' training
- (vi) Equipment
- (vii) Amortization of Infrastructure costs/Utilities
- (viii) Teaching Aid
- (ix) Raw material
- (x) Salary of trainers

5.5 Any deviation from these norms would be permissible after the approval of the Common Norms Committee.

5.6 Support for Boarding & Lodging:

Certain additional cost heads would be permissible as per below:

(i) For:

- a) Residential training and/or
- b) in respect of all skill development training programmes where trainees from Special Areas (as defined in SCHEDULE-I) are trained outside these Special Areas, and/or
- c) training programmes anywhere in the country where women trainees have to travel more than 80 kms from their homes to reach the nearest training centre and who are availing of boarding and lodging arrangements made for them.

Ministries/ Departments shall reimburse Boarding & Loading costs at actuals, subject to a maximum per trainee per day as per SCHEDULE-I. The List of categories of cities for this purpose is given at SCHEDULE-III.

- (ii) Transport costs: For candidates from Special Areas undergoing training outside these Special Areas, to and fro transport cost as given in SCHEDULE-I shall be payable.

5.7 Pooling of Resources: In case of geographies/sectors and trainee groups where the training cost is significantly higher than the norms specified in this Notification, the Training Providers are free to pool additional funding support from State Governments, Corporates, Employers, Philanthropic Institutions etc. However such dovetailing of funds shall have the approval of the respective Ministries/Departments.

5.8 Refundable security deposit chargeable to all Candidates: To ensure that candidates selected for the training programmes are undertaking the training with seriousness, and also to reduce the drop-out rates during the course of training, Training Providers shall charge a refundable security deposit of Rs. 1000/- per candidate (for NSQF Level 5 and above), Rs. 500/- (for NSQF Levels 3 & 4), and Rs. 250/- (for NSQF Levels 1&2) at the commencement of the training. The amount would be refunded to every candidate who completes the training programme and is successfully certified. Proof of refund should be taken from Training Provider along with claims of training costs.

5.9 Third Party Certification & Assessment Costs: To ensure independent and unbiased assessment and certification of trained candidates, costs for certification and assessment shall be payable to an independent third party including a university / institute authorized for conducting assessments and certifications. Third Party Certification & Assessment Costs to paid is given in SCHEDULE-I.

6. Fund Flow Mechanism

The Payments to the Training Providers shall be based on the outcomes achieved, and shall be released in a manner as given in SCHEDULE-IV to implement the programmes effectively.

7. Monitoring & Tracking

7.1 Different skill training schemes shall have access to an open, common and extensible data standards to ensure that their IT systems can share data and do transactions in a scalable way. Standardized Application Program Interface (APIs) will also be defined for use in the Management Information System (MIS) of various skills training programs. Also, the Ministry of Skill Development and Entrepreneurship shall facilitate the development of an integrated and interactive MIS based on the above standards and APIS which should thereafter be available for use by all Ministries/Departments. This integrated MIS should serve as an aggregator from the ERP/MIS solutions of States and Ministries/Departments of specific programmes.

To facilitate this, an Agency designated by the Ministry of Skill Development and Entrepreneurship shall put in place a system for pulling in information from different data structures and provide necessary technical support to the States/Ministries/Departments for the required integration and seamless exchange of information. Such an interactive MIS should facilitate deeper qualitative insights which could be used for policy formulation.

7.2 All the trainees trained under a project will be tracked for a period of one year in case of fresh entrants/ 14 months in case of reskilling and upskilling from the date of completion/certification of training with respect to their career progression, retention and other parameters. An Innovative system for tracking to be developed that shall use technology (web and mobile based) and has incentives for the trainees to respond to the tracking system.

The following shall apply to the Monitoring & Tracking Mechanism:

- (i) If particulars pertaining to 90% of the candidate in any batch are fed into the central MIS, then this would account for successful tracking of the candidates of that particular batch. Completion of this step would entitle the training provider to seek disbursement of one installment of the training cost from the concerned Ministry,

which would be 10% of the training cost, or an amount of Rs 5,000/- per candidate, whichever is less.

- (ii) Each candidate would be tracked once every month for a period of one year in case of fresh entrants/ 14 months in case of reskilling and upskilling after she/he completes her/his training. The parameters on to be tracked would be as under:
 - a) Placement should be within 3 months of completion of training
 - b) Once placed, remuneration/ incremental remuneration per month
 - c) Whether continues to work in the same or higher job role till end of the tracking period (whether with same or different employer)
 - d) If there are periods of unemployment between different jobs, duration of such gaps and reason for leaving earlier job without having a job in hand.
- (iii) All Government of India funded schemes for skill development will be evaluated every three years by the Ministry or Agency designated by the Ministry, and continuance of schemes not achieving the Outcomes shall be reviewed. Performance here would be defined in both quantitative (Outcomes met) as well as qualitative terms (feedback from candidates/ States/ training providers, degree of NSQF compliance, etc.)

8. Advocacy and Awareness Building

While the Ministry of Skill Development & Entrepreneurship would design and launch a coordinated countrywide awareness campaign, each of the Ministries/Departments would devise a strategy to reach out to the respective target groups/beneficiaries, with special focus on sector/geographies which are in need of skill development initiatives. The sensitization of other stakeholders, particularly employer industry, will be an integral part of such campaign.

9. Empanelment of Training Providers/Assessors

All Central Government programmes/schemes will be implemented through Training Providers/Assessors that are empanelled at the national level or through a validate process at the state level. At the national level, a single process for empanelment of Training Providers/Assessors would be put in place. This process would factor in sector specific issues/nuances in consultation with the related Ministries/Departments and Sector Skill Councils. States would get their process of empanelment of Training Providers/Assessors validated by a designated agency at the national level.

SCHEDULE OF COST

1. Base Cost

1.1 The Base Cost for different Sectors will be as under:

- (i) Rs. 38.50 per hour of training for trades/sectors listed in Category I of SCHEDULE-II.
- (ii) Rs. 33/- per hour of training trades/sectors listed in Category II of SCHEDULE-II.
- (iii) Rs. 27.50 per hour of training trades/sectors listed in Category III of SCHEDULE-II.

Costs would be subject to a periodic enhancement of 10% annually or as decided by the Common Norms Committee provided minimum duration between any 2 revisions would be at least six months.

1.2 With effect from 01.04.2016, the Base cost for different Sectors is increased at 5%, rounded off to the next 10 paise, of the amounts mentioned in Clause 1.1 of SCHEDULE-I..

2. Transport Costs

2.1 For candidates from Special Areas, as defined in Clause 5.1 of Schedule I'', undergoing training outside district of such Special Areas, to and fro transport cost as per actuals, subject to a maximum of Rs. 5000/- per trainee, *may* be payable.

(i) For:

- a) Residential trainings, and/or
- b) In respect of all skill development training programmes where trainees from Special Areas (as defined herein) are trained outside these Special Areas, and/or
- c) Training programmes anywhere in the country where women trainees have to travel more than 80 kms from their homes to reach the nearest training centre and who are availing of boarding and lodging arrangements made for them.

3. Boarding & Lodging Costs

Ministries will reimburse Boarding & Lodging Costs up to a maximum per trainee per day as per table below:

i. X Category Cities/Town per day per Trainee	Rs.300/-
ii. Y Category Cities/Town per day per Trainee	Rs.250/-
iii. Z Category Cities/Town per day per Trainee	Rs.200/-
iv. Rural Areas and any Area not notified as a municipal/town area	Rs. 175/-

(The List of categories of cities is given at SCHEDULE-III)

4. Third Party Certification & Assessment Costs

4.1 To ensure independent and unbiased assessment and certification of trained candidates, costs for certification and assessment shall be payable to an independent third party authorized for conducting assessments and certifications. This amount shall be over and above

the Base Cost, and shall range from Rs. 600/- to Rs. 1500/- per candidate as decided by individual Ministries/Departments.

5. Additional Support for Special Areas/ Groups

5.1 Training in Special Areas: Over and above the Base Cost, an additional amount equal to 10% of the Base Cost should be permitted for Skill Development programmes conducted in the North Eastern States, Jammu & Kashmir, Himachal Pradesh, Uttarakhand, Andaman & Nikobar Islands, Lakshadweep and districts affected by Left Wing Extremism (LWE) as identified by the M/O Home Affairs for the Integrated Action Plan (hereinafter referred to as "Special Areas").

5.2 Upon successful completion of non-residential skill training programmes, and after certification, all **Persons Below Poverty Line (BPL), persons with disability and women candidates (hereinafter referred to as "Special Groups")** will be reimbursed the cost incurred in travelling to and from the training centre at the following rates:

Reimbursement of Conveyance Costs per month	Amount (in Rs.)
1) Training Centre within District of domicile	1000/-
2) Training Centre outside District of domicile	1500/-

5.3 Post Placement Support for **Special Areas/Groups for wage employment**: In order to enable the newly skilled persons from **Special Areas/Groups** to settle into their jobs/vocations **under wage employment**, post placement support would be provided directly to the candidate at the rate of Rs. 1500/- per month for the following durations:

Post Placement Support @ Rs. 1500/- per month	Men	Women
1) Placement within District of domicile	1 month	2 months
2) Placement outside District of domicile	2 months	3 months

provided the placement is made within three months of certification and after post validation of placement of the candidate.

5.4 Training for Persons with Disability (PwD): Over and above the Base Cost, an additional amount equal to 10% of the Base Cost should be provided for skill development programmes imparted to Persons with Disability (PwD). Provided that in the case of training of PwD in the Special Areas, the total cost permissible will be 120% of the Base Cost. At least 3% of total training done by every Ministry in each year shall be reserved for persons with disabilities, in trades as decided by the Department of Empowerment of Persons with Disabilities, Ministry of Social Justice & Empowerment in conjunction with the NSDA.

SCHEDULE -II

List of Trades as per the Cost Category Prescribed

S.No.	Industry/ Sectors	Sub-Sector/Trades		
		Category-I	Category-II	Category-III
1.	Agriculture	Farm Machinery, Animal Husbandry, Farm Mechanisation, Precision farming, Fisheries and allied Sector	Agriculture, Plantation, Horticulture Floriculture, Poultry	Apiculture, Home Décor Art - Bonsai, Flower, water fall; Minor Forest Product processing and value addition, Natural Fibre product processing and value addition (Sericulture, Jute, cotton, hemp and Diversified Products)
2.	Apparel	Garment Manufacturing, Fashion Design	Garment making	
3.	Automotive	Manufacturing, Automotive repair	Automotive Sales	
4.	Beauty & Wellness		Spa and Wellness, Beauty Culture & Hair Dressing, Naturopathy	Home Décor Art Mehendi
5.	BFSI			Banking, Accounting, Insurance
6.	Capital Goods	Fabrication, Electro- Mechanical		
7.	Chemicals	Manufacture of Chemicals and bio- Chemicals Plastics Processing	Fragrance Flavour & Perfume	
8.	Construction	Construction Equipment, Fabrication	Paint, Wood Works, Bamboo Fabrication, Carpentry	
9.	Education & Skill Development		Education, Skill Development	Counselling Skills
10.	Electronics	Electronics System Design, and Manufacture Refrigeration and Air Conditioning	Consumer Electronics - Sales & Service	
11.	Fast Moving Consumer Goods			Fast Moving Consumer Goods

12.	Food Processing Industries	Food Processing Sectors		Food Processing Sectors such as Dairy Products, Fruit & Vegetable Products, Cereals and Cereal Products, Food Grain (including milling), Edible Oil and Fats, Meat and Meat Products, Fish and Fish Products, Sweets and Confectionery, Bread and Bakery, Spices and Condiments, Beverage, Aerated Water and Soft Drinks, Packaging of food products
13.	Furniture & Furnishing		Furniture Making	
14.	Gems & Jewellery	Gems & Jewellery Manufacturing		Home Décor Art Jewellery
15.	Green Skills	Renewable energy		Rain Water Harvesting, Green retail, Allied green skills
16.	Handloom & Handicrafts	Handlooms	Brassware, Khadi, Carpet, Handicrafts	Handmade Paper and Paper Products, Home décor art Ceramic Painting, Home Décor Art Wood
17.	Healthcare	Medical and Nursing Healthcare - Machine Technician	Community Healthcare, Healthcare - Assistants, Preventive Healthcare (including Nutrition & Health Education and Health Counselling)	Allied Healthcare,
18.	Instrumentation	Process, Instrumentation		
19.	Iron & Steel	Foundry (including Sponge Iron)		
20.	IT-ITES		Information and Communication technology	
21.	Leather	Leather Footwear & Leather Sports Goods Manufacture		
22.	Life Science	Manufacturing of Pharmaceuticals	Pharmaceutical Sales	
23.	Logistics			Courier & Logistics
24.	Management			Materials Management, Business & Commerce

25.	Manufacturing	Production & Manufacturing		
26.	Marine Engineering	Marine Engineering, Ship Construction		
27.	Media & Entertainment	Animation	Production Support, Media, Printing	Film Production
28.	Mining	Mining		
29.	Music	Musical instrument Manufacture	Instrumental Music service	
30.	Plumbing	Plumbing		
31.	Power & Energy	Electrical Industrial Electrician	Domestic Electrician	
32.	Retail		Store Operation, FMCG	Retail
33.	Rubber	Manufacturing	Rubber, Nursery/ Plantation	
34.	Security		Security, fire & Safety Engineering	
35.	Sports	Sports Goods Manufacture	Sports service	
36.	Telecom	Network & Infrastructure, Management	Telecom Service Provider, Handset Sales & Service	
37.	Textiles	Spinning, Weaving, Textiles, Knitting & Processing for Cotton, other Manmade & Synthetic Fibres		
38.	Tourism & Hospitality	Food Production, Cooking	Hospitality, F&B Service & Housekeeping	Travel & Tourism
39.	Traditional / conventional sectors	Glassware	Painting Toy Making	Clock and watch Repair
40.	Other Sectors	Any trade not covered in any of the categories above	Any trade not covered in any of the categories above	Any trade not covered in any of the categories above

SCHEDULE-III

Categorization of Indian Cities for Residential Training Costs

S.N.	State	Cities classified as "X" As "X"	Cities classified as "Y"
1	Andhra Pradesh		Vijayawada [Urban Agglomeration (UA)], Visakhapatnam (UA), Guntur
2	Assam		Guwahati (UA)
3	Bihar		Patna (UA)
4	Chandigarh		Chandigarh
5	Chhattisgarh		Durg - Bhilai Nagar (UA); Raipur (UA)
6	Delhi	Delhi NCR (UA)	
7	Gujarat		Ahmedabad (UA), Rajkot (UA), Jamnagar (UA), Vadodara
8	Haryana		Faridabad
9	J&K		Srinagar (UA), Jammu (UA)
10	Jharkhand		Jamshedpur (UA), Dhanbad
11	Karnataka	Bengaluru (UA)	Belgaum (UA), Hubli-Dharwar, Mangalore (UA)
12	Kerala		Kozhikode (UA), Kochi (UA), Thiruvananthapuram (UA)
13	Madhya Pradesh		Gwalior (UA), Indore (UA), Bhopal (UA), Jabalpur
14	Maharashtra	Greater Mumbai (UA)	Amravati, Nagpur (UA), Aurangabad (UA), Nasik (UA), Bhiwandi (UA), Pune (UA), Solapur, Kolhapur (UA)
15	Orissa		Cuttack (UA), Bhubaneswar (UA)
16	Puducherry		Puducherry (UA)
17	Punjab		Amritsar (UA), Jalandhar
18	Rajasthan		Bikaner, Jaipur, Jodhpur (UA), Kota
19	Tamil Nadu	Chennai	Salem (UA), Tiruppur (UA), Coimbatore (UA), Tiruchirapalli (UA), Madurai (UA)
20	Telangana	Hyderabad (UA)	Warangal (UA)
21	Uttar Pradesh		Moradabad, Meerut (UA), Ghaziabad, Aligarh, Agra (UA), Bareilly (UA), Lucknow (UA), Kanpur (UA),

22	Uttarakhand		Dehradun(UA)
23	West Bengal	Kolkata(U/A)	Asansol (UA)

All other cities/towns in various States/UTs which are not covered by classification as "X" or "Y" are classified as "Z"

(The above categorization of cities/towns being adopted from the categorization of Indian cities/towns for payment of HRA as per 2008-6th Pay Commission)

SCHEDULE- IV

Fund Flow Mechanism

1. Schedule of release of payments:

1.1 The release of funds could be batch wise or as per project MoU as per the guidelines of scheme in question. The funds should be released to the Training Providers as per the following schedule:

Instalment	Percentage of Total Cost	Output Parameters
1 st	30%	On commencement of Training Batch against validated candidates
2 nd	50%	On successful certification of the trainees
3 rd	20%	Outcomes based on Placements as under

1.2 The above payment schedule is subject to the following:

- (i) It is applicable only for fresh training.
- (ii) The second tranche of 50 % will be calculated on the basis of total cumulative 80% payment for candidates actually certified.
- (iii) The dropouts will not be considered for 2nd and 3rd tranche. The 1st tranche payment of the dropouts is adjusted in next tranche.

2. The 20% of training cost which is linked to outcome (3rd instalment) would be released to the Training Provider subject to the following:

- (i) Training Provider shall be eligible for 100% payment on for outcome achievement under para 4.1 (i), (ii) and (iii), 4.2 and 4.3 of Annexure-1.
- (ii) Training Provider will be paid on pro rata basis on achievement of 50-69% placement of those who have been certified with at least 50% minimum wage employment of the certified trainees within three months of completion of training in case of fresh entrants.

(iii) Training provider will be asked to discontinue the training in that particular trade/centre and will be paid only on pro rata basis, if the outcome achievement over the period of one year in case of fresh entrants/ 14 months in case of reskilling and upskilling, is unsatisfactory as defined under:

- a. 49% and below placement of those who have been certified with at least 50% minimum wage employment of the certified trainees within three months of completion of training in case of fresh entrants.
- b. 49% and below number of certified candidates with increase of at least 3% in remuneration within 14 months in case of reskilling and upskilling.
- c. 49% and below number of formal recognition and certification of experiential training in vocational trade or craft leading to appropriate increase in wages in the respective skill category of the candidate for immediate and subsequent production cycle or meets the conditions provided under Para 4.1 (iii) of Annexure – I in case of self-employment. In the case of such disengagements, the Ministry concerned would take a prompt decision, after careful consideration of all related factors with respect to performance, whether to disengage such Training Provider from implementation of the Scheme/Project. The de-empanelment by concerned Ministry would be done for the trade under advice to the Ministry/agency designated by the Ministry for informing all other concerned Ministries. The training provider would get an opportunity to re-apply for empanelment for the training after a gap of at least one year from the date of notification of de-empanelment by the concerned Ministry.

3. In order to encourage the Training Provider who exceed the prescribed outcomes, the following additional incentives should be provided:

- (i) For every candidate, where outcome achievement is above 70% to 85%, the Training Provider should be paid an additional amount of Rs.3000/- of the base cost per candidate.
- (ii) For every candidate where outcome achievement is above 85%, the Training Provider should be paid an additional amount of Rs. 5000/- of the base cost per candidate.

MINISTRY OF FINANCE
(Department of Economic Affairs)
NOTIFICATION

New Delhi, the 27th December, 2013

No. 8/6/2013-Invt.—In pursuance of the decision of the Cabinet Committee on Skill Development in its meeting held on 19th December, 2013, the National Skill Qualification Framework (NSQF) is hereby notified as per the following details:

1. DEFINITIONS APPLICABLE TO NSQF

- i. **“Competence”** means the proven ability to use acquired knowledge, skills and personal and social abilities, in discharge of responsibility roles. It is the ability to do a job well.
- ii. **“Credit”** is recognition that a learner has successfully completed a prior course of learning, corresponding to a qualification at a given level.
- iii. **“Knowledge”** means the outcome of the assimilation of information through learning. Knowledge is the body of facts, principles, theories and practices that is related to a field of work or study. Knowledge is described as theoretical and/or factual.
- iv. **“Learner”** refers to an individual undergoing skill development training, whether in a formal or informal setting.
- v. **“Learning Outcomes”** represent what a learner knows, understands and is able to do on completion of a learning process, and which would be expressed in terms of knowledge, skills and competence.;
- vi. **“National Skills Qualifications Committee”** or **“NSQC”** refers to the Committee set up in accordance para 14. (i).
- vii. **“Qualification”** means a formal outcome of an assessment and validation process which is obtained when a competent body determines that an individual has achieved learning outcomes to given standards.
- viii. **“Recognition of Prior Learning”** or **“RPL”** is the process of recognising previous learning, often experiential, towards gaining a qualification
- ix. **“Sector”** means a grouping of professional activities on the basis of their main economic function, product, service or technology
- x. **“Skills”** means the ability to apply knowledge and use know-how to complete tasks and solve problems. Skills are described as cognitive (involving the use of logical, intuitive and creative thinking) or practical (involving manual dexterity and the use of methods, materials, tools and instruments);
- xi. **“Trainer”** means someone who trains, instructs, teaches or otherwise enables the learner(s) to acquire the appropriate knowledge and skills.
- xii. **“Training Provider”**, **“Institute”** and **“Institution”** refer to any organisation providing knowledge and skills to learners.

2. WHAT IS THE NATIONAL SKILLS QUALIFICATION FRAMEWORK?

- i. The National Skills Qualification Framework (NSQF) organizes qualifications according to a series of levels of knowledge, skills and aptitude. These levels are defined in terms of learning outcomes which the learner must possess regardless of whether they were acquired through formal, non-formal or informal learning. In that sense, the

NSQF is a quality assurance framework. It is, therefore, a nationally integrated education and competency based skill framework that will provide for multiple pathways, horizontal as well as vertical, both within vocational education and vocational training and among vocational education, vocational training, general education and technical education, thus linking one level of learning to another higher level. This will enable a person to acquire desired competency levels, transit to the job market and, at an opportune time, return for acquiring additional skills to further upgrade their competencies.

ii. The key elements of the NSQF provide:

- a. national principles for recognising skill proficiency and competencies at different levels leading to international equivalency
- b. multiple entry and exit between vocational education, skill training, general education, technical education and job markets
- c. progression pathways defined within skill qualification framework
- d. opportunities to promote lifelong learning and skill development
- e. partnership with industry/employers
- f. a transparent, accountable and credible mechanism for skill development across various sectors
- g. increased potential for recognition of prior learning

iii. The qualification framework is beneficial to schools, vocational education and training providers, higher education institutes, accrediting authorities as well as industry and its representative bodies, unions, professional associations and licensing authorities. The biggest beneficiaries of such a framework are the learners who can judge the relative value of a qualification at a particular level on the framework and make informed decisions about their career progression paths.

3. INTERNATIONAL EXPERIENCE WITH QUALIFICATION FRAMEWORKS

i. A paradigm shift from education based on inputs towards education based on learning outcomes is taking place. Outcomes-based learning is a widely used term. The shift to learning outcomes is important for a number of reasons:

- a. It shifts focus from providers to users of education and training.
- b. By explaining what a learner is expected to know, understand or be able to do at the end of a learning process, individuals are better able to see what is offered in a particular course and how this links with other courses and programs.
- c. It increases transparency and strengthens accountability of qualifications – for the benefit of individual learners and employers.

The vast majority of the world's industrialized and transition countries are reforming their qualifications, while at the same time developing frameworks to relate these qualifications to each other and to generally reflect new demands in society and the labour market. The development of these systems is often linked to changes in higher education, technical and vocational education and training (TVET) and lifelong learning.

ii. Many countries worldwide are in the process of introducing qualification frameworks. Though the theoretical principles of all frameworks remain largely similar, the objectives of launching the frameworks vary. Whether the emphasis is on increasing the relevance and flexibility of education and training programs, easing recognition of prior learning, enhancing lifelong learning, improving the transparency of qualification systems, creating possibilities for credit accumulation and transfer, or developing quality assurance systems, Governments are increasingly turning to qualifications frameworks as a policy tool for reform. In some cases national developments are propelled by the emergence of regional frameworks (such as the European Qualification Framework). In many cases the implementation of qualification frameworks has been widely supported by international organizations and is often linked to aid money and even loans. There is increasing activity from international agencies in the area of qualifications frameworks: the Organisation for Economic Cooperation and Development (OECD), the International Labour Office (ILO), the World Bank (WB) and the European Union (EU) have current qualification framework projects.

4. BACKGROUND OF DEVELOPMENT OF QUALIFICATION FRAMEWORK IN INDIA

i. Through the National Policy on Skill Development, 2009, India recognized the need for the development of a national qualification framework that would transcend both general education and vocational education and training. The Policy envisioned that the framework will stimulate and support reforms in skills development and facilitate establishment of nationally standardized and acceptable, and internationally comparable qualifications. In the absence of an organization at the Central level to develop such a framework, individual Ministries started working on development of the framework, which were to subsequently be subsumed in the National framework, when available. The Ministry of Labour and Employment developed the National Vocational Qualifications Framework (NVQF) and the Ministry of Human Resource Development developed the National Vocational Educational Qualification Framework (NVEQF). The Ministry of Human Resource Development also launched a pilot of the NVEQF in Haryana at the secondary school level.

- ii. Realizing the need to have a unified framework, an Inter-Ministerial Committee was formed by the Cabinet Secretariat to use the work already done by the two Ministries as the foundation of the National Skills Qualification Framework. With the formation of the National Skill Development Agency, the mandate to anchor and operationalize the NSQF to ensure that quality and standards meet sector specific requirements was transferred to the Agency.

5. NEED FOR QUALIFICATION FRAMEWORK IN INDIA

- i. In India, general education and vocational education & training have been operating as separate verticals, with very little interaction between the two. This has led to hesitation amongst the youth in opting for vocational education and training as it is presumed that this avenue would preclude the concerned individual from being able to acquire higher degrees and qualifications. In order to facilitate mobility from vocational to general education, and vice-versa, a qualification framework for India, i.e. the National Skill Qualification Framework (NSQF) will help make qualifications more understandable and transparent.
- ii. The need for the NSQF arises due to the following additional reasons:
- Till now the focus of education and training has been almost entirely on inputs. The NSQF is based on an **outcomes-based approach**, and each level in the NSQF is defined and described in terms of competency levels that would need to be achieved. Job roles corresponding to each of these competency levels would be ascertained with the involvement of industry, through the respective Sector Skill Councils (SSCs).
 - Pathways of learning and progression, especially on the vocational education and training front, are generally unclear or absent. There is no clear provision for vertical or horizontal mobility. The NSQF will **make the progression pathways transparent** so that institutes, students and employers are clear as to what they can or cannot do after pursuing a particular course and address the issues of inequity and disparity in qualifications
 - There is lack of uniformity in the outcomes associated with different qualifications across institutions, each with its own duration, curriculum, entry requirements as well as title. This often leads to problems in **establishing equivalence of certificates/diplomas/degrees** in different parts of the country, which in turn impacts the employability and mobility of students
 - The negative perception associated with vocational education and training can be significantly removed by the **development of quality qualifications that also permit acquisition of higher qualifications**, including degrees and doctorates
 - There exist a large section of people who have acquired skills in the informal sector but who do not have the necessary formal certifications to attest to their skills. As a competency-based and outcomes based qualification framework, NSQF will facilitate **Recognition of Prior Learning (RPL)** that is largely lacking in the present education and training scenario
 - Majority of Indian qualifications are not recognized internationally and vice-versa. This creates a problem for the students and workers as their international mobility is adversely affected and they often have to undergo a course again to get a qualification that is recognized in the host country. The NSQF will also help **alignment of Indian qualifications to international qualifications in accordance with relevant bilateral and multilateral agreements**. Many countries are already in the process of aligning their qualifications to international qualifications through qualification frameworks
 - The **credit accumulation and transfer system** that will be integrated in the NSQF will allow people to move between education, vocational training and work at different stages in their lives according to their needs and convenience. It will be possible for a student to leave education domain, get some practical experience in industry and return to studies to gain qualifications to progress higher in his chosen career

6. OBJECTIVES OF NSQF

- i. The objectives of the NSQF are to provide a framework that:
- Accommodates the diversity of the Indian education and training systems
 - Allows the development of a set of qualifications for each level, based on outcomes which are accepted across the nation
 - Provides structure for development and maintenance of progression pathways which provide access to qualifications and assist people to move easily and readily between different education and training sectors and between those sectors and the labour market
 - Gives individuals an option to progress through education and training and gain recognition for their prior learning and experiences
 - Underpins national regulatory and quality assurance arrangements for education and training
 - Supports and enhances the national and international mobility of persons with NSQF-compliant qualifications through increased recognition of the value and comparability of Indian qualifications
- ii. **The NSQF is a quality assurance framework** — it facilitates the awarding of credit and supports credit transfer and progression routes within the Indian education and training system. It seeks to help everyone involved in education and training to make comparisons between qualifications offered in the country, and to understand how these relate to each other.

7. HOW IT WORKS?

- i. The National Skill Qualification Framework is composed of **ten levels**, each representing a different level of complexity, knowledge and autonomy required to demonstrate the competence commensurate for that level. Level one of the framework represents the lowest complexity while level ten represents the highest complexity. The levels are defined by criteria expressed as learning outcomes. Volume of learning denoting *notional* time taken to acquire qualification may also be indicated for some levels and some sectors, but **it is important to note that the NSQF Levels are not related directly to years of study**. They are defined by the extent of demands made of the learner in broad categories of competence, i.e. professional knowledge, professional skill, core skill and responsibility. Over a lifetime of learning, individuals will move to higher from lower levels or across levels of qualifications as they take on new learning and acquire new skills.
- ii. Each NSQF level is defined by a set of descriptors expressed as learning outcomes. The level descriptors are designed to **allow broad comparisons** to be made between outcomes of learning. **However, it is not the case that every qualification will or should have all of the characteristics set out in the level descriptors**. Each qualification at an NSQF level may be further defined with reference to curriculum, notional contact hours, subjects, duration of studies, workload, trainer quality and type of training institution, to indicate what is expected of the learner in terms of ability to do or apply at the end of the learning process. The positioning of two or more qualifications at the same level only indicates that they are broadly comparable in terms of the general level of outcome. It does not indicate that they necessarily have the same purpose or content.
- iii. Some **other issues associated with** the NSQF are given below:
 - a. **National Occupational Standards (NOS)**: NOS define the measurable performance outcomes required from an individual engaged in a particular task. They list down what an individual performing that task should know and also do. These standards can form the benchmarks for various education and training programs and recruitment range of HRM practices. Just as each job role may require the performance of a number of tasks, the combination of all the NOSs corresponding to these tasks would form the Qualification Pack (QP) for that job role. The NOSs and QP for each job role corresponding to each level of the NSQF are being formulated by the concerned Sector Skill Councils (SSCs). In the event of there being no SSC for a given sector, or inability on the part of the SSC to produce the NOSs/QPs in a timely manner, this responsibility may be assigned by the National Skills Qualifications Committee (NSQC) to a relevant regulatory body or other entity having experience and knowledge of the sector.
 - b. **Curriculum Packages**: The competency based curriculum packages would consist of syllabus, student manual, trainers guide, training manual, trainer qualifications, assessment and testing guidelines and multimedia packages and e-material. These will be developed for each NSQF level, and where relevant, for specific Qualification Packs (QPs) identified by the SSCs. This may be done by such agencies as the Ministries/ Departments, Sector Skills Councils and Regulatory Bodies may designate, or any other body, in accordance with the NSQF. NSQF curricula should be modular, allowing for skill accumulation and facilitating exit and entry. Curricula design will also be aligned to a credit framework that reflects credits earned and competencies acquired. Training of trainers would also be aligned to the NSQF.
 - c. **Industry Engagement**: Since the NSQF is based on an outcomes-based approach, participation of the industry and employers is a critical prerequisite for the success of NSQF. Vocational education, vocational training general education and skill development courses will be designed, developed, delivered, and learners assessed and certified in accordance with the NSQF in consultation with SSCs, industry and employers. In addition to this the industry may also provide support in terms of providing training institutions.
 - d. **Horizontal and vertical mobility**: For horizontal and vertical mobility to take place, the following are essential:
 - Each level is linked to the ones above and below it by a series of steps. If these steps in any industry sector or academic domain are missing, the NSQF would help identify and map these missing gaps.
 - These gaps would have to be filled, and the key administrative ministry, regulatory bodies already operating in that sector, the SSCs and other stakeholders being part of the NSQC, would need to be consulted in the process
 - The degree of lateral mobility that is considered desirable would have to be identified by the NSQC, and the same would have to be facilitated through on-going credit accumulation and transfer.

Accordingly, the NSQF would require such regulatory institutions (e.g. UGC, AICTE, NCVT, Technical and School Boards etc.) to define each of their entry and exit parameters in terms of competencies ascribable to that level of the NSQF so that vertical progression in vocational education would be strengthened. If necessary, reservations for individuals progressing through these channels can be considered and provided for. For instance, the system would permit vocational pass outs of Class X – XII, ITIs and polytechnics to gain entry into higher education programs in vocational/technical/general education courses including degree level courses such as the Bachelor of Vocational Studies (B.Voc.), notified by the University Grants Commission. Taking into account the competencies acquired and the credits accumulated, it would also be possible to

change courses, if desired. Further, persons with skills shall have the option to move between vocational education, vocational training, general and higher education or vice versa at various stages, using pathways provided by the school boards, universities and colleges. If there are “competency gaps” identified in a candidate, a “bridge course” based on modular curricula to acquire those competencies may be imparted by the receiving Institution.

- e. **International comparability:** The NSQF will provide a means of articulation and alignment of the Indian Skill Qualification levels with those of other countries and regions. This will help in the mobility of Indian NSQF-aligned Qualification holders to work in and/or relocate to other parts of the world. The NSQF will also be the means of interface with the various geographical regional frameworks that are developing across the world.

8. LEVEL DESCRIPTORS

- i. Each level of the NSQF is associated with a set of descriptors made up of five outcome statements, which describe in general terms, the minimum knowledge, skills and attributes that a learner needs to acquire in order to be certified for that level.
- ii. Each level of the NSQF is described by a statement of learning outcomes in five domains, known as level descriptors. These five domains are:

- a. Process
- b. professional knowledge,
- c. professional skill,
- d. core skill and
- e. Responsibility.

Each of these is briefly described below:

a. Process

Process is a general summary of the other four domains corresponding to the level.

b. Professional knowledge

Professional knowledge is what a learner should know and understand with reference to the subject. It is described in terms of depth, breadth, kinds of knowledge and complexity, as follows:

- Depth of knowledge can be general or specialized
- Breadth of knowledge can range from a single topic to multi-disciplinary area of knowledge
- Kinds of knowledge range from concrete to abstract, from segmented to cumulative
- Complexity of knowledge refers to the combination of kinds, depth and breadth of knowledge

c. Professional skill

Professional skills are what a learner should be able to do. These are described in terms of the kinds and complexity of skills and include:

- Cognitive and creative skills involving the use of intuitive, logical and critical thinking
- Communication skills involving written, oral, literacy and numeracy skills
- Interpersonal skills and generic skills

d. Core skill

Core skills refer to basic skills involving dexterity and the use of methods, materials, tools and instruments used for performing the job, including IT skills needed for that level.

e. Responsibility

Responsibility aspect determines the following:

- Nature of working relationships
- Level of responsibility for self and others
- Managing change
- Accountability for actions

iii. The descriptors give broad, general, but meaningful, indicators of the learning outcomes at each level. The descriptors can be used in a number of ways:

- To allocate levels to learning programs and qualifications
- In validation and moderation of various qualifications and programs
- As a basis for communication with learners and other users of qualifications
- As a guide for mapping progression routes within and across the education and training sectors
- By program designers when making entry requirements and recommendations for programs

iv. The NSQF level descriptors are given below:

LEVEL	Process required	Professional knowledge	Professional skill	Core skill	Responsibility
Level 1	prepares person to/carry out process that are repetitive on regular basis require no previous practice	familiar with common trade terminology, instructional words meaning and understanding	routine and repetitive, takes safety and security measures.	Reading and writing, addition subtraction personal financing, familiarity with social and religious diversity, hygiene and environment	No responsibility always works under continuous instruction and close supervision
Level 2	prepares person to/carry out process that are repetitive on regular basis with little application of understanding, more of practice	Material tools and application in a limited context, understands context of work and quality	limited service skill used in limited context, select and apply tools, assist in professional works with no variables differentiates good and bad quality	receive and transmit written and oral messages, basic arithmetic personal financing understanding of social political and religious diversity, hygiene and environment	No responsibility works under instruction and close supervision
Level 3	person may carry put a job which may require limited range of activities routine and predictable	Basic facts, process and principle applied in trade of employment	recall and demonstrate practical skill, routine and repetitive in narrow range of application	Communication written and oral, with minimum required clarity, skill of basic arithmetic and algebraic principles, personal banking, basic understanding of social and natural environment	Under close supervision Some Responsibility for own work within defined limit.
Level 4	work in familiar, predictable, routine, situation of clear choice	factual knowledge of field of knowledge or study	recall and demonstrate practical skill, routine and repetitive in narrow range of application, using appropriate rule and tool, using quality concepts	language to communicate written or oral, with required clarity, skill to basic arithmetic and algebraic principles, basic understanding of social political and natural environment	Responsibility for own work and learning
Level 5	job that requires well developed skill, with clear choice of	knowledge of facts, principles, processes and	a range of cognitive and practical skills	Desired mathematical skill, understanding of	Responsibility for own work and learning

	procedures in familiar context	general concepts, in a field of work or study.	required to accomplish tasks and solve problems by selecting and applying basic methods, tools, materials and information	social, political and some skill of collecting and organising information, communication.	and some responsibility for other's works and learning
Level 6	demands wide range of specialised technical skill, clarity of knowledge and practice in broad range of activity involving standard non standard practices	factual and theoretical knowledge in broad contexts within a field of work or study	a range of cognitive and practical skills required to generate solutions to specific problems in a field of work or study	Reasonably good in mathematical calculation, understanding of social, political and, reasonably good in data collecting organising information, and logical communication	Responsibility for own work and learning and full responsibility for other's works and learning
Level 7.	requires a command of wide ranging specialised theoretical and practical skill, involving variable routine and non-routine context.	wide ranging , factual and theoretical knowledge in broad contexts within a field of work or study	wide range of cognitive and practical skills required to generate solutions to specific problems in a field of work or study	good logical and mathematical skill understanding of social political and natural environment good in collecting and organising information, communication and presentation skill	full responsibility for output of group and development
Level 8	Comprehensive, cognitive, theoretical knowledge and practical skills to develop creative solutions, to abstract problem. Undertakes self study, demonstrates intellectual independence, analytical rigour and good communication.			Exercise management and supervision in the context of work/study having unpredictable changes, responsible for development of self and others.	
Level 9.	Advanced Knowledge and skill Critical understanding of the subject, demonstrating mastery and innovation, completion of substantial research and dissertation.			Responsible for decision making in complex technical activities, involving unpredictable study/work situations.	
Level 10.	Highly specialised knowledge and problem solving skill to provide original contribution to knowledge through research and scholarship.			Responsible for strategic decisions in unpredictable complex situations of work/study.	

9. CREDITS

i. **“Credit”** is recognition that a learner has successfully completed a prior course of learning, corresponding to a qualification at a given level. For each such prior qualification, the student would have put in a volume of institutional or workplace learning, and the more complex a qualification, the greater the volume of learning that would have gone into it. The credit points give learners, employers and institutions a means of describing and comparing the learning outcomes achieved. Based on this, the additional learning outcomes to acquire a qualification at a higher NSQF level can be determined. Credits quantify learning outcomes that are subject to valid, reliable methods of assessment. The number of credits may be worked out on the basis of the number of notional learning hours that an ‘average’ learner at a specified NSQF level might expect to take to achieve the learning outcomes, including the assessment. **However, this is merely a guide and no credits are added or taken away if more or less time is taken to achieve the outcomes.** No credits are ‘earned’ by a learner if the learning outcomes are not achieved or, in the case of RPL, demonstrated.

ii. Credits can be used to assist learners to transfer between programs. This can happen only when awarding bodies determine how much credit can be transferred into which of their programs. This decision will depend upon the nature/content of the learning for which the credit has been given and the requirements of the program into which transfer is being sought. This will also facilitate multiple entry and exit pathways at each level (or within a level) with

the bundle of credits earned clearly certified by assessment and certification bodies which have been authorized to do so.

iii. Wherever notional learning time is used, it should include all learning activities required for the achievement of the learning outcomes for a particular level, including, for example:

- a. Formal learning, including classes, training sessions, coaching, seminars and tutorials
- b. Practice and learning on the job - gaining, applying and refining skills in the workplace
- c. Involvement in informal learning, example: community-based workshops, youth groups, playgroups
- d. Doing practical work in laboratories or other locations
- e. Expected private study, revision and remedial work
- f. Work-based activities which lead to assessment
- g. Undertaking all forms of assessment

Notional learning time may also be linked to the International Standard Classification of Occupations (ISCO 08), which includes reference to a nominal duration of learning and workplace training for each occupation.

iv. The need to undertake any or all of these will be considered when credit is being allocated to a qualification or learning program. The mix of learning activities will vary from program to program — in school, the learning might be mostly class-based; in higher education much of the learning time could be spent outside of formal lectures etc. In other situations, much of the learning will be work-based. In determining the notional learning time involved in achieving outcomes of learning (for eg. in a module/unit, program, or any piece of assessed learning), no rigid allocation of time is implied in this system, particularly as flexible and distance learning develops.

Credit Transfer

i. Credit transfer is the process of recognizing prior learning that has been credit rated by the assessment and certification bodies authorized to do so. The transfer of credit points from one qualification or learning program into another helps to minimize duplication of learning. Learners may have already achieved NSQF credits for learning that they have previously undertaken and it may be possible for all or some of these credits to be transferred to another qualification or learning program. The key focus of credit transfer decisions should be on the benefit to the learner and on support for effective learning pathways. Transparency in decision-making for credit recognition and transfer is a critical factor in supporting and encouraging the on-going involvement of learners in education and training.

ii. Credit transfer would facilitate access and promote new learning opportunities without compromising learning outcomes associated with a given NSQF level. Those responsible for designing qualifications and learning programs will be encouraged to identify opportunities for credit transfer wherever they exist.

iii. Credit transfer can be made in various ways such as allowing a learner to drop a subject already studied or take the next level course in that subject, direct admission to higher-level such as direct second-year admission, etc. This could also take the form of reservation of seats for students coming with prior learning background. The credit transfer system in each industry sector or academic domain needs to be detailed out by the NSQC, with the inputs from the respective institutions/universities/Ministries/regulators, etc. at the time of registration of qualification, so that students undertaking the qualification are clear about the possible credit transfer opportunities available to them. These could include issues such as

- a. Standardisation of course content, syllabus, notional learning time, credit values etc.
- b. Standardisation of credit values for prior/ informal learning.
- c. Stipulation of time limit and other conditions beyond which the credit will not survive – as students may forget training inputs unless these are put to use.
- d. Stipulation of related subjects for credit transfer. For example, credits in Chemistry would be relevant for polymer technology. Credits in turning / machining may be relevant for mould making, though both mould making and polymer science form part of the same 3 year Diploma currently in force.

10. QUALIFICATIONS REGISTER

i. To ensure that learners have access to all the qualifications registered and currently being provided by various training providers/institutions, a register of qualifications, that are approved and available, shall be maintained and regularly updated. The NSQF Register will be the official national public record of all qualifications aligned to NSQF levels, qualification pathways and accrediting authorities.

ii. The qualifications register will be made available on a web portal and regularly updated. Every institution offering an NSQF-aligned qualification will have to keep details of its training programs updated on the portal.

11. SHARING OF RESOURCES

Sharing of Resources already created by different organizations would be encouraged for optimum utilization of the funds and expertise available. Industry and employers would be encouraged to partner with skill / vocational training providers/institutes so that the requirements and ethos of the work place are integral to skill training packages/programmes.

12. RECOGNITION OF PRIOR LEARNING

i. Recognition of Prior Learning (RPL) is a very important associated function of the NSQF, especially in the Indian context where majority of the workforce has not received formal training. The NSQF will help individuals who have gained learning informally, such as through life, work and voluntary activities to have this learning recognized. This will include knowledge and skills gained:

- a. Outside of formal learning situations
- b. Through informal learning and training in the workplace, the community and/or the voluntary sector
- c. From continuing professional development activities
- d. From independent learning

ii. RPL will give an option for personal or career development or to gain credit towards other qualifications or learning programs to learners who have the skills but no certificate to prove it. It will help learners make clearer connections between the learning they have already achieved and future learning and/or career opportunities. Benchmarking an individual's learning against the NSQF Level Descriptors will help them to identify the appropriate level of options for progression. This will improve career progression and skill upgradation of learners as well as facilitate the engagement of the experienced practitioners as resource persons.

iii. At present, the Modular Employable Skills (MES) scheme under the Ministry of Labour and Employment has a component of RPL, wherein direct testing and assessment of skills may be done. Ministry of Tourism also runs the Skill Testing and Certification Programme, wherein candidates can get their skills assessed and get certificate for the same. However, efforts for recognition of prior skills are limited. By introducing RPL through the NSQF, such efforts will gain momentum and allow learners to benefit on a larger scale. The NSQF will develop process for Recognition of Prior Learning/traditional learning for any given job role against the relevant level descriptors and notify the same for Skill Training Providers/Vocational Training Providers/Certificate awarding bodies for use in assessment and certification.

13. FUNCTIONS/RESPONSIBILITIES OF STAKEHOLDERS

The NSQF is the joint responsibility of many stakeholders and each has its own role to play in its development, implementation and maintenance. The roles/responsibilities of the main stakeholders are listed below:

a. National Skill Development Agency (NSDA)

The NSDA has been mandated to anchor and operationalize the NSQF to ensure that quality and standards meet sector specific requirements. The NSDA will also facilitate the setting up of professional certifying bodies in addition to the existing ones. In performing the above functions, the NSDA will be ensuring that the NSQF acts as a quality assurance framework and facilitates capacity building.

b. Sector Skills Councils (SSCs)

Sector Skill Councils are industry-led national partnership organizations that will bring together all the stakeholders from their respective sectors. Based on the needs of the industries in concerned sector, the SSCs are developing the NOSs and QPs for the various job roles in their sectors, and they will align the same to appropriate levels of the NSQF. They will work to supplement the existing vocational training and education system for the Industry Sector in meeting the entire value chain's requirements of appropriately trained manpower in quantity and quality across all levels on a sustained and evolving basis

The SSCs shall also provide inputs to the Central and State level implementing agencies in developing the curriculum packages, capacity building of institutions and training providers, and assessment and certification of the skills imparted. The Sector Skill Councils shall be licensed and regulated by the National Skills Qualification Committee.

c. Central Ministries

The Central Ministries, being at the apex of the issues in their administrative control, will have to provide the leadership to ensure that all stakeholders align the programs being offered by institutions/bodies under their aegis to the NSQF in accordance with the Implementation Schedule in para 14.iv.

d. State Governments

The institutions/bodies under the control of the respective State Governments will be encouraged to align their learning programmes to the NSQF, as this would facilitate greater mobility for individuals holding such qualifications. The State Governments will also help determine the modalities for ensuring that while regional variations are provided for, the same do not undermine the quality assurance associated with the NSQF.

e. Regulatory Institutions.

All the existing regulatory institutions (e.g. UGC, AICTE, NCVT, Technical and School Boards etc.) would define their entry and exit competencies and qualifications in terms of NSQF levels so that provision of vertical progression in both general and vocational education would be strengthened and vocational pass outs are able to gain entry into the respective portals of higher education in the vocational/technical/ general education courses including degree level courses.

Thus, Regulatory/Awarding bodies while continuing to regulate their courses, programmes, affiliation, and accreditation system shall ensure their alignment and conformity with the NSQF.

f. Training Providers/Institutes/Institutions

All training providers would have to organise their courses/programmes to ensure alignment with NSQF levels in accordance with the implementation schedule in para 14.iv.

14. IMPLEMENTATION

The NSQF would be anchored in the National Skill Development Agency (NSDA), and will be implemented through the National Skills Qualification Committee (NSQC). A permanent secretariat for the NSQC would be set up under the NSDA for this purpose.

i. National Skills Qualification Committee

Composition: The NSQC shall have a composition as under:

- | | | |
|-------|---|------------------|
| i. | Chairman NSDA | Chairman |
| ii. | Secretary, Dept of School Education & Literacy,
Ministry of HRD | Member |
| iii. | Secretary, Dept of Higher Education,
Ministry of HRD | Member |
| iv. | Secretary, Ministry of Labour & Employment | Member |
| v. | Member Secretary, Planning Commission..... | Member |
| vi. | Mission Directors, from three State Skill
Development Missions (in rotation) | Members |
| vii. | Sectoral Representatives as below | Members |
| viii. | Director General NSDA | Member-Secretary |

For each sector that is being discussed, the Sectoral Representatives would comprise:

- | | | |
|-------|---|---------|
| ix. | Secretary, Administrative Ministry..... | Member |
| x. | Chairman/CEO of the concerned Sector Skill Council(s)..... | Member |
| xi. | Heads of all Regulatory Bodies, including where relevant, UGC,
AICTE, CBSE, NCVT, State Boards etc in the Sector | Members |
| xii. | Heads of two training institutions (one Govt and one private)..... | Members |
| xiii. | Any other person/agency relevant for the sector* | Member |

**Note: Where more than one Ministry / Department is related to a particular sector, a representative from each of these Ministries/Departments would be invited under this provision so that all concerned are represented. The representative could be a technical person from an expert agency or body under the Ministry dealing with the issue of training and skills in that particular sector. In sectors that focus on skilling for overseas job markets, representatives of the Ministry of Overseas Indian Affairs would be included.*

The NSQC would be at liberty to set up specific sub-committees for addressing sectoral issues. However, all Members of the NSQC representing specific sectors, and listed under the group of “sectoral representatives” would necessarily have to be part of the sub-committee(s) on the sector”.

Functions:. Functions of the NSQC would be as under:

- | | |
|----|--|
| a. | approve and notify the NOSs and the QPs prepared by the Sector Skills Councils, including job roles that exist across various sectors; |
|----|--|

- b. approve the accreditation norms developed by the concerned Sector Skills Councils for training providers in the sector;
- c. develop/approve the accreditation norms for non-statutory certification agencies;
- d. based on the National Standards for Occupation/National Industrial Classification or any other nationally accepted classification system, to determine the definitions of sectors, and approve the creation of additional Sector Skills Councils including on the recommendation of the NSDC;
- e. prescribe guidelines for ensuring that implementing agencies, including training providers, address the special needs of disadvantaged sections of the population, including persons with disabilities, members of Scheduled Castes and Tribes, OBCs, minorities, women etc.;
- f. review and resolve any issues/disputes among Ministries/ Departments/ Regulatory Bodies regarding alignment of courses to NSQF, credit transfer, etc.;
- g. all matters requiring cross-sectoral approach, such as credit accumulation and transfer, recognition of non-formal learning, apprenticeship, online and distance learning, lateral mobility and bridge courses;
- h. coordinate and align Indian qualifications to international qualifications frameworks to allow international mobility;
- i. addressing all transition issues, including developing suitable mechanism for recognizing and aligning to the NSQF all qualifications pre-dating the implementation of the NSQF;
- j. Any other activity as may be entrusted by the Government;
- k. map all existing certificate, diploma, degree and other courses available in the sector, and identify gaps if any;
- l. determine whether progression from one level to another should be allowed for a specific course/discipline (eg, should a progression link be established between a nursing qualification and a medical one?);
- m. map all the progression pathways so determined and agreed, and decide how the progression will take place – how much credit would be allowed for movement from one level to the next, and how such progression can be facilitated;
- n. determine progression links between courses and certifications that are granted by regulatory and/or professional bodies, and those that are currently unregulated;
- o. identify and specify bridge courses and processes if any, that would be needed to permit progression from one level to another;
- p. establishing and maintaining high standards for skill training in each sector.

Provided that functions (a) to (j) above would have to be discharged by the NSQC itself, and would not be delegated to any sub-committee.

At the State level the State Skill Development Mission shall perform the coordination function in the realm of skill development along with local SSCs/industry/ trade association and all other stakeholders for the implementation of NSQF.

ii. Accreditation

While national accreditation norms would be approved by the NSQC, actual accreditation of training providers will be done by relevant regulators. The identification, registration and accreditation of the institutes/training providers would be done through a mechanism determined by the concerned Ministries and regulators in consultation with SSCs/industry as the case may be.

iii. Assessment and Certification

Assessment and certification will be done by the respective agencies of the Government/private sector as is done now. However, assessment and certification norms developed by the concerned regulatory bodies, SSC/industry would be approved by the NSQC to ensure that outcomes conform to the appropriate NSQF level. Certificates issued post assessment will mention that the level of the NSQF at which it lies.

iv. Implementation Schedule

In order to ensure a smooth transition, the implementation timetable for rolling out the NSQF would be as under:

- (i) Immediately upon the Notification of the NSQF,
 - a. All other frameworks, including the NVEQF (National Vocational Educational Qualification Framework) released by the Ministry of HRD, would cease to exist, and would be superceded by the NSQF.
 - b. NSQF compliant training/ educational programmes/courses would be entitled to receive government funding on a preferential basis.
- (ii) After the third anniversary date of the notification of the NSQF,

- a. Government funding would not be available for any training/ educational programme/ course which is not NSQF-compliant.
 - b. All government-funded training and educational institutions shall define eligibility criteria for admission to various courses in terms of NSQF levels.
 - c. The recruitment rules of the Government of India and the public sector enterprises of the central government shall be amended to define eligibility criteria for all positions in terms of NSQF levels.
 - d. State Governments shall be encouraged to amend their recruitment rules as well as those of their public sector enterprises to define eligibility criteria for all positions in terms of NSQF levels.
- (iii) After the fifth anniversary date of the notification of the NSQF,
- a. It shall be mandatory for all training/educational programmes/courses to be NSQF-compliant.
 - b. All training and educational institutions shall define eligibility criteria for admission to various courses in terms of NSQF levels.

PRABHAT KUMAR MISHRA, Jt. Secy.

F. No. 11015 / 06 / 2016 – SG - II
Government of India
Ministry of Tribal Affairs

Shastri Bhavan, New Delhi
Dated: 17.06.2016

To,

1. Chief Secretary to State Govt. / UT Administration (All States / UTs)
2. Principal Secretary / Secretary (in charge of) Tribal Development (All States)
3. Commissioner / Director (Head of Department), Tribal Development (All States)

Sub: Guidelines for Inter-State allocation of funds and implementation of Programmes / Activities under Special Central Assistance (SCA) to Tribal Sub Plan (TSP) during 2016-17 and onwards.

Sir,

Following guidelines are hereby laid down for allocation of funds and use of Special Central Assistance (SCA) to Tribal Sub Plan (TSP) during current fiscal 2016-17 and afterwards.

1. General Features

- 1.1 SCA to TSP is 100% grant from GOI (from 1977-78). It is charged to Consolidated Fund of India (except grants for NE States, a voted item) and is an additive to State Plan funds and efforts for Tribal Development.
- 1.2 TSP has following objectives to bridge gap between Scheduled Tribe (ST) population and others by accelerating development of STs by ensuring:
 - (i) Human resource development by enhancing their access to education and health services,
 - (ii) Enhanced quality of life by providing basic amenities in tribal areas / localities including housing (mostly to be covered under Pradhan Mantri Awas Yojana / State Housing Schemes under TSP flow.).

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- (iii) Substantial reduction in poverty and unemployment, creation of productive assets and income generating opportunities,
 - (iv) Enhanced capacity to avail opportunities, gain rights and entitlements and improved facilities at par with other areas, and
 - (v) Protection against exploitation and oppression.
- 1.3.1 SCA aims to address need of critical gaps, only as an additive to main vehicle i.e., fund flow under TSP for tribal development.
- 1.3.2 Fund flow under TSP consists of
- (a) State Plan Funds, and
 - (b) Funds under Central Sector / Centrally Sponsored Schemes.

Analysis of State Plan and TSP flow is, therefore, a must before finalizing activities / programmes under SCA.

2. Coverage:

- 2.1 23 States having notified STs (excluding tribal majority States) are eligible to receive grants under this Programme. These States are:-
- Andhra Pradesh, Assam, Bihar, Chhattisgarh, Goa, Gujarat, Himachal Pradesh, Jammu & Kashmir, Jharkhand, Karnataka, Kerala, Madhya Pradesh, Maharashtra, Manipur, Odisha, Rajasthan, Sikkim, Tamil Nadu, Telangana, Tripura, Uttar Pradesh, Uttarakhand and West Bengal. (Punjab and Haryana have no ST population)
- 2.2 Tribal majority States of Arunachal Pradesh, Meghalaya, Mizoram and Nagaland and Union Territories are not covered under SCA to TSP.
- 2.3 SCA must be utilized for economic development of following:
- (a) **Integrated Tribal Development Project (ITDP):** It is an area of size of one or more Development Blocks in which ST population is 50% or more of total population of such Blocks. Complete development block / panchayat samiti is the minimum constituent unit of an ITDP.

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- (i) There can be more than one ITDP in a District.
- (ii) Area of an ITDP may even consist of Blocks of more than one Districts. In such cases, ITDP will normally be named after its headquarter location or district where its headquarter is located.

Integrated Tribal Development Agency (Historically so called in Andhra Pradesh, Odisha and Telangana amongst other States) / Authority (ITDA) is concerned authority with jurisdiction for administration of tribal development projects. Hence an ITDA (i.e., agency or authority) should have jurisdiction over ITDPs (consisting of full blocks / Panchayat Samitis), MADA and Cluster pockets as well. Even dispersed tribal population of a district can also be within the jurisdiction of concerned district ITDA. (In this matter, concerned State Government must decide.)

- (b) **Modified Area Development Approach (MADA):** These are identified pockets (consisting of one or more revenue villages) in contiguous areas with a concentration of tribals 50% or more within total population of 10, 000 or more in such area.
- (c) **Clusters:** These are identified pockets (with one or more revenue village(s) being constituent units) with a concentration of tribals 50% or more within total population of 5, 000 or more in such area.

In case of both MADA and Cluster Pockets, complete revenue village(s) is constituent unit. A MADA pocket / Cluster for tribal development should be named after the village in such area, which has maximum ST population (2011 Census) in such MADA / Cluster Pockets. To illustrate it can be identified as A-B (MADA / Cluster), where A is concerned District and B is the revenue village having maximum ST population in such MADA / Cluster pocket.

- (d) **Particularly Vulnerable Tribal Groups (PVTGs):** Identified isolated communities among tribals characterized by a stagnant or declining rate of population growth, pre-agricultural level of technology and extremely low levels of literacy. [So far 75 PVTGs are identified. (Annexure 1)]

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- (e) Dispersed tribal population outside (a), (b), (c) and (d) above.
- 2.3.1 Organizational structure (including district and field level set up) and administrative jurisdiction of an ITDA (or any other designated authority) may be decided by concerned State Government / UT administration.
- 2.3.2 Above areas need to be notified by Ministry of Tribal Affairs (MoTA), as proposed by State Government, before these can be reckoned with, as basis for allocation of funds. State Governments have to submit a proposal with details of identified area and population (as per 2011 Census) along with a map to MoTA accordingly.

3. Criteria – Inter-State Allocation

- 3.1 From 2016-17 onwards, allocation of funds among 23 states (Para 2.1) under SCA to TSP shall be made in following manner:
- a) 50% based on State ST population,
 - b) 25% based on tribal areas covered under ITDPs / ITDAs. A few States where no ITDP / ITDA has been constituted, area of concerned Block / Panchayat Samiti (Middle level PRI), where ST population is 50% or more would be taken into account, and

From 2017-18 and onwards, above tribal area would include geographical area of

- (1) ITDPs
- (2) MADA Pockets, and
- (3) Cluster Pockets

as per 2011 Census basis.

Since these details are not readily available, only ITDPs / ITDAs area are accounted for in current fiscal 2016-17. In absence of above, area as worked out (Annexure 2) would be taken into account.

- c) Remaining 25% of allocation would be as per an analysis of outcome-based performance of concerned States.

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Parameters for evaluation of performance would be notified separately.

- 3.2 Minimum Floor will be based on 75% of 2015-16 allocations made on ST population basis. This floor allocation shall be subject to a minimum of Rs. 4.50 Crores (with 100% being Rs. 6.00 Crores).
- 3.3 A statement showing ST population of State, ITDP / ITDA area; and minimum floor allocation is at Annexure 3.

4. Inter-District Allocation Criteria

4.1.1 Inter-District allocation of SCA funds shall be as follows:

- (i) $66\frac{2}{3}$ % on population
- (ii) $33\frac{1}{3}$ % on Area. (i.e., on 2:1 proportion based on population: area)

Only such area needs to be taken into account where ST population is more than 50% of total population of such District / Sub-Division / Block / revenue Village.

4.1.2 In Project Appraisal Committee (PAC) meetings, State Government must submit such area details. (with revenue village being smallest constituent unit for MADA, Cluster Pockets and Blocks / Panchayat Samitis being the constituent unit of ITDPs.)

4.2.1 Districts having 25% or more STs (of district population) shall be focussed, for implementation of tribal development programmes. List of 177 Districts with 25% ST population or more (based on 2011 Census) is at Annexure 4. This also includes Districts, affected by Left Wing Extremism (LWE) activities (where ST population is even less than 25% floor). In case of such LWE affected areas, tribal inhabited areas are normally localized in a particular part of District. Area of such Sub-Division / Block / Village can be taken into account for area calculation.

Above would also be focus area for programme implementation on saturation basis.

Such details of identified areas and population (as per 2011 Census) along with a map must be provided by concerned State Govt. in 2016-17 PAC meetings.

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4.2.2 All MADA pockets / clusters shall be covered under some or other development programmes within every cycle of three years. (Starting from 2016-17)

4.3.1 Within ST population, some ST communities count each more than 5% population in every State. Details of such communities is at Annexure 5.

4.3.2 While doing inter-district allocation for tribal development programmes / activities, such communities should be especially focussed.

In case where economic basis of tribal household economy of more than one ST community is same, programmes can be common with such communities and clubbed for fund allocation. For Example, in HP, Gaddi and Gujjar STs (both being livestock dependent households) can be covered with similar type of development programmes / activities.

4.3.3 Fund allocation must be $\pm 10\%$ of corresponding ST population share. That is, if a community counts for 20% of State ST population, then programmes should be for 18% - 22% band of total fund allocation for such a community.

If this community is more backward, then an increased allocation may be justified based on human development index parameters. In any case, if the allocation works out to lower than 18%, then total State allocation would be reduced accordingly.

4.4 State Government may inform as to any discrepancy in calculation of area (with $\geq 25\%$ ST population based on 2011 Census) or community-wise % data (2011 Census). Relevant information would be reviewed and accounted for after revision of concerned data accordingly.

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5. Intra-State (Sectoral activities, community, area-wise) Prioritization and Allocation:

5.1 Priority must be accorded as under:

	Activity	Fund Allocation
(i)	Education	– 40 - 50%
(ii)	Health	– 10 - 15%
(iii)	Agriculture, Horticulture, Animal Husbandry (AH), Fisheries, Dairy & others in Primary Sector	– 20 - 30%
(iv)	Other income generating schemes to augment Tribal household economy	– 10 - 15%
(v)	Administrative structure (incl. manpower) / Institutional framework & Research studies	– < 5 - 10%
	Total:	100%

5.1.2 Conjunctural use with dovetailing of financial resources from ongoing activities of line departments must be resorted, to ensure larger spatial and higher demographic coverage (under TSP flow concept or funds especially available under Central Sector / Centrally Sponsored Schemes.)

5.1.3 Cluster (multiple beneficiaries in one location) approach on saturation (all beneficiaries of an identified area are covered / benefitted by Government activity / programmes) basis can be an excellent modus operandi, especially for districts with $\geq 50\%$ and even for $\geq 25\%$ ST population.

5.1.4 Use of institutional finance should also be optimized.

5.1.5 Projects modelled on Public - Private (Sector) Participation (PPP mode) can go a long way especially for Education and Health sectors and other human resource development programmes.

5.2.1 Primarily activities of non-recurring nature (including infrastructure and equipment with at least three years life time) shall be supported under SCA to TSP. Fund for recurring component of such programmes / schemes shall be borne by State funds / TSP allocation. An illustrative list of activities for SCA funding is at Annexure 6.

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- 5.2.2 ST Communities with similar livelihood pattern / traditional occupation (i.e., income source same for tribal household economy) should be clubbed together for planning under SCA to TSP.

ST household, especially with entitled land right under FRA Act, 2006 should be covered by programmes, activities; especially designed for them.

So also should be coverage of women Self Help Groups (SHGs), beneficiaries.

- 5.2.3 Major infrastructure sector, like road connectivity, electricity, drinking water, major irrigation projects, housing would not be funded under SCA, as substantive part of State Plan funds go into these programmes.

- 5.3 It is relevant to emphasize that close to 80% of tribal households depend upon agriculture and other primary sector economic activities. Guidelines of Ministry of Rural Development (MoRD) especially provide for MGNREGA works on individual tribal lands with State-funding. Such provision under extant guidelines must be utilized to ensure better income and livelihood support to ST households.

- 5.4.1 It must be emphasized that SCA to TSP must draw upon Guidelines issued vide OM No. 11012 / 03 / 2013 - SJ&SW dt. 18.6.14 issued by NITI Aayog (then Planning Commission) [enclosed at Annexure 7].

- 5.4.2 Especially, following must be acted upon for State proposals under SCA to TSP:

- (i) Para 1.2, 1.4 and 1.8 of Annexure 7 for “Plan Formulation”,
- (ii) Para 1.3 (Annex 7) for “Plan Documentation”,
- (iii) Para 1.5 and 1.6 (Annex 7) for “Earmarking TSP funds” and accordingly working out “SCA requirement for Critical Deficit Areas” to ensure catalytic impact, and
- (iv) Institutional arrangements (as in para 1.11 of Annex 7) needs to be adhered to.

- 5.4.3 Accordingly, proposals submitted to Ministry of Tribal Affairs (MoTA) Project Appraisal Committee (PAC) must be pre-approved by Executive Committee under Chief Secretary.

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- 5.5 Committed liability of approved programmes / activities (in previous years) would be accorded priority for allocation of funds.

6. Approval Process

Project Appraisal Committee (PAC) in MoTA would consist of:

(i)	Secretary, Ministry of Tribal Affairs (MoTA)	Chairperson
(ii)	Joint Secretary, MoTA	Member
(iii)	Principal Secretary / Secretary, Commissioner Tribal Development / Social Welfare (dealing exclusively with Tribal Development) and Planning Deptt. of concerned State Government.	Member
(iv)	Financial Advisor, MoTA	Member
(v)	Adviser, NITI Aayog	Member
(vi)	Concerned Director / Dy. Secretary / Under Secretary, MoTA	Member Convenor
(vii)	JS or Equivalent (Eqv.) Officer (Offr), MoRD	Invitee
(viii)	JS or Eqv. Offr, Mo HRD (School Education)	Invitee
(ix)	JS or Eqv. Offr, Do Agriculture, Cooperation and Farmers' Welfare	Invitee
(x)	JS or Eqv. Offr, Do Agriculture Research and Education (DARE)	Invitee
(xi)	JS or Eqv. Offr dealing with Horticulture [(Do Agriculture, Mission for Integrated Devt. of Horticulture (MIDH)]	Invitee
(xii)	JS or Eqv. Offr, Do Animal Husbandry, Dairying & Fisheries	Invitee
(xiii)	JS or Eqv. Offr, Mo Health & Family Welfare	Invitee

Other officials (Preferably JS or Eqv. Offr. (from any other Ministry / Department) can be coopted as invitees, as necessitated, with approval of Chairman, MoTA - PAC.

PAC will appraise and approve projects to be funded under SCA to TSP.

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7. Monitoring

- (i) State Tribal (Nodal) Department will co-ordinate progress of various schemes / programmes and design a comprehensive monitoring framework with well-defined indicators, covering fund allocation, release and expenditure, service delivery standards as well as outcomes.
- (ii) Concerned line departments will specifically monitor TSP progress and performance within their regular monitoring mechanisms at all levels.
- (iii) Nodal department will monitor progress for review by the Executive Committee. (Chaired by Chief Secretary)
- (iv) Monthly / Quarterly Performance Review report of State TSP, in general and programmes / activities funded under SCA to TSP would be communicated to MoTA through online / e-mail system.
- (v) A MIS format for above would be designed and circulated by MoTA at the earliest. Such progress reports must come within 30 days of concerned month / quarter.

8. This supersedes all previous circulars / guidelines issued so far and comes into effect immediately.

Encl: As above



(Dr. Shyam S. Agarwal)
Secretary to the Government of India
Tele: 23381652

No. 11015/06/2016-SG-II

Dated: 17.06.2016

Copy forwarded for Information and necessary action to –

- (i) Secretary to Government of India, Central Ministries / Departments (All).
- (ii) CEO, NITI Aayog, New Delhi.
- (iii) Secretary, National Commission for STs.

- (iv) Principal Secretary / Secretary, Finance Department of States (with ST population).
- (v) Principal Secretary / Secretary, Planning Department of States (with ST population).
- (vi) Directors, Tribal Research Institutes States.
- (vii) Project Director, ITDPs / ITDA (All States)

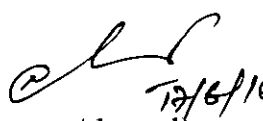

(Manoj Kumar Pingua)

Joint Secretary to the Government of India

Tele: 23383622

Copy forwarded for information to:

- (1) JSs (and Eqv. Offrs.), MoTA (All)
- (2) PS to Hon'ble Minister, Tribal Affairs
- (3) PS to Hon'ble MoS, Tribal Affairs
- (4) Directors / Deputy Secretaries, MoTA (All)
- (5) PPS to Secy (TA)
- (6) CMD, NSTFDC; and MD, TRIFED
- (7) Joint Director, USs, DDs, ADs, SOs, ROs; MoTA (All)


(Nadeem Ahmad)
Under Secretary
Tele: 23073708

List of Annexures

- Annexure 1 - PVTGs – State and UT-wise
- 2 - State-wise ITDP / ITDA area statement
- 3 - Allocation under SCA to TSP 2016 – 17
- 4 - Districts with ST population (2011 Census) for priority under Development Programmes / Schemes
- 5 - Major Scheduled Tribe Communities (State-wise 2011 Census)
- 6 - List of activities (Illustrative) for SCA funding
- 7 - NITI Aayog O.M. No. M - 11012 / 03 / 2013 – SJ&SW dated 18.6.14 on Revised Guidelines for Implementation of SCSP / TSP by the States / UTs

F. No. 11015 / 01 / 2016 - SG-I
Government of India
Ministry of Tribal Affairs

Shastri Bhavan, New Delhi
Dated: 20.06.2016

To,

1. Chief Secretary to State Govt. / UT Administration (All States/UTs)
2. Principal Secretary / Secretary (in charge of) Tribal Development (All States)
3. Commissioner / Director, Tribal Development (All States)

Sub: Guidelines for Inter-State allocation of funds and implementation of Programmes / Activities under Proviso to Article 275(1) of the Constitution of India during 2016-17 and onwards.

Sir,


Following guidelines are hereby laid down for Inter-State allocation of funds and implementation of programmes under Proviso to Article 275(1) of Constitution of India during current fiscal, 2016-17 and afterwards.

1. Salient features of Constitutional Provision

1.1 Constitution of India provides as under:

“Article 275. Grants from the Union to certain States – (1) Such sums as Parliament may by law provide shall be charged on the Consolidated Fund of India in each year as grants-in-aid of the revenues of such States as Parliament may determine to be in need of assistance, and different sums may be fixed for different states.

Provided that there shall be paid out of the consolidated fund of India as grants-in-aid of the revenues of a State such capital and recurring sums as may be necessary to enable that State to meet the costs of such schemes of development as may be undertaken by the State with the approval of the Government of India for the purpose of promoting the welfare of the Scheduled Tribes in that state or raising the level of administration of the Scheduled Areas therein to that of the administration of the rest of the areas of that State.”


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- 1.2 Grants-in-aid under Proviso to Article 275(1) of Constitution of India are 100% annual grant from Government of India to States. It is charged to Consolidated Fund of India (except grants for NE States, a voted item) and is an additive to State Plan funds and efforts for Tribal Development.

2. Basic Objective

- 2.1 Following would be objectives for programmes / activities funded with Grants-in-aid under Proviso to Art. 275(1) of Indian Constitution [Art. 275(1) Grants] to bridge gap between Scheduled Tribe (ST) population and others by accelerating development of STs by ensuring:
- (i) Human resource development by enhancing their access to education and health services,
 - (ii) Enhanced quality of life by providing basic amenities in tribal areas / localities.
 - (iii) Substantial reduction in poverty and unemployment, creation of productive assets and income generating opportunities,
 - (iv) Enhanced capacity to avail opportunities, gain rights and entitlements and improved facilities at par with other areas, and
 - (v) Protection against exploitation and oppression.
- 2.2 Art. 275(1) Grants must address need of plugging critical gaps. It is only an additive to State efforts for tribal development, with fund flow under Tribal Sub Plan (TSP) strategy.

3. Coverage:

- 3.1 27 States having notified STs are eligible to receive grants under this Programme. These States are:-
Andhra Pradesh, Arunachal Pradesh, Assam, Bihar, Chhattisgarh, Goa, Gujarat, Himachal Pradesh, Jammu & Kashmir, Jharkhand, Karnataka, Kerala, Madhya Pradesh, Maharashtra, Manipur, Meghalaya, Mizoram, Nagaland, Odisha, Rajasthan, Sikkim, Tamil Nadu, Telangana, Tripura, Uttar Pradesh, Uttarakhand and West Bengal. (Punjab and Haryana have no ST population).

Union Territories are not funded under Art. 275(1) Grants.

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3.2 Art. 275(1) grants must be utilized for socio-economic development of following:

(a) **Integrated Tribal Development Project (ITDP):** It is an area of size of one or more Development Blocks in which ST population is 50% or more of total population of such Blocks. Complete development block(s) / panchayat samiti(s) is the minimum constituent unit of an ITDP.

(i) There can be more than one ITDP in a District.

(ii) Area of an ITDP may even consist of Blocks of more than one District. In such cases, ITDP will normally be named after its headquarter location or district where its headquarter is located.

Integrated Tribal Development Agency (historically so called in Andhra Pradesh, Odisha and Telangana amongst other States) / Authority (ITDA) is concerned authority with jurisdiction for administration of tribal development projects. Hence an ITDA (i.e. agency or authority) should have jurisdiction over ITDPs (consisting of full blocks / Panchayat Samitis), MADA and cluster pockets as well. Even dispersed tribal population of a district can also be within jurisdiction of concerned district ITDA. (In this matter, concerned State Governments must decide the organizational structure.)

(b) **Modified Area Development Approach (MADA):** These are identified pockets (consisting of one or more revenue villages) in contiguous areas with a concentration of tribals 50% or more within total population 10,000 or more in such area.

(c) **Clusters:** These are identified pockets (with one or more revenue village(s) being constituent units) with a concentration of tribals 50% or more within total population 5,000 or more in such area.

In case of both MADA and Cluster Pockets, complete revenue village(s) is constituent unit. A MADA pocket / Cluster for tribal development should be named after the village in such area, which has maximum ST population (2011 Census) in such MADA / Cluster Pockets. To illustrate it can be identified as A-B (MADA / Cluster), where A is concerned District and B is the revenue village having maximum ST population in such MADA / Cluster pocket.

(d) **Particularly Vulnerable Tribal Groups (PVTGs):** Identified isolated communities among tribals are characterized by a stagnant or declining rate

of population growth, pre-agricultural level of technology and extremely low level of literacy. [So far 75, PVTGs are identified. (Annexure 1)]

(e) Dispersed tribal population outside (a), (b), (c) and (d) above.

3.3.1 Organizational structure (including district and field level set up) and administrative jurisdiction of an ITDA (or any other designated authority) may be decided by concerned State Government / UT administration.

3.3.2 Above areas need to be notified by Ministry of Tribal Affairs (MoTA), as proposed by State Government, before these can be reckoned with, as basis for allocation of funds. State Governments have to submit a proposal with details of identified area and population (as per 2011 Census) along with a map to MoTA accordingly.

4. Criteria for Inter-State Allocation

4.1 From 2016-17 onwards, allocation of funds among above 27 States (Para 3.1) under Art. 275(1) Grants shall be made in following manner:

- a) 50% based on State ST population,
- b) 25% based on tribal areas covered under ITDPs / ITDAs. A few States where no ITDP / ITDA has been constituted, area of concerned Block / Panchayat Samiti (Middle level PRI), where ST population is 50% or more would be taken into account, and

From 2017-18 and onwards, above tribal area would include geographical area of

- (1) ITDPs
- (2) MADA Pockets, and
- (3) Cluster Pockets

as per 2011 Census basis.

Since these details are not readily available, only ITDPs / ITDAs area are accounted for in current fiscal 2016-17. In absence of above, area as worked out (Annexure 2) would be taken into account.

Total geographical area (in sq. kms) of Tribal Majority States i.e., Arunachal Pradesh, Meghalaya, Mizoram and Nagaland would be taken into account.

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- c) Remaining 25% of allocation would be as per an analysis of outcome-based performance of concerned States.

Parameters for evaluation of performance would be notified separately.

- 4.2 Minimum Floor will be based on 75% of 2015-16 allocations made on ST population basis. This floor allocation shall be subject to a minimum of Rs. 4.50 Crores (with 100% being Rs. 6.00 Crores).
- 4.3 A statement showing ST population of State, ITDP / ITDA area, and minimum floor allocation is at Annexure 8.

5. Inter-District Allocation Criteria

- 5.1.1 Inter-District allocation of Art. 275(1) Grants funds shall be as follows:

- (i) 66⅔ % on population
(ii) 33⅓ % on Area. (i.e., on 2:1 proportion based on population : area)

Only such area needs to be taken into account where ST population is more than 50% of total population of such District / Sub-Division / Block / revenue Village.

In case of tribal majority States (para 4.1 above), entire geographical area of districts needs to be considered. (Since these States have > 50% ST population in the State as a whole.)

- 5.1.2 In Project Appraisal Committee (PAC) meetings, State Government must submit such area details. (With revenue village being smallest constituent unit for MADA, Cluster Pockets and Blocks / Panchayat Samitis being the constituent unit of ITDPs.) (Except for 4 tribal majority States.)

- 5.2.1 Districts having 25% or more STs (of district population) shall be focussed, for implementation of tribal development programmes. List of 177 Districts with 25% ST population or more (based on 2011 Census) is at Annexure 4. This also includes Districts, affected by Left Wing Extremism (LWE) activities (where ST population is even less than 25% floor). In case of such LWE affected areas, tribal inhabited areas are normally localized (with ST population being 50% or more of total population of revenue villages of such identified area) in a particular part of District. Area of such Sub-Division / Block / Village can be taken into account for area calculation.

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Such details of identified areas and population (as per 2011 Census) along with a map must be provided by concerned State Govt. in 2016-17 PAC meetings.

5.2.2 All MADA pockets / clusters shall be covered under some or the other development programmes within every cycle of three years. (Starting from 2016-17)

5.3.1 Within ST population, some ST communities count each more than 5% population in every State. Details of such communities is at Annexure 5.

5.3.2 While doing inter-district allocation for tribal development programmes / activities for such communities should be especially focussed.

In case where economic basis of tribal household economy of more than one ST community is same, programmes can be common with such communities and clubbed for fund allocation. For Example, in Himachal Pradesh, Gaddi and Gujjar STs (both being livestock dependent households) can be covered with similar type of development programmes / activities.

5.3.3 Fund allocation must be $\pm 10\%$ of corresponding ST population share. That is, if a community counts for 20% of State ST population, then programmes should be for 18% - 22% band of total fund allocation for such a community.

If this community is more backward, then an increased allocation may be justified based on human development index parameters. In any case, if the allocation works out to lower than 18%, then total State allocation would be reduced accordingly.

5.4 State Government may inform as to any discrepancy in calculation of area (with $\geq 25\%$ ST population based on 2011 Census) or community-wise % data (2011 Census). Relevant information would be reviewed and accounted for after revision of concerned data accordingly.

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6 Intra-State (Sectoral activities, community, area-wise) Prioritization and Allocation:

6.1.1 Priority must be accorded as under:

	Activity		Fund Allocation
(i)	Education	–	40 - 50%
(ii)	Health	–	10 - 15%
(iii)	Agriculture, Horticulture, Animal Husbandry (AH), Fisheries, Dairy & others in Primary Sector	–	20 - 30%
(iv)	Other income generating schemes to augment Tribal household economy	–	10 - 15%
(v)	Administrative structure (incl. manpower) / Institutional framework & Research studies	–	< 5 - 10%
	Total:		100%

6.1.2 Conjunctural use with dovetailing of financial resources from ongoing activities of line departments must be resorted, to ensure larger spatial and higher demographic coverage (under TSP flow concept or funds especially available under Central Sector / Centrally Sponsored Schemes.)

6.1.3 Cluster (multiple beneficiaries in one location) approach on saturation (all beneficiaries of an identified area are covered / benefitted by Government activity / programmes) basis can be an excellent modus operandi, especially for districts with $\geq 50\%$ and even for $\geq 25\%$ ST population.

6.1.4 Use of institutional finance should also be optimized.

6.1.5 Projects modelled on Public - Private (Sector) Participation (PPP mode) can go a long way especially for Education and Health sectors and other human resource development programmes.

6.2.1 Primarily activities of non-recurring nature (including infrastructure and equipment with at least three years life time) shall be supported under Art. 275(1) Grants. Fund for recurring component of such programmes / schemes shall be borne by State funds / TSP allocation. An illustrative list of activities for Art. 275(1) Grants funding is at Annexure 9.

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- 6.2.2 ST Communities with similar livelihood pattern / traditional occupation (i.e. income source same for tribal household economy) should be clubbed together for the purpose of planning under Art. 275(1) Grants.

ST household, especially entitled land right under FRA, 2006 should be covered by Programmes, Activities; especially designed for them.

So also should be coverage of women Self Help Groups (SHGs), beneficiaries.

- 6.3 Major infrastructure sector, like road connectivity, electricity, drinking water, major irrigation projects, housing would not be funded under Art. 275(1) Grants, as substantive part of State Plan funds go into these programmes.
- 6.4 It is relevant to emphasize that close to 80% of tribal households depend upon agriculture and other primary sector economic activities. Guidelines of Ministry of Rural Development (MoRD) especially provide for MGNREGA works on individual tribal lands with State-funding. Such provision under extant guidelines must be utilized to ensure better income and livelihood support to ST households.
- 6.5 Committed liability of approved programmes / activities (in previous years) would be accorded priority for allocation of funds.

7. **Plan Formulation:**

- 7.1 State Tribal Development / Social welfare or other Department (in charge of tribal development / activities) will be the nodal department for tribal development programmes / activities (including under TSP flow of funds). The nodal department will work in close coordination with all relevant line departments.
- 7.2 Secretary of the Nodal department will be Member-Secretary of the Executive Committee (EC), chaired by Chief Secretary to State Government. The EC will be responsible for appraisal and approval of perspective document as well as of TSP schemes of different departments for inclusion in Annual TSP. The EC shall also be responsible for monitoring and evaluation of TSP Plans, programmes and activities.
- 7.3 Plan formulation necessarily must consist of following steps
- i. Preliminary exercise,
 - ii. Selection of Schemes, Programmes and Activities, and
 - iii. Plan finalization under TSP, along with norms for TSP allocation.

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Annexure 10 describes in detail above steps for plan formulation.

8. Plan Documentation

- 8.1 State Government shall prepare a comprehensive perspective TSP document, taking into account all available sources of funding, to serve as a road map for implementation. Funds available for TSP under Central Sector and Centrally Sponsored Schemes as well as State Plans and Central Plans shall be pooled for TSP planning.

This perspective document shall, inter-alia, reflect on:

- (1) Strategy to address gaps and deficits in terms of relevant schemes taking into consideration strengths of tribal community, allocation of funds, fixing physical targets to address inter-tribal and inter-habitation variance / inequalities in their socioeconomic status, while adhering to an equity based approach.
- (2) Needs of Particularly Vulnerable Tribal Groups (PVTGs) will be accorded priority with focused approach and special attention to improve their conditions of food security, health and education for mainstreaming these sections.
- (3) The strategy should define priorities for TSP with a focus on long-term sustained gains in relation to area development.
- (4) Likely flow of benefits, in financial as well as physical terms, and specific steps required for accessing benefits by tribals from each of national (and State) level Flagship Schemes must be quantified.

Mechanism / surveillance system to ensure utilization of funds meant for the intended purpose.

- (5) Role and contribution of NSTFDC and State level STFDC and TRIFED etc should be categorically provided for.
- (6) Critical evaluation to assess whether ongoing schemes / programmes have potential to accelerate pace of development of STs and result in bridging gap in development in a time-bound manner.

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(7) Evaluation as to how TSP has and is likely to help STs in respect of following key areas:

- a) Prevention of land alienation and indebtedness;
- b) Access and control over forest and effective implementation of FRA Act, 2006 and PESA, wherever applicable; and
- c) Involuntary displacement due to development projects to be addressed with proper resettlement and rehabilitation support.

(8) Outcome Analysis with critical evaluation of implementation strategies in terms of effectiveness of schemes / programmes.

8.2 The State shall break up Perspective Plan into doable annual Action Plans and accordingly prepare annual plan documents taking into account all available funds during year, including State Plan, Central Sector and Centrally Sponsored Schemes.

9. TSP fund flow and Allocation of Art. 275 (1) Grants

9.1 Earmarking TSP funds and working out Art. 275(1) Grants for “Critical Deficit Areas” is a must to ensure catalytic impact. Mechanism to do this is given at Annexure 11.

9.2 These steps must be followed so as to formulate a proper proposal for funding programmes, schemes and activities under Art. 275(1) Grants.

10. Institutional Structure

10.1 Nodal Department should be adequately strengthened through technical support group, knowledge leadership, analytical functioning in areas pertaining to strategic planning, demand assessment, gap analysis, long term impact of schemes / programmes. Collection of related data is a must for evidence-based planning and decision making and capacity building at all levels.

10.2 State Government shall establish (most already have) following institutional structures and mechanism for effective formulation, implementation and monitoring of TSP.

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(A) State Level

- (1) **Apex Level Committee** (ALC) or a Tribal Advisory Council (TAC) should be with Chief Minister as Chairperson and Minister of Nodal Department as Vice-chairman.

Key functions:

- (a) To formulate policies relating to TSP;
- (b) To approve perspective TSP document and Annual TSP Plans; and
- (c) To suggest measures for proper planning and implementation of schemes by different departments; and
- (d) To monitor progress of TSP so as to take timely corrective measures for improving performance of line departments

The ALC / TAC will meet once in six-months. Nodal Department provides necessary secretarial backup to ALC / TAC.

- (2) **Executive Committee** should be with following composition:

- | | | |
|--|---|------------------|
| (i) Chief Secretary | - | Chairperson |
| (ii) Principal Secretary / Secretary-in-charge of all line departments | - | Members |
| (iii) Principal Secretary / Secretary-in-charge of Nodal department | - | Member Secretary |

Key functions:

- (a) Appraisal of perspective TSP document and finalization of Annual Tribal Sub Plan (TSP).
- (b) Monitoring and Evaluation / implementation of Annual TSP.
- (c) Formulation of strategy for tackling development deficit of STs.

The Executive Committee will hold its meetings once every three months.

(B) District Level

- (1) District Planning and Monitoring Committee (DPMC) should be with following composition:

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- (i) Dy. Commissioner / District Collector - Chairperson
- (ii) Project Officers of ITDP / ITDA - Secretary
- (iii) District level officers of concerned line Depts. - Members

The DPMC may also have representation from local legislative and parliamentary constituencies.

Key functions:

- (a) Formulate plan at the District level.
- (b) Get it approved by the District Planning Committee.
- (c) Review implementation of programmes / activities under Art. 275(1) Grants every month.
- (d) Communicate quarterly Performance Review Report to nodal department for review by it and Executive Committee.

(2) Panchayati Raj Institution: Zila Parishad / Panchayat Samiti Level

Panchayati Raj Institutions should review implementation of ongoing development programmes / activities in different locations on a monthly / quarterly basis and forward their observations to DPMC.

10.3 Proposals submitted to Ministry of Tribal Affairs (MoTA) Project Appraisal Committee (PAC) must be pre-approved by Executive Committee under Chief Secretary.

11 Approval Process

Project Appraisal Committee (PAC) in MoTA would consist of:

- | | | |
|-------|--|-----------------|
| (i) | Secretary, Ministry of Tribal Affairs (MoTA) | Chairperson |
| (ii) | Joint Secretary, MoTA | Member |
| (iii) | Principal Secretary / Secretary, Commissioner Tribal Development / Social Welfare (dealing exclusively with Tribal Development) and Planning Deptt. of concerned State Government. | Member |
| (iv) | Financial Advisor, MoTA | Member |
| (v) | Adviser, NITI Aayog | Member |
| (vi) | Concerned Director / Dy. Secretary / Under | Member Convenor |

	Secretary, MoTA	
(vii)	JS or Equivalent (Eqv.) Officer (Offr), MoRD	Invitee
(viii)	JS or Eqv. Offr, Mo HRD (School Education)	Invitee
(ix)	JS or Eqv. Offr, Do Agriculture, Cooperation and Farmers' Welfare	Invitee
(x)	JS or Eqv. Offr, Do Agriculture Research and Education (DARE)	Invitee
(xi)	JS or Eqv. Offr dealing with Horticulture [(Do Agriculture, Mission for Integrated Devt. of Horticulture (MIDH)]	Invitee
(xii)	JS or Eqv. Offr, Do Animal Husbandry, Dairying & Fisheries	Invitee
(xiii)	JS or Eqv. Offr, Mo Health & Family Welfare	Invitee

Other officials (Preferably JS or Eqv. Offr. (from any other Ministry / Department) can be coopted as invitees, as necessitated, with approval of Chairman, MoTA - PAC.

PAC will appraise and approve projects to be funded under Art. 275(1) Grants.

12. Monitoring

- 12.1 State Tribal (Nodal) Department will co-ordinate progress of various schemes / programmes and design a comprehensive monitoring framework with well-defined indicators, covering fund allocation, release and expenditure, service delivery standards as well as outcomes.
- 12.2 Concerned line departments will specifically monitor TSP progress and performance within their regular monitoring mechanisms at all levels.
- 12.3 Nodal department will monitor progress for review by the Executive Committee. (Chaired by Chief Secretary)
- 12.4 Monthly / Quarterly Performance Review report of State TSP, in general and programmes / activities funded under Art. 275(1) Grants would be communicated to MoTA through online / e-mail system.
- 12.5 A MIS format for above would be designed and circulated by MoTA at the earliest. Such progress reports must come within 30 days of concerned month / quarter.

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12.6 In addition to regular monitoring as above effective evaluation of schemes under TSP must be done as under:

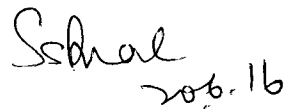
- (i) A Bench - Mark Survey (BMS) to assess delivery of benefits under TSP to reach STs.

It should reflect benefits already drawn, socio-economic status of STs, occupational category, availability of basic amenities etc. It shall be conducted on a continuing basis to reflect impact as measurable indications of socio-economic upliftment and change.

- (ii) State Tribal Research Institutions should be involved in this process.
- (iii) Evaluation studies on TSP shall be undertaken to oversee not only implementation and monitoring of utilization of funds under TSP, but also evaluation of programmes / schemes under TSP and their impact on upliftment of socio economic conditions of STs.

This supersedes all previous circulars / guidelines issued so far and come into effect immediately.

Encl: As above


(Dr. Shyam S. Agarwal)
Secretary to the Government of India
Tele: 23381652


No. 11015/01/2016-SG-I

Dated: 20.06.2016

Copy forwarded for Information and necessary action to –

- (i) Secretary to Government of India, Central Ministries / Departments (All).
- (ii) CEO, NITI Aayog, New Delhi.
- (iii) Secretary, National Commission for STs.
- (iv) Principal Secretary / Secretary, Finance Department of States (with ST population).
- (v) Principal Secretary / Secretary, Planning Department of States (with ST population).
- (vi) Directors, Tribal Research Institutes States.


(vii) Project Director, ITDPs / ITDA (All States)


20.6.16
(G Ramesh Kumar)

Joint Secretary to the Government of India
Tele: 23073176

Copy forwarded for information to –

- (1) JSs (and Eqv. Offrs.), MoTA (All)
- (2) PS to Hon'ble Minister, Tribal Affairs
- (3) PS to Hon'ble MoS, Tribal Affairs
- (4) Directors / Deputy Secretaries, MoTA (All)
- (5) PPS to Secy (TA)
- (6) CMD, NSTFDC; and MD, TRIFED
- (7) Joint Director, USs, DDs, ADs, SOs, ROs; MoTA (All)

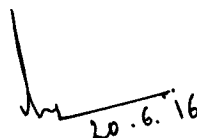

20.6.16
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Under Secretary
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List of Annexures

- Annexure 1 - PVTGs – State and UT-wise
- 2 - State-wise ITDP / ITDA area statement
 - 8 - Allocation under Proviso to Article 275(1) Grants 2016 – 17
 - 4 - Districts with ST population (2011 Census) for priority under Development Programmes / Schemes
 - 5 - Major Scheduled Tribe Communities (State-wise 2011 Census)
 - 9 - List of activities (Illustrative) for Art. 275(1) Grants funding
 - 10 - Plan Formulation for Programmes / Activities under Art. 275(1) Grants and Tribal Sub Plan (TSP)
 - 11 - Earmarking / Allocation of Grants under Proviso to Art. 275(1) for Tribal Development Programmes / Activities (under TSP)

Particularly Vulnerable Tribal Groups (PVTGs) - State / UT wise

			(As on 1.6.2016)
S.No.	State / UT	Name of PVTGs	Population (Census 2011)
1	Andhra Pradesh (including Telangana)	1. Bodo Gadaba ⁺⁺ 2. Bondo Poroja ⁺ 3. Chenchu 4. Dongria Khond ⁺⁺ 5. Gutob Gadaba ⁺⁺ 6. Khond Poroja ⁺ 7. Kolam ⁺⁺ 8. Kondareddis 9. Konda Savaras ⁺ 10. Kutia Khond ⁺⁺ 11. Parengi Poroja ⁺⁺ 12. Thoti	64,227 1,07,747 4,811
2	Bihar	13. Asurs 14. Birhor 15. Birjia 16. Hill Kharia ⁺⁺ 17. Korwas 18. Mal Paharia 19. Parhaiyas 20. Sauria Paharia 21. Savar	4,129 377 208 452 2,225 647 1,932 80
2a	Jharkhand	13a. Asur 14a. Birhor 15a. Birjia 16a. Korwa 17a. Mal Paharia 18a. Parhaiyas 19a. Sauria Paharia 20a. Savar	22,459 10,726 6,276 35,606 1,35,797 25,585 46,222 9,688
3	Gujarat	22. Kathodi ⁺⁺ 23. Kotwalia ⁺⁺ 24. Padhar ⁺⁺ 25. Siddi 26. Kolgha ⁺⁺	 8,661
4.	Karnataka	27. Jenu Kuruba 28. Koraga	36,076 14,794
5.	Kerala	29. Cholanaiayakan (a section of Kattunaickans) ⁺⁺ 30. Kadar 31. Kattunayakan 32. Kurumbas 33. Koraga	 2,949 18,199 2,586 1,582



S.No.	State / UT	Name of PVTGs	Population (Census 2011)
15	Andaman & Nicobar Islands	71. Great Andamanese ⁺	
		72. Jarawas	380
		73. Onges	101
		74. Sentinelese	15
		75. Shom Pens	229
Total			16,71,613

Note:

- + These 13 communities do not figure in present ST list. Hence, Census data are not available community-wise for these PVTGs.
- ++ These 22 PVTGs do not appear as main STs. Hence, Census data on these sub tribes are not available separately, but merged with concerned main STs.

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State wise ITDP / ITDA Area Statement (As on 1.6.2016)

Sl. No.	ITDP / ITDA	District	Administrative unit below Dist.	Area in sq.km.
1	2	3	4	5
1 ANDHRA PRADESH				
A	1	Kotaramachandrapuram	West Godavari (Eluru)	7
	2	Paderu	Visakhapatnam	18
	3	Parvathipuram	Vizianagaram	14
	4	Rampachodavaram	East Godavari (Kakinada)	10
	5	Seethampeta	Srikakulam	13
B	6	Chinthur	East Godavari (Kakinada)	4
	7	Nellore	SPSR Nellore	
	8	Srisailem	Kurnool	
Total :	8 ITDAs	7 Districts	66 Blocks	15,018 *
2 BIHAR				
Total :	There is no ITDP / ITDA			118
3 CHHATTISGARH				
	1	Ambikapur	Balrampur	1
			Surguja	7
	2	Baikunthpur	Koriya	5
	3	Bhanupratappur	Kanker	5
	4	Bijapur	Bijapur	4
	5	Dantewada	Dantewada	4
	6	Daundi Lohara	Balod	4
			Raigarh	5
	7	Dharamjaigarh	Jashpur	1
	8	Gariyaband	Gariyaband	3
	9	Gaurela	Bilaspur	5
			Kabirdham	1
			Mungeli	1
	10	Jagdulpur	Bastar	7
	11	Jashpur	Jashpur	7
	12	Kondagaon	Kondagaon	5
	13	Korba	Korba	5
			Bilaspur	2
	14	Nagri	Dhamtari	2
	15	Narayanpur	Narayanpur	2
			Kanker	2
	16	Rajnandgoan	Rajnandgoan	6
	17	Ramanujganj (Pal)	Balarampur	5
	18	Sukma	Sukma	3
	19	Surajpur	Surajpur	6
Total	19 ITDPs	21 Districts	98 Blocks	55,262 *
4 GOA				
Total :	There is no ITDP / ITDA			0

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Sl. No.	ITDP / ITDA	District	Administrative unit below Dist.	Area in sq.km.
1	2	3	4	5
5 GUJARAT				
A	1	Ahwa	Dangs	1
	2	Chhotaudepur	Vadodara	4
	3	Dahod	Dahod	7
	4	Khedbrahma	Sabarkantha	4
	5	Mandvi	Surat-II	5
	6	Palanpur	Banaskantha	2
	7	Rajpipla	Narmada	4
	8	Songadh	Surat-I	5
	9	Vansada	Navsari	2
B	10	Bharuch	Bharuch	2
	11	Godhra	Panchmahal	3
	12	Valsad	Valsad	4
Total :		12 ITDPs	12 Districts	43 Talukas
				26,042
6 HIMACHAL PRADESH				
	1	Bharmour	Chamba	Bharmour
	2	Pangi	Chamba	Pangi
	3	Kinnaur	Kinnaur(Reckong Peo)	Nichar, Kalpa, Pooh
	4	Lahaul	Lahaul & Spiti (Keylong)	Lahaul
	5	Spiti	Lahaul & Spiti (Keylong)	Spiti
Total :		5 ITDPs	3 Districts	7 Blocks
				23,655
7 JAMMU & KASHMIR				
Total :		There is no ITDP / ITDA		50,135
8 JHARKHAND				
A	1	Chaibaasa	Pashchimi Singhbhum	
	2	Chakradharpur		
	3	Dumka	Dumka	10
	4	Gumla	Gumla	12
	5	Jamtara	Jamtara	6
	6	Khunti	Khunti	6
	7	Latehar	Latehar	9
	8	Lohardaga	Lohardaga	7
	9	Pakur	Pakur	6
	10	Purbi Singhbhum	Purbi Singhbhum	11
	11	Rajmahal	Sahibganj	9
	12	Ranchi	Ranchi	18
	13	Saraikela	Saraikela-Kharsawan	8
	14	Simdega	Simdega	10
B	15	Godda	Godda	2
	16	Garhwa	Garhwa	1
Total		16 ITDPs	15 Districts	133 Blocks
				43,604
9 KARNATAKA				
	1	Chikmagalur	Chikmagalur	7
	2	Dakshin Kannada	Dakshin Kannada	7
	3	Kodagu	Kodagu	3
	4	Mysore	Mysore	7
	5	Udupi	Udupi	6
Total		5 ITDPs	5 Districts	30 Talukas
				25,397

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Sl. No.	ITDP / ITDA	District	Administrative unit below Dist.	Area in sq.km.
1	2	3	4	5
10 KERALA				
1	Thodupuzha	Idukki	6	
2	Kannur	Kannur	7	
3	Kanjirappally	Kottayam	11	
4	Nilambur	Malappuram	13	
5	Attappady	Palakkad	1	
6	Nedumangad	Thiruvananthapuram	11	
7	Wayanad	Wayanad	1	
Total	7 ITDPs	7 Districts	50 Blocks	6,128

11 MADHYA PRADESH

1	Alirajpur	Alirajpur	6	
2	Baagli	Dewas	3	
3	Bandhavgarh	Umaria	2	
4	Barwani	Barwani	4	
5	Behar	Balaghat	3	
6	Betul	Betul	5	
7	Bhainsdehi	Betul	3	
8	Deosar	Singrauli	2	
9	Dhar	Dhar	4	
10	Dindori	Dindori	5	
11	Harda	Harda	4	
12	Jaisingnagar	Shahdol	1	
13	Jhabua	Jhabua	6	
14	Karahal	Sheopur	2	
15	Kesla	Hoshangabad	4	
16	Khandwa	Khandwa	4	
17	Khargone	Khargone	6	
18	Kukshi	Dhar	8	
19	Kundam	Jabalpur	5	
20	Kurai	Seoni	1	
21	Kusmi	Sidhi	6	
22	Lakhnadoun	Seoni	4	
23	Maheshwar	Khargone	1	
24	Mandla	Mandla	6	
25	Niwas	Mandla	7	
26	Pushprajgarh	Anuppur	1	
27	Sailana	Ratlam	3	
28	Saunsar	Chhindwara	4	
29	Sendhwa	Barwani	3	
30	Shahdol	Shahdol	7	
31	Tamia	Chhindwara	8	
Total	31 ITDPs	23 Districts	128 Blocks	1,08,199 *

12 MAHARASHTRA

A	1	Aheri	Gadchiroli	3
	2	Bhamragad	Gadchiroli	2
	3	Chandrapur	Chandrapur	10
	4	Dahanu	Palghar	4
	5	Dharni	Amaravati	14
	6	Gadchiroli	Gadchiroli	7
	7	Ghodegaon	Pune	14
			Satara	11
			Sangli	10
			Kolhapur	12

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Sl. No.	ITDP / ITDA	District	Administrative unit below Dist.	Area in sq.km.
1	2	3	4	5
8	Jawhar	Palghar	4	
9	Kalwan	Nashik	7	
10	Kinwat	Nanded	16	
11	Nandurbar	Nandurbar	3	
12	Nashik	Nashik	8	
13	Pandharkawda	Yavatmal	8	
14	Rajur	Ahmadnagar	14	
15	Shahapur	Thane	7	
16	Taloda	Nandurbar	3	
17	Yawal	Jalgaon	15	
B 18	Akola	Akola	7	
		Buldhana	13	
		Washim	6	
19	Aurangabad	Aurangabad	9	
		Beed	11	
		Jalna	8	
		Latur	10	
21	Borivali	Mumbai	1	
		Mumbai Sub-urban	1	
22	Chimur	Chandrapur	5	
23	Deori	Gondiya	8	
24	Dhule	Dhule	4	
25	Kalamnuri	Hingoli	5	
		Parbhani	9	
26	Nagpur	Nagpur	14	
		Wardha	8	
27	Pen	Raigad	15	
		Ratnagiri	9	
		Sindhudurg	8	
28	Pusad	Yavatmal	8	
29	Solapur	Solapur	11	
		Osmanabad	8	
29	Bhandara	Bhandara	7	
Total	29 ITDPs	36 Districts	357 Tehsils	39,307

13 ODISHA

1	Baliguda	Kandhamal	9
2	Baripada	Mayurbhanj	10
3	Bhawanipatna	Kalahandi	2
4	Bonei	Sundargarh	4
5	Champua	Kendujhar	3
6	Gunupur	Rayagada	7
7	Jeypore	Koraput	5
8	Kaptipada	Mayurbhanj	4
9	Karanjia	Mayurbhanj	5
10	Keonjhar	Kendujhar	7
11	Koraput	Koraput	9
12	Kuchinda	Sambalpur	3
13	Malkangiri	Malkangiri	7
14	Nilagiri	Balasore	1
15	Nowrangpur	Nowrangpur	10

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Sl. No.	ITDP / ITDA	District	Administrative unit below Dist.	Area in sq.km.
1	2	3	4	5
16	Panposh	Sundargarh	4	
17	Parlakhemundi	Gajapati	5	
18	Phulbani	Kandhamal	3	
19	Rairangpur	Mayurbhanj	7	
20	Rayagada	Rayagada	4	
21	Sundargarh	Sundargarh	9	
22	Teleibani	Deogarh	1	
Total	22 ITDAs	13 Districts	119 Blocks	63,896

14 RAJASTHAN

1	Banswara	Banswara	Ghatol	1268
			Garhi	711
			Banswara	1183
			Bagidora	860
			Kushalgarh	1046
			Sub Total	5068
2	Dungarpur	Dungarpur	Dungarpur	1673
			Aspur	683
			Sagwara	1454
			Sub Total	3811
3	Udaipur	Udaipur	Kotra	1134
			Jhadol	1470
			Girwa (Partly)	977
			Sarada	1083
			Dhariyawad	1203
			Salumber	934
			Kherwara	1089
			Sub Total	7889
4	Pratapgarh	Pratapgarh	Pratapgarh	1458
			Arnod	697
			Sub Total	2155
5	Sirohi	Sirohi	Aburoad (Block)	848
			Sub Total	848
Total:	5 ITDPs	5 Districts	18 Tehsils	19,770

15 TAMIL NADU

A	1	Arunuthumalai	Salem	1
	2	Jawadhu Hills, Jamunar	Tiruvannamalai	1
	3	Kalrayan Hills	Salem	1
	4	Kalrayan Hills Vellima	Vilupuram	1
	5	Kolli Hills	Namakkal	1
	6	Pachamalai	Salem	1
	7	Pachamalai	Tiruchirappalli	1
	8	Sitteri Hills	Dharmapuri	1
	9	Yercaud Hills	Salem	1
		Jawadhu & Yelagiri		
B	10	Hills	Vellore	3
Total :	10 ITDPs	7 Districts	12 Blocks	2,058

16 TELANGANA

A	1	Bhadrachalam	Khammam	26
	2	Eturunagaram	Warangal	11
	3	Utnoor	Adilabad	32
B	4	Mannar	Mahabubnagar	3
Total :	4 ITDAs	4 Districts	72 Mandals	18,760 *

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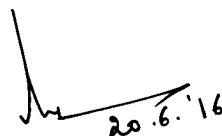
Sl. No.	ITDP / ITDA	District	Administrative unit below Dist.	Area in sq.km.
1	2	3	4	5
17 UTTARAKHAND				
Total : There is no ITDP / ITDA				1,435
18 UTTAR PRADESH				
1	Chandan Chowki	Kheri	2	
Total : 1 ITDP				92
19 WEST BENGAL				
A	1 Bankura	Bankura	22	
	2 Bardhaman	Bardhaman	31	
	3 Birbhum	Birbhum	19	
	4 Darjeeling	Darjeeling -Gorkhaland	8	
		Siliguri	4	
	5 Hooghly	Hooghly	18	
	6 Jalpaiguri	Jalpaiguri	7	
	7 Maldah	Maldah	15	
	8 Murshidabad	Murshidabad	26	
	9 North 24 Parganas	North 24 Parganas	22	
	10 Paschim Medinipur	Paschim Medinipur	29	
	11 Purulia	Purulia	20	
	12 South 24 Parganas	South 24 Parganas	29	
	13 Uttar Dinajpur	Uttar Dinajpur	9	
B	14 Alipurduar	Alipurduar	6	
	15 Dakshin Dinajpur	Dakshin Dinajpur	8	
Total : 15 ITDPs				8,499
<u>NORTH EASTERN STATES</u>				
20 ASSAM				
Total : 19 ITDPs				9,347
21 MANIPUR				
	1 Chandel	Chandel	7	
	2 Churachandpur	Churachandpur	13	
	3 Senapati	Senapati	12	
	4 Tamenglong	Tamenglong	5	
	5 Ukhul	Ukhul	8	
Total : 5 ITDPs				20,126
22 SIKKIM				
	1 East District	East District		
	2 North District	North District		
	3 South District	South District		
	4 West District	West District		
Total : 4 ITDPs				4,444
23 TRIPURA				
Total:				7,148
Total (23 States)	217 ITDPs	184 Districts	1453	4,96,753

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Sl. No.	ITDP / ITDA	District	Administrative unit below Dist.	Area in sq.km.
1	2	3	4	5
TRIBAL MAJORITY STATES				
24	ARUNACHAL PRADESH			83743
25	MEGHALAYA			22,429
26	MIZORAM			21,081
27	NAGALAND			16,579
Grand Total (27 States):				6,40,584

Note:

1. Superscript + , Area apportioned based on total area of undivided State and proportion of ST population, since details provided by concerned State Government calls for reconciliation.
2. Blanks in col (4) imply relevant data has not been received from concerned State / UT
3. In case of variation or no data received for total area (in sq. km.) from any State, figures taken are as per Report of the Working Group of Development and Welfare of STs, 1990-95.
4. Against any State entry A and B indicate as under:
A- As per record of Ministry of Tribal Affairs (MoTA), B - Further as reported by State.
5. 1990-95 data is used because thereafter (except for Teleibani in Odisha State which stands included in data) no additional ITDA / ITDP has been declared by

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Annexure 3

Floor Allocation under SCA to TSP (2016-17)

(Rs. in Lakh)

Sl. No.	States	ST Popln (in lakh)	ITDP / ITDA Area (in sq km)	2015-16 Allocation	2016-17 Allocation Proposed			Proposed Allocation (75%)	
				75% on Popln (Floor) 113226.00	50% (on popln)	25% (on area)	75% (6+7)		
1	2	3	4	5	6	7	8	9	10
				849,20	625,00	312,50	937,50	Min.	Max
A									
1	AP	26.31	15,018	22,85.84	16,82.35	8,55.72	25,38.07	22,85.84	25,38.07
2	Bihar	13.37	118	11,61.60	8,54.92	6.72	8,61.64	8,61.64	11,61.60
3	Chhattisgarh	78.23	55,262	67,96.71	50,02.28	31,48.82	81,51.09	67,96.71	81,51.09
4	Goa	1.49	0	1,29.45	95.28	0.00	95.28	95.28	4,50.00
5	Gujarat	89.17	26,042	77,47.19	57,01.81	14,83.87	71,85.68	71,85.68	77,47.19
6	HP	3.92	23,655	3,40.57	2,50.66	13,47.86	15,98.51	3,40.57	15,98.51
7	J & K	14.93	50,135	12,97.14	9,54.67	28,56.68	38,11.35	12,97.14	38,11.35
8	Jharkhand	86.45	43,604	75,10.88	55,27.89	24,84.55	80,12.44	75,10.88	80,12.44
9	Karnataka	42.49	25,397	36,91.58	27,16.95	14,47.12	41,64.06	36,91.58	41,64.06
10	Kerala	4.85	6,128	4,21.37	3,10.12	3,49.17	6,59.30	4,21.37	6,59.30
11	MP	153.17	108,199	133,07.59	97,94.18	61,65.16	159,59.34	133,07.59	159,59.34
12	Maharashtra	105.10	39,307	91,31.21	67,20.43	22,39.70	89,60.13	89,60.13	91,31.21
13	Odisha	95.91	63,896	83,32.77	61,32.79	36,40.78	97,73.57	83,32.77	97,73.57
14	Rajasthan	92.39	19,770	80,26.95	59,07.71	11,26.49	70,34.20	70,34.20	80,26.95
15	Tamil Nadu	7.95	2,058	6,90.71	5,08.35	1,17.26	6,25.61	6,25.61	6,90.71
16	Telangana	32.87	18,760	28,55.78	21,01.81	10,68.94	31,70.75	28,55.78	31,70.75
17	UP	11.34	92	9,85.23	7,25.12	5.24	7,30.36	7,30.36	9,85.23
18	Uttarakhand	2.92	1,435	2,53.69	1,86.71	81.77	2,68.48	2,53.69	4,50.00
19	W Bengal	52.97	8,499	46,02.09	33,87.07	4,84.27	38,71.34	38,71.34	46,02.09
	Total (A)	915.82	507,375	795,68.37	585,61.10	289,10.12	874,71.22	764,58.16	910,83.46
B									
	NE States								
20	Assam	38.84	9,347	33,74.46	24,83.55	532.59	30,16.14	30,16.14	33,74.46
21	Manipur	9.03	20,126	7,84.54	5,77.41	1146.78	17,24.18	7,84.54	17,24.18
22	Sikkim	2.06	4,444	1,78.98	1,31.72	253.22	3,84.94	1,78.98	4,50.00
23	Tripura	11.67	7,148	10,13.90	7,46.22	407.29	11,53.51	10,13.90	11,53.51
	Total (B)	61.60	41,065	53,51.88	39,38.90	23,39.88	62,78.78	49,93.56	67,02.15
	Grand Total	977.43	548,440	849,20.25	625,00.00	312,50.00	937,50.00	814,51.72	977,85.61

Districts with ST Population (2011 Census) for Priority under Development Programmes / Schemes

(Popl. in Lakhs)

State / UT	≥ 50% STs, LWE affected(L)	≥ 25% & < 50% STs, LWE affected(L)	LWE districts with < 25% STs
Priority	1	2	3
(1)	(2)	(3)	(4)
Andaman & Nicobar Islands (1) Total 0.24	(1) Nicobars 0.24 (64.3%) 0.24	---	----
Andhra Pradesh (1-LWE) Total 6.19	---	---	(1) Vishakhapatnam 6.19 (14.4%) 6.19
Arunachal Pradesh (16) Total 9.50	(1) Kurung Kumey 0.91 (98.6%) (2) Upper Subansiri 0.78 (93.9%) (3) East Kameng 0.72 (92.0%) (4) Tirap 0.98 (87.9%) (5) Lower Subansiri 0.73 (87.8%) (6) West Siang 0.93 (82.6%) (7) Upper Siang 0.28 (80.6%) (8) Anjaw 0.16 (77.7%) (9) Dibang Valley 0.06 (71.2%) (10) East Siang 0.70 (70.5%) (11) Tawang 0.35 (69.7%) (12) Papum Pare 1.17 (66.4%) (13) West Kameng 0.46 (55.2%) 8.23	(1) Lower Dibang Valley 0.26 (48.0%) (2) Changlang 0.54 (36.3%) (3) Lohit 0.47 (32.5%) 1.27	----
Assam (7) Total 20.73	(1) Dima Hasao 1.52 (70.9%) (2) Karbi Anglong 5.39 (56.3%) 6.91	(1) Dhemaji 3.26 (47.4%) (2) Chirang 1.79 (37.1%) (3) Baksa 3.31 (34.8%) (4) Udalguri 2.67 (32.1%) (5) Kokrajhar 2.79 (31.4%) 13.82	
Bihar (6 LWE) Total 1.81	----	----	(1) Jamui 0.79 (4.5%) (2) Banka 0.9 (4.4%), (3) Muzzafarpur 0.06 (0.12%) (4) Nawada 0.02 (0.09%) (5) Gaya 0.03 (0.07%) (6) Aurangabad 0.01 (0.04%) 1.81

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State / UT	≥ 50% STs, LWE affected(L)	≥ 25% & < 50% STs, LWE affected(L)	LWE districts with < 25% STs
Priority	1	2	3
(1)	(2)	(3)	(4)
Chhattisgarh (11 + 8 LWE)	(1) Sukma (L) 2.09 (83.5%) (2) Bijapur (L) 2.04 (80.0%) (3) Narayanpur (L) 1.08 (77.4%) (4) Dantewada (L) 2.01 (71.1%) (5) Kondagaon (L) 4.11 (71.0%) (6) Balrampur 4.59 (62.8%) (7) Bastar (L) 5.21 (62.4%) (8) Jashpur 5.30 (62.3%) (9) Surguja 4.82 (57.4%) (10) Kanker (L) 4.15 (55.4%)	(1) Koriya 3.04 (46.2%) (2) Surajpur 3.60 (45.6%) (3) Korba 4.94 (40.9%) (4) Gariyaband 2.16 (36.1%) (5) Raigarh 5.06 (33.8%) (6) Balod 2.59 (31.4%) (7) Mahasamund 2.80 (27.1%) (8) Rajnandgaon (L) 4.05 (26.4%) (9) Dhamtari 2.08 (26.0%)	----
Total 65.72	35.4	30.32	
Dadra & Nagar Haveli (1)	(1) Dadra & Nagar Haveli 1.79 (52.0%)	----	----
Total 1.79	1.79		
Gujarat (10)	(1) The Dangs 2.16 (94.7%) (2) Tapi 6.79 (84.2%) (3) Narmada 4.81 (81.6%) (4) Chhota Udepur 8.57 (79.9%) (5) Dahod 15.81 (74.3%) (6) Valsad 9.03 (52.9%)	(1) Navsari 6.40 (48.1%) (2) Bharuch 4.88 (31.5%) (3) Mahisagar 2.85 (31.2%) (4) Panchmahal 4.40 (25.5%)	----
Total 65.7	47.17	18.53	
Himachal Pradesh (3)	(1) Lahul & Spiti 0.26 (81.4%) (2) Kinnaur 0.49 (58.0%)	(1) Chamba 1.36 (26.1%)	----
Total 2.11	0.75	1.36	
Jammu & Kashmir (5)	(1) Kargil 1.22 (86.9%) (2) Leh (Ladakh) 0.96 (71.8%)	(1) Punch 1.76 (36.9%) (2) Rajouri 2.33 (36.2%) (3) Reasi 0.88 (28.1%)	----
Total 7.15	2.18	4.97	
Jharkhand (4 + 16 LWE)	(1) Khunti (L) 3.90 (73.3%) (2) Simdega (L) 4.24 (70.8%) (3) Gumla (L) 7.07 (68.9%) (4) Pashchimi- Singhbhum (L) 10.11 (67.3%) (5) Lohardaga (L) 2.63 (56.9%)	(1) Latehar (L) 3.31 (45.5%) (2) Dumka (L) 5.71 (43.2%) (3) Pakur 3.79 (42.1%) (4) Ranchi (L) 10.42 (35.8%) (5) Saraikela-Kharsawan 3.75 (35.2%) (6) Jamtara 2.40 (30.4%) (7) Purbi Singhbhum (L) 6.54 (28.5%) (8) Sahibganj 3.08 (26.8%)	(1) Ramgarh 2.01 (21.2%) (2) Garhwa 2.06 (15.6%) (3) Bokaro 2.56 (12.4%) (4) Giridih 2.38 (9.7%) (5) Palamu 1.81 (9.3%) (6) Hazaribagh 1.22 (7.02%) (7) Chatra 0.46 (4.4%)
Total 79.45	27.95	39	12.5
Lakshadweep (1)	(1) Lakshadweep 0.61 (94.8%)	----	----

State / UT	≥ 50% STs, LWE affected(L)		≥ 25% & < 50% STs, LWE affected(L)		LWE districts with < 25% STs
Priority	1		2		3
(1)	(2)		(3)		(4)
Total 0.61	0.61				
Madhya Pradesh (19)	(1)	Alirajpur 6.49 (89.0%)	(1)	Anuppur 3.59 (47.9%)	
	(2)	Jhabua 8.92 (87.0%)	(2)	Umaria 3.01 (46.6%)	
	(3)	Barwani 9.62 (69.4%)	(3)	Shahdol 4.76 (44.7%)	
	(4)	Dindori 4.56 (64.7%)	(4)	Betul 6.67 (42.3%)	
	(5)	Mandla 6.11 (57.9%)	(5)	Khargone (West Nimar) 7.30 (39.0%)	
	(6)	Dhar 12.23 (55.9%)	(6)	Seoni 5.20 (37.7%)	
			(7)	Chhindwara 7.70 (36.8%)	
			(8)	Khandwa (East Nimar) 4.59 (35.1%)	
			(9)	Singrauli 3.84 (32.6%)	
			(10)	Burhanpur 2.30 (30.4%)	
			(11)	Ratlam 4.10 (28.2%)	
			(12)	Harda 1.60 (28.0%)	
			(13)	Sidhi 3.13 (27.8%)	
Total 105.72	47.93		57.79		
Maharashtra (4 + 1 LWE)	(1)	Nandurbar 11.42 (69.3%)	(1)	Gadchiroli (L) 4.15 (38.7%)	----
			(2)	Palghar 11.18 (37.4%)	
			(3)	Dhule 6.47 (31.6%)	
			(4)	Nashik 15.64 (25.6%)	
Total 48.86	11.42		37.44		
Manipur (5)	(1)	Tamenglong 1.35 (95.7%)	----		-----
	(2)	Ukhrul 1.74 (94.4%)			
	(3)	Churachandpur 2.55 (92.9%)			
	(4)	Chandel 1.28 (89.0%)			
	(5)	Senapati 4.19 (87.5%)			
Total 11.11	11.11				
Meghalaya (7)	(1)	West Khasi Hills 3.75 (97.8%)	----		-----
	(2)	East Garo Hills 3.05 (96.0%)			
	(3)	Jaintia Hills 3.76 (95.2%)			
	(4)	South Garo Hills 1.34 (94.3%)			
	(5)	Ribhoi 2.30 (88.9%)			
	(6)	East Khasi Hills 6.61 (80.1%)			
	(7)	West Garo Hills 4.74 (73.7%)			
Total 25.55	25.55				
Mizoram (8)	(1)	Champhai 1.23 (98.2%)	----		-----
	(2)	Serchhip 0.63 (96.8%)			
	(3)	Saiha 0.55 (96.6%)			
	(4)	Lawngtlai 1.12 (95.3%)			
	(5)	Lunglei 1.54 (95.1%)			

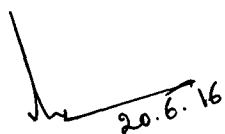
State / UT	≥ 50% STs, LWE affected(L)	≥ 25% & < 50% STs, LWE affected(L)	LWE districts with < 25% STs
Priority	1	2	3
(1)	(2)	(3)	(4)
Total 10.37	(6) Mamit 0.82 (95.0%) (7) Aizwal 3.74 (93.3%) (8) Kolasib 0.74 (87.7%) 10.37		
Nagaland (11) Total 17.11	(1) Tuensang 1.91 (97.1%) (2) Zunheboto 1.37 (97.0%) (3) Kiphire 0.71 (96.5%) (4) Longleng 0.49 (96.3%) (5) Phek 1.57 (96.2%) (6) Mon 2.38 (95.2%) (7) Wokha 1.57 (94.2%) (8) Mokokchung 1.78 (91.7%) (9) Peren 0.84 (88.5%) (10) Kohima 2.25 (83.9%) (11) Dimapur 2.24 (59.1%) 17.11	-----	-----
Odisha (12 + 2 LWE) Total 76.41	(1) Mayurbhanj 14.80 (58.7%) (2) Malkangiri (L) 3.55 (57.8%) (3) Rayagada 5.42 (56.0%) (4) Nabarangapur 6.81 (55.8%) (5) Gajapati 3.14 (54.3%) (6) Kandhamal 3.93 (53.6%) (7) Sundargarh 10.62 (50.8%) (8) Koraput (L) 6.98 (50.6%) 55.25	(1) Kendujhar 8.19 (45.5%) (2) Debagarh 1.10 (35.3%) (3) Sambalpur 3.55 (34.1%) (4) Naupada 2.06 (33.8%) (5) Jharsuguda 1.77 (30.5%) (6) Kalahandi 4.49 (28.5%) 21.16	--
Rajasthan (6) Total 51.56	(1) Banswara 13.73 (76.4%) (2) Dungarpur 9.83 (70.8%) (3) Pratapgarh 5.50 (63.4%) 29.06	(1) Udaipur 15.25 (49.7%) (2) Sirohi 2.92 (28.2%) (3) Dausa 4.33 (26.5%) 22.5	----
Sikkim (4) Total 2.06	(1) North District 0.29 (65.7%) 0.29	(1) West District 0.58 (42.4%) (2) South District 0.41 (28.2%) (3) East District 0.78 (27.7%) 1.77	----
Telangana (1 + LWE) Total 6.57	---	(1) Khammam (L) 6.57 (25.2%) 6.57	----
Tripura (5)	(1) Dhalai 2.11 (55.7%)	(1) Gomati 1.89 (42.7%) (2) Khowai 1.40 (42.6%) (3) South Tripura 1.53 (35.5%)	----

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(Popl. in Lakhs)

State / UT	≥ 50% STs, LWE affected(L)	≥ 25% & < 50% STs, LWE affected(L)	LWE districts with < 25% STs
Priority	1	2	3
(1)	(2)	(3)	(4)
Total 8.10	2.11	(4) North Tripura 1.17 (28.1%) 5.99	
West Bengal (2)	----	(1) Darjiling 2.51 (28.7%) (2) Alipurduar 3.82 (26.8%) 6.33	----
Total 6.33			
Total: 177 (142 + LWE 35)	(80 + LWE 14)	(62 + LWE 7)	14 LWE
Total 630.75	341.43	268.82	20.5

LWE: Left Wing Extremism (Affected districts)



Major Scheduled Tribe Communities (State wise - 2011 Census)

(As on 1.6.2016)

Sl. No.	State, ST Community	ST Popln	Of State ST Popln
1	2	3 (lakhs)	4 (%)
1	ANDHRA PRADESH		
	1. Yenadis..	5.34	20.3 %
	2. Yerukulas., Koracha	3.75	14.3 %
	3. Sugalis, Lambadis, Banjara	3.62	13.7 %
	4. Konda Dhoras, Kubi	2.11	8.0 %
	5. Savaras..	1.38	5.2 %
	6. Bagata	1.33	5.0 %
	STs (6) (≥ 5 % popln each)	17.51	66.6 %
	Identified (28) STs (< 5 % popln)	8.05	30.6 %
	Other STs (< 5 % popln)	0.74	2.8 %
	Total :	26.31	100 %
2	BIHAR		
	1. Santal	4.06	30.4 %
	2. Gond	2.57	19.2 %
	3. Tharu	1.60	12.0 %
	4. Oraon..	1.44	10.8 %
	5. Kharwar	1.26	9.4 %
	STs (5) (≥ 5 % popln each)	10.93	81.8 %
	Identified (27) STs (< 5 % popln)	1.27	9.5 %
	Other STs (< 5 % popln)	1.17	8.8 %
	Total :	13.37	100 %
3	CHHATISGARH		
	1. Gond., Arakh., Agaria, Asur, Bhatola, Bhimma, Bhuta / Bhuti., Bhar, Maria., Dhuru, Dhurwa, Dhoba, Dhulia, Dorla, Gaiki, Gatta., Kandra, Kalanga, Khatola, Koitar, Koya, Khirwar, Mana, Mannewar, Moghya, Monghya, Mudia, Nagarchi, Nagwanshi, Ojha, Raj, Sonjhari, Jhareka, Thatia, Thotya, Daroi	42.98	54.9 %
	2. Kavar., Kanwar, Cherwa, Rathia, Tanwar, Chattri	8.87	11.3 %
	3. Oraon, Dhanka, Dhangad	7.49	9.6 %
	STs (3) (≥ 5 % popln each)	59.35	75.9 %
	Identified (39) STs (< 5 % popln)	18.56	23.7 %
	Other STs (< 5 % popln)	0.32	0.4 %
	Total :	78.23	100 %

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Sl. No.	State, ST Community	ST Popln	Of State ST Popln
1	2	3 (lakhs)	4 (%)
4	GOA		
	1. Gawda	1.07	71.5 %
	2. Velip	0.32	21.5 %
	STs (2) (≥ 5 % popln each)	1.39	92.9 %
	Identified (6) STs (< 5 % popln)	0.06	3.7 %
	Other STs (< 5 % popln)	0.05	3.4 %
	Total :	1.49	100 %
5	GUJARAT		
	1. Bhil., Bhagalia, Bhilala, Pawra, Vasava..	42.16	47.3 %
	2. Dubla, Talavia, Halpati	6.43	7.2 %
	3. Rathawa	6.42	7.2 %
	4. Dhodia, Dhodi	6.36	7.1 %
	5. Naikda, Nayaka..	4.60	5.2 %
	STs (5) (≥ 5 % popln each)	65.97	74.0 %
	Identified (24) STs (< 5 % popln)	21.10	23.7 %
	Other STs (< 5 % popln)	2.11	2.4 %
	Total :	89.17	100 %
6	HIMACHAL PRADESH		
	1. Gaddi	1.78	45.4 %
	2. Gujjar	0.93	23.6 %
	3. Kanaura, Kinnara	0.51	13.0 %
	4. Bhot..	0.27	6.9 %
	STs (4) (≥ 5 % popln each)	3.49	89.0 %
	Identified (6) STs (< 5 % popln)	0.33	8.3 %
	Other STs (< 5 % popln)	0.11	2.7 %
	Total :	3.92	100 %
7	JAMMU & KASHMIR		
	1. Gujjar	9.81	65.7 %
	2. Bakarwal	1.13	7.6 %
	3. Bot, Boto	0.91	6.1 %
	STs (3) (≥ 5 % popln each)	11.85	79.4 %
	Identified (9) STs (< 5 % popln)	1.96	13.1 %
	Other STs (< 5 % popln)	1.12	7.5 %
	Total :	14.93	100 %

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Sl. No.	State, ST Community	ST Popln	Of State ST Popln
1	2	3 (lakhs)	4 (%)
8	JHARKHAND		
	1. Santal	27.55	31.9 %
	2. Oraon..	17.17	19.9 %
	3. Munda, Patar	12.29	14.2 %
	4. Ho	9.28	10.7 %
	STs (4) (≥ 5 % popln each)	66.29	76.7 %
	Identified (28) STs (< 5 % popln)	18.42	21.3 %
	Other STs (< 5 % popln)	1.74	2.0 %
	Total :	86.45	100 %
9	KARNATAKA		
	1. Naikda, Nayaka., Beda, Bedar and Valmiki	32.96	77.6 %
	ST (1) (≥ 5 % popln each)	32.96	77.6 %
	Identified (49) STs (< 5 % popln)	6.41	15.1 %
	Other STs (< 5 % popln)	3.12	7.3 %
	Total :	42.49	100 %
10	KERALA		
	1. Paniyan	0.88	18.2 %
	2. Kurichchan..	0.35	7.3 %
	3. Malai Arayan..	0.33	6.9 %
	4. Mavilan	0.31	6.4 %
	5. Kurumans..	0.25	5.1 %
	STs (5) (≥ 5 % popln each)	2.12	43.8 %
	Identified (31) STs (< 5 % popln)	2.10	43.4 %
	Other STs (< 5 % popln)	0.62	12.9 %
	Total :	4.85	100 %
11	MADHYA PRADESH		
	1. Bhil, Bhilala, Barela, Patelia	59.94	39.1 %
	2. Gond., Arakh., Agaria, Asur, Maria., Bhatola, Bhimma, Bhuta / Bhuti., Bhar, Dhuru, Dhurwa, Dhoba, Dhulia, Dorla, Gaiki, Gatta, Gatti, Gaita, Kalanga, Khatola, Koitar, Koya, Khirwar., Mana, Mannewar, Moghya., Mudia., Nagarchi, Nagwanshi, Ojha, Raj, Sonjhari, Jhareka, Thatia, Thotya, Daroi	50.93	33.3 %
	3. Kol	11.68	7.6 %
	STs (3) (≥ 5 % popln each)	122.55	80.0 %
	Identified (40) STs (< 5 % popln)	27.98	18.3 %
	Other STs (< 5 % popln)	2.64	1.7 %
	Total :	153.17	100 %

20.6.16

Sl. No.	State, ST Community	ST Popln	Of State ST Popln
1	2	3 (lakhs)	4 (%)
12	MAHARASHTRA		
	1. Bhil.., Dungri Garasia, Bhagalia, Bhilala, Pawra, Vasava..	25.89	24.6 %
	2. Gond.., Arakh.., Agaria, Asur, Maria.., Bhatola, Bimma, Bhuta / Bhuti, Bhar, Dhuru, Dhurwa, Dhoba, Dhulia, Dorla, Gaiki, Gatta, Gatti, Gaita, Kandra, Kalanga, Khatola, Koitar, Koya, Khirwar.., Mana, Mannewar, Moghya.., Mudia, Nagarchi, Naikpod, Nagwanshi, Ojha, Raj, Sonjhari Jhareka, Thatia..	16.18	15.4 %
	3. Koli..	14.60	13.9 %
	4. Varli	7.96	7.6 %
	5. Kokna, Kokni, Kukna	6.87	6.5 %
	6. Thakur..	5.68	5.4 %
	STs (6) (≥ 5 % popln each)	77.18	73.4 %
	Identified (39) STs (< 5 % popln)	26.17	24.9 %
	Other STs (< 5 % popln)	1.76	1.7 %
	Total :	105.10	100 %
13	ODISHA		
	1. Khond / Kandha.., Kui	16.27	17.0 %
	2. Santal	8.95	9.3 %
	3. Gond..	8.89	9.3 %
	4. Kolha	6.25	6.5 %
	5. Munda..	5.59	5.8 %
	6. Saora / Savar., Sahara..	5.35	5.6 %
	7. Shabar, Lodha	5.16	5.4 %
	STs (7) (≥ 5 % popln each)	56.46	58.9 %
	Identified (55) STs (< 5 % popln)	38.19	39.8 %
	Other STs (< 5 % popln)	1.26	1.3 %
	Total :	95.91	100 %
14	RAJASTHAN		
	1. Mina	43.46	47.0 %
	2. Bhil.., Dungri Garasia, Bhagalia, Bhilala, Pawra, Vasava..	42.10	45.5 %
	STs (2) (≥ 5 % popln each)	85.56	92.5 %
	Identified (9) STs (< 5 % popln)	6.25	6.9 %
	Other STs (< 5 % popln)	0.58	0.6 %
	Total :	92.39	100 %

20.6.16

Sl. No.	State, ST Community	ST Popln	Of State ST Popln
1	2	3 (lakhs)	4 (%)
15	SIKKIM		
	1. Bhutia..	0.70	33.7 %
	2. Limboo	0.54	26.0 %
	3. Lepcha	0.43	20.8 %
	4. Tamang	0.38	18.3 %
	STs (4) (≥ 5 % popln each)	2.04	98.8 %
	Other STs (< 5 % popln)	0.02	1.2 %
	Total :	2.06	100 %
16	TAMIL NADU		
	1. Malayali	3.58	45.0 %
	2. Irular *	1.90	23.9 %
	3. Kattunayakan *	0.47	5.9 %
	STs (3) (≥ 5 % popln each)	5.94	74.8 %
	Identified (33) STs (< 5 % popln)	1.46	18.3 %
	Other STs (< 5 % popln)	0.55	6.9 %
	Total :	7.95	100 %
17	TELANGANA		
	1. Sugalis, Lambadis, Banjara	20.46	62.3 %
	2. Koya., Rajah	4.86	14.8 %
	3. Gond., Koitur	2.98	9.1 %
	STs (3) (≥ 5 % popln each)	28.30	86.1 %
	Identified (29) STs (< 5 % popln)	2.96	9.0 %
	Other STs (< 5 % popln)	1.61	4.9 %
	Total :	32.87	100 %
18	UTTAR PRADESH		
	1. Gond., Dhuria, Nayak, Ojha, Pathari	5.69	50.2 %
	2. Kharwar..	1.61	14.2 %
	3. Tharu	1.05	9.3 %
	4. Saharya	0.71	6.2 %
	STs (4) (≥ 5 % popln each)	9.06	79.8 %
	Identified (11) STs (< 5 % popln)	1.46	12.9 %
	Other STs (< 5 % Popln)	0.83	7.3 %
	Total :	11.34	100 %

 20.6.16

Sl. No.	State, ST Community	ST Popln	Of State ST Popln
1	2	3 (lakhs)	4 (%)
19	UTTARAKHAND		
	1. Tharu	0.91	31.3 %
	2. Jannsari	0.89	30.4 %
	3. Buksa *	0.54	18.5 %
	4. Bhotia	0.39	13.4 %
	STs (4) (≥ 5 % popln each)	2.73	93.6 %
	Identified (1) ST (< 5 % popln)	0.01	0.2 %
	Other STs (< 5 % popln)	0.18	6.2 %
	Total :	2.92	100 %
20	WEST BENGAL		
	1. Santal	25.12	47.4 %
	2. Oraon	6.44	12.1 %
	3. Bhumij	3.76	7.1 %
	4. Munda	3.66	6.9 %
	STs (4) (≥ 5 % popln each)	38.99	73.6 %
	Identified (36) ST (< 5 % popln)	11.57	21.8 %
	Other STs (< 5 % popln)	2.41	4.6 %
	Total :	52.97	100 %

NORTH EASTERN STATES

21	ARUNACHAL PRADESH		
	1. Nyishi	2.50	26.2 %
	2. Galong	0.79	8.3 %
	3. Adi	0.68	7.1 %
	4. Tagin	0.63	6.6 %
	5. Wancho	0.57	6.0 %
	STs (5) (≥ 5 % popln each)	5.17	54.3 %
	Identified (99) STs (< 5 % popln)	4.32	45.4 %
	Other STs (< 5 % popln)	0.03	0.3 %
	Total :	9.52	100 %

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Sl. No.	State, ST Community	ST Popln	Of State ST Popln
1	2	3 (lakhs)	4 (%)
22	ASSAM		
	1. Boro.	13.62	35.1 %
	2. Miri	6.80	17.5 %
	3. Karbi	4.30	11.1 %
	4. Rabha	2.96	7.6 %
	5. Kachari, Sonwal	2.53	6.5 %
	STs (5) (≥ 5 % popln each)	30.22	77.8 %
	Identified (24) STs (< 5 % popln)	6.83	17.6 %
	Other STs (< 5 % popln)	1.79	4.6 %
	Total :	38.84	100 %
23	MANIPUR		
	1. Thadou	2.16	18.5 %
	2. Tangkhul	1.79	15.3 %
	3. Poumai Naga	1.27	10.9 %
	4. Kabui	1.04	8.9 %
	5. Mao	0.93	8.0 %
	6. Kacha Naga	0.66	5.7 %
	STs (6) (≥ 5 % popln each)	7.85	67.3 %
	Identified (27) STs (< 5 % popln)	3.61	31.0 %
	Other STs (< 5 % popln)	0.21	1.8 %
	Total :	11.67	100 %
24	MEGHALAYA		
	1. Khasi, Jaintia, Synteng, Pnar, War, Bhoi, Lyngngam	14.12	55.2 %
	2. Garo	8.21	32.1 %
	STs (2) (≥ 5 % popln each)	22.33	87.4 %
	Identified (15) STs (< 5 % popln)	1.49	5.8 %
	Other STs (< 5 % popln)	1.74	6.8 %
	Total :	25.56	100 %
25	MIZORAM		
	1. Any Mizo (Lushai) tribes	7.35	70.9 %
	2. Chakma	0.97	9.4 %
	3. Pawi	0.51	5.0 %
	STs (3) (≥ 5 % popln each)	8.83	85.2 %
	Identified (12) STs (< 5 % popln)	1.45	14.0 %
	Other STs (< 5 % popln)	0.07	0.7 %
	Total :	10.36	100 %

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Sl. No.	State, ST Community	ST Popln	Of State ST Popln
1	2	3 (lakhs)	4 (%)
26	NAGALAND		
	1. Naga	16.68	97.5 %
	ST (1) (≥ 5 % popln each)	16.68	97.5 %
	Identified (4) STs (< 5 % popln)	0.34	2.0 %
	Other STs (< 5 % popln)	0.09	0.5 %
	Total :	17.11	100 %
27	TRIPURA		
	1. Tripura..	5.92	50.8 %
	2. Rieng *	1.88	16.1 %
	3. Jamatia	0.83	7.1 %
	4. Chakma	0.80	6.8 %
	STs (4) (≥ 5 % popln each)	9.44	80.9 %
	Identified (15) STs (< 5 % popln)	1.75	15.0 %
	Other STs (< 5 % Popln)	0.48	4.1 %
	Total :	11.67	100 %

UTs

28	A & N ISLANDS		
	1. Nicobarese	0.27	95.2 %
	ST (1) (≥ 5 % popln each)	0.27	95.2 %
	Identified (5) STs (< 5 % popln)	0.01	2.7 %
	Other STs (< 5 % popln)	0.01	2.1 %
	Total :	0.29	100 %
29	D & N HAVELI		
	1. Varli	1.12	62.8 %
	2. Kokna	0.28	15.6 %
	3. Dhodia	0.24	13.6 %
	STs (3) (≥ 5 % popln each)	1.64	91.9 %
	Identified (4) STs (< 5 % popln)	0.06	3.3 %
	Other STs (< 5 % popln)	0.08	4.8 %
	Total :	1.79	100 %

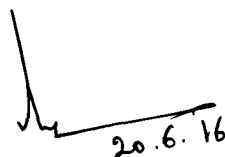

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Sl. No.	State, ST Community	ST Popln	Of State ST Popln
1	2	3 (lakhs)	4 (%)
30	DAMAN & DIU		
	1. Dubla (Halpati)	0.11	72.2 %
	2. Dhodia	0.02	15.2 %
	3. Varli	0.01	9.0 %
	STs (3) (≥ 5 % popln each)	0.15	96.5 %
	Identified (2) STs (< 5 % popln)	0.00	1.3 %
	Other STs (< 5 % popln)	0.00	2.3 %
	Total :	0.15	100 %
31	LAKSHADWEEP		
	1. STs (except 2 below) (≥ 5 % popln)	0.61	99.99 %
	2. Laccadive, Minicoy & Amini Islands residents	0.00 (4)	0.01 %
	Total :	0.61	100 %

Note:

- (1) There are 75 Particularly Vulnerable Tribal Groups (PVTGs). Of these, PVTGs with ≥ 5 % population is separately indicated.
- (2) There are no notified STs in States of Haryana, Punjab, NCT of Delhi, UTs of Chandigarh and Puducherry.

Source: Census 2011 data, Website of O/o RGI


20.6.16

List of activities (Illustrative) for SCA funding

S.No.	Category	Issues / Activities
1.	Education (In conjunction with SSA/ RMSA funds)	<ul style="list-style-type: none"> (i) Addition to existing building infrastructure of Secondary / Sr Secondary School [Even with upgradation of Primary / Upper Primary School] [Repair and Maintenance of existing buildings not covered] (ii) Construction of co-ed residential schools. (iii) Construction of Girls and Boys Hostels. (iv) Use of solar energy in residential schools and Hostels. (v) Vocational training centers (including for modern sector of economy like IT, green energy etc.) in residential school (Preferably at Sr Secondary level) (vi) IT based education facilities / equipment (For Sr Secondary level) (vii) Special measures for identification and nurturing / promotion of talented tribal students. (viii) Recurring cost for 3 to 5 years for special efforts / innovative measures like : <ul style="list-style-type: none"> (1) Introduction of English as school teaching medium. (2) Special scholarships for admission in best public schools in States for nurturing of tribal talents (3) Soft skill improvement measures in schools (after normal academic teaching hours) (4) Super 30 type of specialized training / coaching facilities.
2.	Health	<ul style="list-style-type: none"> (i) Addition to / Strengthening of building infrastructure of CHC / PHC (ii) Equipments with minimum three years life period. (iii) Mobile Dispensary in remote locations. (iv) Conduct of screening for acute health problems like Sickle Cell Anemia among Tribal Students and provision of health cards. (v) Focus on eradication of prevalent endemic health problems like Malaria, Leprosy, TB etc. (vi) Training of tribal students in paramedical courses.

S.No.	Category	Issues / activities
3.	Data Support for Strengthening Entitlement and Land Rights	<ul style="list-style-type: none"> (i) FRA entitlements <ul style="list-style-type: none"> - Data compilation - MFP Plantation and other measures for Income-support (ii) Land alienation – Data Base (iii) Assistance to STs for land development and increasing productivity (iv) Efforts for Resettlement and Rehabilitation of Project Displaced ST households
4.	Agriculture, Horticulture, Animal Husbandry (AH), Fisheries, Dairy & others in Primary Sector	<ul style="list-style-type: none"> (i) Adoption and extension of commercial and traditional crops to augment tribal household income. (ii) Soil health management and moisture / water conservation measures (including dug-well, tube-well, pump-set etc.) (iii) Promotion of organic farming. (iv) Tribal area specific technical support through KVKs, and other Agricultural Research Organizations (including strengthening of Extension mechanism). <p>Horticulture:</p> <ul style="list-style-type: none"> (i) Setting up nurseries of fruits, flowers, vegetables including polyhouse, greenhouse farming. (ii) Practice and promotion of growing horticultural products with forward linkages like warehousing, processing etc. (iii) Commercial apiculture through tribal beneficiaries. (iv) Promotion of aromatic and medicinal plants. (v) Use of Drip irrigation and other modern techniques. <p>Dairy Development:</p> <ul style="list-style-type: none"> (i) Cooperative based (or other) dairy development including processing and chilling infrastructure to ensure better and reasonable price to tribal households. (ii) Veterinary services including building infrastructure and equipment. (iii) Improvement of local breed for high yield output through AI. (artificial insemination) (iv) Providing training and assistance with backward and forward linkages for self-employment.

S.No.	Category	Issues / activities
		Poulties & Fisheries: <ul style="list-style-type: none"> (i) Commercial fisheries through tribal beneficiaries including production of fries and fingerlings with proper linkages to market value chain. (Including training facilities) (ii) Promotion of backyard fisheries. (iii) Promotion of poultry as income generating activity with backward and forward linkages.
5.	Other income generating schemes to augment Tribal household economy.	<ul style="list-style-type: none"> (i) establishment of Agro / forest / natural resource based micro / village industries through training of Tribal Cooperatives / SHGs / individual entrepreneurs. (ii) Augmentation of existing infrastructure (including design development etc.) for tribal products like textiles, handicrafts, sericulture products for better income to tribal artisans. (iii) Warehousing and food processing facilities for ensuring increased life to tribal products. (iv) Village tourism, Eco-tourism, Adventure tourism (v) Promotion and skill development in traditional tribal cultural attributes like tribal jewelry, painting, dance forms, music and culinary art etc. (vi) Any other activity with assured self-employment / placement linkages.
6.	Administrative / institutional framework and Research Studies	<ul style="list-style-type: none"> (i) Strengthening of TRI (with building infrastructure / equipment and IT support) (ii) Preparation of field manual in regional languages for effective implementation. (iii) Conducting research on specific tribal issues. (iv) IT equipment support for TSP monitoring.
7.	Skill Development (in conjunction with TSP flow under ongoing schemes of GoI / State Govt. Departments / PSEs / Authorities established by Govt.)	<ul style="list-style-type: none"> (i) To focus on women centric activities / projects with provision of major sanctioned amount for female beneficiaries. (ii) Provision for additional units / classes in special vocational training courses in govt. institutions especially MSME tool rooms (Also for school dropouts) (iii) Provision for additional seats to ST candidates in regular skill development courses with assured employment / self-employment.

S.No.	Category	Issues / activities
8.	Promotion of sports & games (in conjunction with TSP flow of different GoI / State Govt. Programmes)	(i) Provision of sports facilities in tribal schools. (ii) Construction of Sports Complex, Mini Stadium etc. (iii) Organizing sports events with due participation of tribal youth

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No.M-11012/03/2013-SJ&SW
Planning Commission
(SJ&E Division)


Yojana Bhavan, Sansad Marg,
New Delhi, Dated the 18th June, 2014

Office Memorandum

Subject: Revised Guidelines for Implementation of SCSP/TSP by the States/UTs.

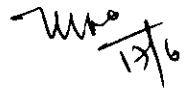
Planning Commission set up an Inter-Ministerial Committee under the Chairpersonship of Secretary, Planning Commission, "to effectively implement SCSP/ TSP as an essential instrument for accomplishing inclusive growth". The Committee after detailed deliberations with the stakeholder, including State Governments, has revised the guidelines for implementation of Scheduled Caste Sub-Plan (SCSP) and Tribal Sub-Plan (STSP) by the States/UTs. These guidelines are in supersession of guidelines issued by the Planning Commission/ Government of India from time to time including guidelines dated 31st October, 2005. A copy of each of the proposed revised guidelines is enclosed for information and suitable implementation by the States/UTs.

2. This issues with the approval of competent authority.


(Madan Mohan)
Adviser (SJ&E)
Tel. No. 23096723

Chief Secretaries of all States/UTs.

- Copy to : (i) Secretary, Ministry of Social Justice & Empowerment, Shastri Bhavan, New Delhi.
✓ (ii) Secretary, Ministry of Tribal Affairs, Shastri Bhavan, New Delhi.


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Revised Guidelines for Implementation of Tribal Sub-Plan (TSP) by the States/UTs

1.1 Objective:

The objective of the Tribal Sub-Plan (TSP) is to bridge the gap between Scheduled Tribe (ST) population and others by accelerating the development of STs by securing to them:

- (i) Human resource development by enhancing their access to education and health services,
- (ii) Enhanced quality of life by providing basic amenities in tribal areas/localities including housing;
- (iii) Substantial reduction in poverty and unemployment, creation of productive assets and income generating opportunities
- (iv) Enhanced capacity to avail opportunities, gain rights and entitlements and improved facilities at par with other areas, and
- (v) Protection against exploitation and oppression.

1.2 Role of Nodal Department

At the State level the Tribal Welfare Department must be the nodal department authorized to lead the process of TSP development. The nodal department will work in close coordination with all relevant line departments. Directions of the Tribal Welfare Department must be made binding on the line departments.

Secretary of the Nodal department will be Member-Secretary of the Executive Committee, chaired by the Chief Secretary, which will be responsible for appraisal, of the perspective document as well as of the TSP schemes of different departments for inclusion in Annual TSP. The EC shall also be responsible for the monitoring and evaluation of the TSP Plans Minister of the Nodal Department will be Vice-chairman of the Apex Level Committee/Tribal Advisory Council, chaired by Chief Minister that will approve the Annual Tribal Sub-Plan.

The Nodal Department shall:

- i. Identify socio-economic indicators to highlight development deficits of ST population
- ii. Conduct a critical gap analysis to assess the deprivation of STs on identified socio-economic parameters
- iii. Identify priority-areas under TSP in consultation with line departments.
- iv. Prepare a comprehensive perspective TSP and Prepare Annual TSP documents taking into account various sources of funding
- v. Examine various on-going schemes and their budgetary allocations and suggest new schemes on the basis of assessment and discussions with the concerned line Departments
- vi. Suggest strategic measures, set target-oriented specific socio-economic indicators for various programmes/schemes in consultation with the line departments;
- vii. Grant approval for introduction of new schemes.
- viii. Grant approval for re-appropriation of TSP funds from one department to another after mid-year review.

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- ix. Undertake scrutiny of the schemes/programmes submitted by the line departments to ensure that (i) concerned departments are providing for STs in their budget and plans funds and guidelines to the same extent as is available to other populations, in proportion to their requirement, (ii) that only those schemes/programmes, that full-fill the criteria of securing direct benefits to ST individuals, households and localities and are aligned to the strategic objectives of TSP are included in the TSP. (iii) Service delivery standards under various departmental schemes are established and adhered to.
- x. Submit such proposals, with their evaluation, to the Executive Committee for appraisal.
- xi. Design a comprehensive monitoring framework with well-defined indicators
- xii. Co-ordinate progress of various schemes/ programmes.
- xiii. Devise a mechanism for speedy transfer of funds directly to field formations under intimation to District Headquarters, instead of being routed through District Headquarters, by enforcing on them a system of accountability for effective utilization of the funds.
- xiv. Conduct evaluation to assess the impact of schemes implemented under TSP, on the socio-economic conditions of STs on regular basis.
- xv. Ensure the follow up of the schemes implemented and maintenance of proper records on assets created under TSP in District/Block etc.
- xvi. Ensure that service delivery is standardized and adhered to in time-bound manner.
- xvii. Ensure transparency and accountability at all levels in the implementation of TSP schemes and dissemination of information electronically relating to schemes/programmes, allocation and expenditure along with physical targets and achievements in respect of each department and placing this information in public domain.
- xviii. Ensure that all the institutional mechanisms are established at various levels, i.e State, District, Block, Gram Sabha etc., as laid down in the guidelines.
- xix. Ensure that the gaps still remaining under the TSP financing pattern are highlighted for each ITDPs/ITDAs/MADA/Cluster/State level at the time of TSP financial allocations so as to facilitate the synchronization of the gap filling role of the Ministry's scheme SCA to TSP with the gaps identified in TSP.
- xx. Ensure that time bound action is initiated by various departments to meet the requirements of these guidelines.

1.3 Perspective Document and Annual Plans

The States/UTs shall prepare a comprehensive perspective TSP document, taking into account all available sources of funding, to serve as a road map for implementation. Funds available for TSP under Central Sector and Centrally Sponsored Schemes as well as State Plans and Central Plans shall be pooled for the purposes of planning for TSP.

This perspective document shall, inter-alia, reflect on:

- i. Strategy to address the gaps and deficits in terms of relevant schemes taking into consideration the strengths of the tribal's community, allocation of funds, fixing physical targets to address inter-tribal and inter-habitation variance /inequalities in their socio-economic status and equity based approach. The needs of the Particularly Vulnerable Tribal Groups (PTGs) will be accorded priority with focused approach and special

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- attention to improve their conditions of food security, health and education for mainstreaming these sections.
- ii. The strategy should define priorities for the TSP with a focus on long-term sustained gains in relation to area development.
 - iii. Likely flow of benefits, in financial as well as physical terms, and specific steps required for accessing benefits by the tribals from each of the national (and State) level Flagship Schemes.
 - iv. Role and contribution of NSTFDC and State level STFDC and TRIFED etc.
 - v. Critical evaluation to assess whether the ongoing schemes/ programmes have the potential to accelerate the pace of development of STs and result in bridging the gap in development in a time-bound manner.
 - vi. Mechanisms/surveillance system to ensure utilization of funds meant for the intended purpose.
 - vii. Evaluation as to how TSP has and is likely to help the STs in respect of the following key areas concerning STs:
 - a) Prevention of land alienation and indebtedness
 - b) Access and control over forest and effective implementation of FRA and PESA, wherever applicable
 - c) Involuntary displacement due to development projects, proper rehabilitation
 - viii. Outcome Analysis with critical evaluation of implementation strategies in terms of effectiveness of schemes/programmes.

The States/UTs shall break up the **Perspective Plan into doable annual Plans** and accordingly prepare annual plan documents taking into account all available funds during the year, including Centrally Sponsored Schemes.

1.4 Selection of schemes/programmes

The TSP should include only such existing schemes (including additional components to existing schemes) or new proposed schemes, which full-fill following criterion:

- a. Provide clearly defined direct and quantifiable benefits to ST individuals or Scheduled Tribe households or Tribal areas the benefit provided to the STs along-with other people at a particular time may not be treated as direct benefit under TSP.
- b. Create the potential to accelerate the pace of the development of STs and to bridge the gaps in socio-economic development indicators between STs and other sections of the society
- c. The focus of such schemes should be on education, income generation, improving access to irrigated land, entrepreneurship, employment and skill development projects and access to basic amenities.
- d. Have in-built mechanisms/surveillance system to ensure utilization of funds meant for the intended purpose.

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1.5 Earmarking/ Allocation of funds

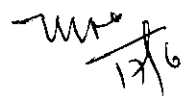
Nodal Departments shall ensure that concerned departments are providing for STs in their budget and plans funds and guidelines to the same extent as is available to other populations, in proportion to their requirement.

Approval of Planning Commission may not be accorded to State Plans if funds are not earmarked under TSP, in proportion to the population of STs in State.

State governments should ensure that TSP funds are placed **under the control of the Nodal Department.**

Funds shall be earmarked/ allocated to the TSP subject to the following conditions:

- i. The expenditure under TSP is meant only for filling the development deficit, as an additional financial support, **over and above the normal provisions which should be available to STs, like others**, in various schemes, including in flagship programmes.
- ii. The funds under TSP are earmarked from the total plan outlays (not excluding the investments under externally aided Projects-EAPs and any other scheme), not less than the population proportion of STs in State as per 2011 Census and in tune with problem share of the ST population..
- iii. The funds should be earmarked well in advance, at least six months, prior to commencement of the financial year. The size of the TSP fund thus earmarked shall be communicated to all departments for commencing process of preparation of TSP of each department.
- iv. There shall not be any notional allocations, that don't have flows/schemes directly benefiting STs.
- v. Special attention shall be paid to allocate more funds to STs residing in the Scheduled Areas.
- vi. Due to physical remoteness and difficult terrain of tribal habitations, financial norms may need to be higher in tribal areas as compared to general areas. This should be ensured so that service standards in ST areas are not compromised.
- vii. Every State/UT shall undertake skill mapping and allocate funds under TSP for skill development of tribal youth and set targets in the light of the monitorable targets under poverty and employment in the 12th Five Year Plan. The target under 12th Five Year Plan is to generate 50 million new work opportunities through skill development.
- viii. The synergy of inter-sectoral programmes and an integrated approach/convergence with other schemes/programmes are ensured for efficient utilization of resources.
- ix. The departments, in consultation with Nodal Department, shall prepare the TSP to promote equity in development among various social groups within STs.
- x. To ensure non-divertibility, funds under TSP shall be earmarked under a separate Minor Head below the functional major Head/Sub-Major Heads
- xi. The TSP funds, under Minor Head shall comprise sector-wise and scheme-wise allocations and actual expenditures incurred
- xii. To ensure effective and optimum use of resources, the re –appropriation of TSP funds from one Department to another Department should be facilitated after mid-year review.


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Appropriation of TSP funds from one Department to another Department shall be with the approval of the Nodal Department.

- xiii. The State government may device a mechanism for speedy transfer of funds directly to field formations under intimation to District Headquarters, instead of being routed through District Headquarters, by enforcing on them a system of accountability for effective utilization of the funds.

1.6 Norms for allocation

There should be no division of the total Plan outlay into so-called divisible and non-divisible components, with the TSP being confined to the divisible outlays alone. Norms to be followed for allocation of the cost of a scheme to the Tribal Sub-Plan are given in table below.

Table : Norms for allocation of cost of a scheme to TSP

Sl No	Type of Scheme	Cost to be allocated and accounted for under TSP
1.	Exclusively for ST individuals or ST households,	100%
2.	For Scheduled Tribes habitations	100 %
3.	Benefiting mixed habitations	In proportion of the population of the STs in the habitation.
4	General schemes benefiting ST individuals or ST households, along with others	In proportion to the Scheduled Tribe beneficiaries actually covered.
5.	non-divisible infrastructure works	estimates of likely benefits that may flow to STs may be shown as likely flow to TSP.
6.	For area based development projects/activities	25% in respect of the States/UTs having upto 10% ST population.
7.	Reimbursement of fee for higher education in self –financed private institution	To be fully met from TSP fund

The schemes that follow other norms shall be recommended by concerned agency in the departments and aggregated for placing before the Minister, Tribal Welfare Department of State for consideration and approval as a pre-budget process.

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1.7 Establishing Standards for Service Delivery

For the TSP to succeed in its avowed objective of filling critical gaps in the development of STs within a defined time frame, it is necessary that minimum acceptable standards of service delivery in each are established and enforced across sectors, across geographies. At present the rigor and quality of existing service delivery varies greatly from State to State and also within States, between districts/ ITDPs etc. The Nodal department must ensure that all line departments establish these standards of service delivery and strictly monitor their enforcement. The Nodal Department, in concert with the concerned line department, must ensure that the minimum standard of service delivery is maintained at all levels for activities undertaken through TSP. For example, in case of education at elementary level the minimum standards as stipulated under the RTE Act should be the benchmark. For Secondary level and above, the State specific norms are to be followed. The efforts should be made to improve upon the existing standards through innovative exemplar practices. The standards are to be maintained in infrastructure development, teacher training, Meals, support to students and support to teachers.

Similarly, for health sector, it must be ensured that the services being delivered through the TSP are meeting standard requirement and not inferior to similar services being provided to other categories. It is also emphasised that the children in Ashram Schools and Hostels are provided with adequately diverse diet rich in essential nutrients with the appropriate frequency to ensure their optimal physical growth and cognitive development. A periodic health check-up of these children is conducted as per the guidelines of RBSK, NRHM.

A robust monitoring system to monitor the standards of service delivery is therefore, a non-negotiable requirement. States/UTs must put in place a system for regular monitoring of standards of service delivery.

1.8 Formulation of TSP

The State, after estimating the gaps in the development of Scheduled Tribes, will prioritize their development needs through a consultative process, and shall formulate the TSP schemes and prepare the TSP within the State Annual Plan and Five Year Plan.

In the formulation of TSP, the States/UTs shall proceed as follows:

- i. TSP should be formulated at the District level by the District Planning and Monitoring Committee (DPMC).
- ii. The DPMC must reflect on the actual demand for the schemes/programmes that are to benefit STs, giving priority to equity aspect of their local aspirations and socio-economic backwardness.
- iii. The annual plan must be approved by the District Planning Committee so that it has the approval of the highest PRI.
- iv. In case of area-oriented schemes, a Block level approach should be adopted so as to facilitate the inclusion of ST habitations which remain uncovered under District level approach.
- v. The TSP at ITDP/ ITDA/ District level should form the basis for the State TSP formulation and implementation. The requirement of funds across

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DPMC proposals put together would generate demand for TSP requirement at the State level.

- vi. In the States having Scheduled Areas, the Gram Sabhas should undertake an exercise to identify the areas needing priority attention in villages. These priority activities may form TSP at cluster/MADA/ ITDP/ITDA level.
- vii. To prepare a realistic budget, matching sectoral priorities and actual budgetary flow, the Nodal department should consult all related Departments to :
 - a. identify priority-areas under TSP
 - b. examine various on-going schemes and their budgetary allocations and
 - c. suggest new schemes.
- viii. The approval of the Nodal Department is mandatory for introduction of new schemes.
- ix. Service delivery should be standardized and adhered to in time-bound manner.
- x. To facilitate the synchronization of the gap filling role of SCA to TSP, gaps still remaining under the TSP financing pattern must be highlighted for each ITDPs/ITDAs/MADA/Cluster/State level at the time of TSP financial allocations.

1.9 Appraisal and Approval

The Plans prepared by the various departments of States/UTs should have a stringent appraisal process and only those plans/programmes that pass this appraisal should be included in the Annual TSP of the State/UT. The following steps shall be adopted in the appraisal and approval process:

1. Schemes/programmes submitted by line departments will be scrutinized by the Nodal Department to ensure that (i) only those scheme/programmes, which full-fill the criteria of securing direct benefits to ST individuals, households and localities and are aligned to the strategic objectives of TSP are processed/cleared; (ii) service delivery standards under all concerned schemes are established for all levels of delivery
2. The Nodal Department will submit such proposals, with their evaluation, to the Executive Committee for appraisal.
3. The Executive Committee shall undertake appraisal of the perspective document and the TSP schemes submitted by the departments for inclusion in Annual TSP. Appraisal shall involve a critical analysis of the following:
 - a. Extent of gaps and extent to which the proposed schemes will bridge it.
 - b. Are the benefits quantifiable?
 - c. Whether the Departments have the institutional capability for

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- effective implementation of TSP or have a plan to create such institutional capabilities.
- d. Whether the Departments have institutionalized control over local plans and resources for TSP in the Gram Sabhas in the Scheduled Areas.
 - e. Whether the required monitoring/tracking and outcome evaluation mechanism has been established.
4. The Appraisal Report of the Executive Committee will be considered by the Apex Level Committee (ALC) for approval..

1.10 TSP Monitoring

The Nodal Department will co-ordinate progress of various schemes/ programmes and design a comprehensive monitoring framework with well-defined indicators, covering provisioning, service delivery standards as well as outcomes.

The concerned line departments will specifically monitor TSP progress and performance within their regular monitoring mechanisms at all levels. Nodal department will monitor progress for review by the Executive Committee.

The quarterly Performance Review report of the State TSP should be communicated to the TSP Unit, Planning Commission as well as Ministry of Tribal Affairs through online/e-mail system.

1.11 Institutional Arrangements

To effectively discharge its mandate, the Nodal Department will be adequately strengthened through technical support group, knowledge leadership, analytical functioning in areas pertaining to strategic planning, demand assessment, gap analysis, long-term impact of schemes/programmes and collection of related data for evidence-based planning and decision making, capacity building at all levels etc. The State government may provide an appropriate percentage of TSP allocation towards evaluation and monitoring activities, after optimal utilization of their existing resources, including manpower.

The States/ UTs shall establish the following institutional structures and mechanism for effective formulation, implementation and monitoring of TSP.

State Level

1. **Apex Level Committee** (ALC) or a Tribal Advisory Council with the Chief Minister as Chairperson and Minister of the Nodal Department as Vice-chairman.

Key functions:

- a. To formulate policies relating to TSP
- b. To approve perspective TSP document and Annual TSP Plans
- c. To suggest measures for proper planning and implementation of the schemes by the departments

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To monitor progress of TSP so as to take timely corrective measures for improving performance of the departments

The APC/TAC will meet once in six-months.

2. Executive Committee with the following composition:

Chief Secretary- Chairperson

Secretaries of all line departments - Members

Secretary of Nodal department – Member-Secretary,

Key functions:

- a. Appraisal of the perspective TSP document and Annual Tribal Sub-Plan
 - b. Monitoring implementation of Annual TSP Plans
 - c. Evaluation of implementation of Annual TSP Plans.
- The Executive Committee shall submit its report on the above matters and emerging issues to the ALC/TAC

The Executive Committee will hold its meetings every three months

District Level

District Planning and Monitoring Committee (DPMC) with following composition:

Dy. Commissioner /District Collector- Chairperson

Project Officers of ITDP/ITDA – Secretary

District level officers- Members

The DPMC shall also have representation from local legislative and parliamentary constituencies.

Key functions:

- a. Formulate TSP at the District level.
- b. Get it approved by the District Planning Committee.
- c. Review the implementation of Tribal Sub-plan every month.
- d. Communicate the quarterly Performance Review Report to the Executive Committee

Gram Panchayat Level

Gram Panchayat shall review the implementation of TSP/MADA/cluster programmes in the villages on a monthly basis and forward the report to the DPMC through on-line system.

Gram Sabha Level

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Gram Sabha shall also review the implementation of TSP/MADA/cluster programmes in the villages in the Scheduled Area at periodic intervals.

Social Audit

The States/UTs shall set up its own *Social Audit Programme* with the involvement of elected representatives, beneficiaries and reputed voluntary organizations/NGOs/CSOs. Even within the geographical boundaries of the Gram Sabha, as tribal habitations are scattered at large distances, States/UTs shall design social audit programmes such that these are undertaken at the level of the ST cluster or habitation. States/UTs shall undertake to develop adequate capacities amongst the inhabitants of the cluster/habitations.

1.12 Transparency and Accountability

The States/UTs shall make their Nodal departments responsible for ensuring transparency and accountability at all levels in the implementation of TSP schemes and for placing in the public domain information relating to schemes/programmes, allocation, expenditure, physical targets and achievements in respect of each department.

Further, the following measures shall be taken:

- a. Each department of the State/ UT shall host relevant documents, as decided by the nodal department, in the public domain.
- b. The Nodal Department may ensure the follow up of the schemes implemented and maintenance of proper records on assets created under TSP in District/Block etc.
- c. States may devise some parameters indicating performance in implementation of TSP for key field functionaries.

■ The States/UTs shall establish a web enabled MIS with software engineered data to make all information regarding release of funds and expenditure against each scheme/programmes, physical progress, etc to be equally accessed by and monitored in public domain and for faster information exchange between the various stakeholders through the network.

1.13 Outcome Evaluation

The following measures will be taken for effective evaluation of schemes under TSP:

- a. A Bench Mark Survey (BMS) shall be undertaken at grass root level in each State/UT to ensure that the delivery of benefits under TSP reach STs. It should reflect benefits already drawn, socio-economic status of STs, occupational category, availability of basic amenities etc. It shall be conducted on a continuing basis to reflect the impact as measurable indications of socio-economic upliftment and change.
- b. The State Tribal Research Institutions should be involved in the process. The consultation with the civil society organizations may also be exercised.
- c. Evaluation studies on TSP shall be undertaken to oversee not only the implementation and monitoring of utilization of funds under TSP but also the evaluation of the programmes/schemes under TSP and ultimately their impact on the upliftment of socio-economic conditions of the tribals.

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- d. The State Commissions for Scheduled Tribes will be strengthened and mandated to get independent evaluations of TSP conducted at the State/District/Project level.

1. Manpower Planning, Training and Orientation

The States/UTs shall strengthen their Nodal and implementing departments in the field to effectively discharge their mandate with regard to implementation, monitoring and evaluation of the TSP.

States/UTs shall establish Technical Support Group and TSP Research Cells at Nodal departments as well as in line departments. The key function will be to assist the nodal and line departments for strategic planning, demand assessment, gap analysis, assessment of long-term impact of schemes/programmes and collection of reliable data for evidence-based planning and decision making.

The capacity building of the personnel at all levels shall also be taken up on priority for yielding the desired outcomes under TSP. Training and orientation should involve strategic planning and project management so that the problems faced by the tribals and their point of view are addressed in the formulation and implementation of TSP.

States/UTs shall provide a field manual in regional languages for use by field officers to facilitate effective implementation and monitoring of various schemes/programmes.

2. Creation of general awareness of TSP schemes

State Governments shall take initiatives to generate awareness among the general public about the schemes to be implemented/being implemented for the development of STs by the different departments of the State Governments through electronic and print media.

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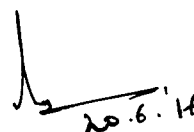
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Minimum Floor Allocation under Article 275(1) (2016-17)									
								(Rs. in Lakh)	
Sl. No.	States	ST Popln (in lakh)	ITDP / ITDA Area (in sq km)	2015-16 Allocation	2016-17 Allocation Proposed			Proposed Allocation (75%)	
				75% on Popln (Floor) (1392,28.00)	50% (on popln)	25% (on area)	75% (6+7)		
1	2	3	4	5	6	7	8	9	10
				1044,21	700,00	350,00	1050,00	Min.	Max.
A									
1	AP	26.31	15,018	26,41.73	17,70.90	7,59.28	25,30.18	25,30.18	26,41.73
2	Bihar	13.37	118	13,42.45	8,99.92	5.97	9,05.89	9,05.89	13,42.45
3	Chhattisgarh	78.23	55,262	78,54.89	52,65.58	27,93.95	80,59.53	78,54.89	80,59.53
4	Goa	1.49	0	1,49.61	1,00.29	0.00	1,00.29	1,00.29	4,50.00
5	Gujarat	89.17	26,042	89,53.35	60,01.94	13,16.64	73,18.58	73,18.58	89,53.35
6	HP	3.92	23,655	3,93.60	2,63.85	11,95.95	14,59.80	3,93.60	14,59.80
7	J & K	14.93	50,135	14,99.09	10,04.92	25,34.73	35,39.66	14,99.09	35,39.66
8	Jharkhand	86.45	43,604	86,80.25	58,18.86	22,04.54	80,23.40	80,23.40	86,80.25
9	Karnataka	42.49	25,397	42,66.32	28,59.96	12,84.03	41,43.98	41,43.98	42,66.32
10	Kerala	4.85	6,128	4,86.98	3,26.45	3,09.82	6,36.27	4,86.98	6,36.27
11	MP	153.17	108,199	153,79.45	103,09.72	54,70.34	157,80.06	153,79.45	157,80.06
12	Maharashtra	105.10	39,307	105,52.85	70,74.17	19,87.29	90,61.46	90,61.46	105,52.85
13	Odisha	95.91	63,896	96,30.10	64,55.60	32,30.46	96,86.07	96,30.10	96,86.07
14	Rajasthan	92.39	19,770	92,76.67	62,18.68	9,99.53	72,18.21	72,18.21	92,76.67
15	Tamil Nadu	7.95	2,058	7,98.24	5,35.11	1,04.05	6,39.16	6,39.16	7,98.24
16	Telangana	32.87	18,760	33,00.40	22,12.45	9,48.47	31,60.92	31,60.92	33,00.40
17	UP	11.34	92	11,38.62	7,63.28	4.65	7,67.94	7,67.94	11,38.62
18	Uttarakhand	2.92	1,435	2,93.19	1,96.54	72.55	2,69.09	2,69.09	4,50.00
19	West Bengal	52.97	8,499	53,18.60	35,65.36	4,29.69	39,95.05	39,95.05	53,18.60
	Total	915.83	507,375	919,56.39	616,43.59	256,51.95	872,95.54	833,78.26	963,30.87
B	NE States								
20	Arunachal	9.52	83,743	9,55.88	6,40.78	42,33.89	48,74.67	9,55.88	48,74.67
21	Assam	38.84	9,347	38,99.84	26,14.28	4,72.57	30,86.85	30,86.85	38,99.84
22	Manipur	9.03	20,126	9,06.68	6,07.80	10,17.53	16,25.33	9,06.68	16,25.33
23	Meghalaya	25.56	22,429	25,66.42	17,20.42	11,33.97	28,54.39	25,66.42	28,54.39
24	Mizoram	10.36	21,081	10,40.22	6,97.32	10,65.82	17,63.14	10,40.22	17,63.14
25	Nagaland	17.11	16,579	17,17.98	11,51.66	8,38.20	19,89.86	17,17.98	19,89.86
26	Sikkim	2.06	4,444	2,06.84	1,38.66	2,24.68	3,63.34	2,06.84	4,50.00
27	Tripura	11.67	7,148	11,71.76	7,85.50	3,61.39	11,46.89	11,46.89	11,71.76
28	Total	124.15	184,897	124,65.62	83,56.41	93,48.05	177,04.46	116,27.76	186,28.99
	Grand Total	1039.98	692,272	1044,22.00	700,00.00	350,00.00	105000.00	950,06.02	1149,59.86

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List of activities (Illustrative) for Proviso to Article 275(1) funding

S.No.	Category	Issues / Activities
1.	Education (In conjunction with SSA/ RMSA funds)	<ul style="list-style-type: none"> (i) Addition to existing building infrastructure of Secondary / Sr Secondary School [Even with upgradation of Primary / Upper Primary School] [Repair and Maintenance of existing buildings not covered] (ii) Construction of co-ed residential schools. (iii) Construction of Girls and Boys Hostels. (iv) Use of solar energy in residential schools and Hostels. (v) Vocational training centers (including for modern sector of economy like IT, green energy etc.) in residential school (Preferably at Sr Secondary level) (vi) IT based education facilities / equipment (For Sr Secondary level) (vii) Special measures for identification and nurturing / promotion of talented tribal students. (viii) Recurring cost for 3 to 5 years for special efforts / innovative measures like : <ul style="list-style-type: none"> (1) Introduction of English as school teaching medium. (2) Special scholarships for admission in best public schools in States for nurturing of tribal talents (3) Soft skill improvement measures in schools (after normal academic teaching hours) (4) Super 30 type of specialized training / coaching facilities.
2.	Health	<ul style="list-style-type: none"> (i) Addition to / Strengthening of building infrastructure of CHC / PHC (ii) Equipments with minimum three years life period. (iii) Mobile Dispensary in remote locations. (iv) Conduct of screening for acute health problems like Sickle Cell Anemia among Tribal Students and provision of health cards. (v) Focus on eradication of prevalent endemic health problems like Malaria, Leprosy, TB etc. (vi) Training of tribal students in paramedical courses.

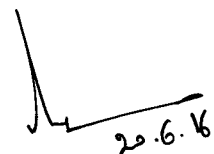


S.No.	Category	Issues / activities
3.	Data Support for Strengthening Entitlement and Land Rights	<ul style="list-style-type: none"> (i) FRA entitlements <ul style="list-style-type: none"> - Data compilation - MFP Plantation and other measures for Income-support (ii) Land alienation – Data Base (iii) Assistance to STs for land development and increasing productivity (iv) Efforts for Resettlement and Rehabilitation of Project Displaced ST households
4.	Agriculture, Horticulture, Animal Husbandry (AH), Fisheries, Dairy & others in Primary Sector	<ul style="list-style-type: none"> (i) Adoption and extension of commercial and traditional crops to augment tribal household income. (ii) Soil health management and moisture / water conservation measures (including dug-well, tube-well, pump-set etc.) (iii) Promotion of organic farming. (iv) Tribal area specific technical support through KVKs, and other Agricultural Research Organizations (including strengthening of Extension mechanism). <p>Horticulture:</p> <ul style="list-style-type: none"> (i) Setting up nurseries of fruits, flowers, vegetables including polyhouse, greenhouse farming. (ii) Practice and promotion of growing horticultural products with forward linkages like warehousing, processing etc. (iii) Commercial apiculture through tribal beneficiaries. (iv) Promotion of aromatic and medicinal plants. (v) Use of Drip irrigation and other modern techniques. <p>Dairy Development:</p> <ul style="list-style-type: none"> (i) Cooperative based (or other) dairy development including processing and chilling infrastructure to ensure better and reasonable price to tribal households. (ii) Veterinary services including building infrastructure and equipment. (iii) Improvement of local breed for high yield output through AI. (artificial insemination) (iv) Providing training and assistance with backward and forward linkages for self-employment.

S.No.	Category	Issues / activities
3.	Data Support for Strengthening Entitlement and Land Rights	<ul style="list-style-type: none"> (i) FRA entitlements <ul style="list-style-type: none"> - Data compilation - MFP Plantation and other measures for Income-support (ii) Land alienation – Data Base (iii) Assistance to STs for land development and increasing productivity (iv) Efforts for Resettlement and Rehabilitation of Project Displaced ST households
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S.No.	Category	Issues / activities
		Poulties & Fisheries: <ul style="list-style-type: none"> (i) Commercial fisheries through tribal beneficiaries including production of fries and fingerlings with proper linkages to market value chain. (Including training facilities) (ii) Promotion of backyard fisheries. (iii) Promotion of poultry as income generating activity with backward and forward linkages.
5.	Other income generating schemes to augment Tribal household economy.	<ul style="list-style-type: none"> (i) establishment of Agro / forest / natural resource based micro / village industries through training of Tribal Cooperatives / SHGs / individual entrepreneurs. (ii) Augmentation of existing infrastructure (including design development etc.) for tribal products like textiles, handicrafts, sericulture products for better income to tribal artisans. (iii) Warehousing and food processing facilities for ensuring increased life to tribal products. (iv) Village tourism, Eco-tourism, Adventure tourism (v) Promotion and skill development in traditional tribal cultural attributes like tribal jewelry, painting, dance forms, music and culinary art etc. (vi) Any other activity with assured self-employment / placement linkages.
6.	Administrative / institutional framework and Research Studies	<ul style="list-style-type: none"> (i) Strengthening of TRI (with building infrastructure / equipment and IT support) (ii) Preparation of field manual in regional languages for effective implementation. (iii) Conducting research on specific tribal issues. (iv) IT equipment support for TSP monitoring.
7.	Skill Development (in conjunction with TSP flow under ongoing schemes of GoI / State Govt. Departments / PSEs / Authorities established by Govt.)	<ul style="list-style-type: none"> (i) To focus on women centric activities / projects with provision of major sanctioned amount for female beneficiaries. (ii) Provision for additional units / classes in special vocational training courses in govt. institutions especially MSME tool rooms (Also for school dropouts) (iii) Provision for additional seats to ST candidates in regular skill development courses with assured employment / self-employment.

S.No.	Category	Issues / activities
8.	Promotion of sports & games (in conjunction with TSP flow of different GoI / State Govt. Programmes)	(i) Provision of sports facilities in tribal schools. (ii) Construction of Sports Complex, Mini Stadium etc. (iii) Organizing sports events with due participation of tribal youth

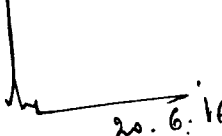

20.6.16

Plan Formulation for Programmes / Activities under Art. 275(1) Grants and Tribal Sub Plan (TSP)

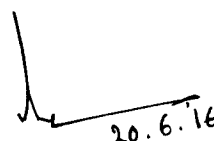
(A) Preliminary Exercise

Nodal Department shall:

- (1) Identify socio-economic indicators to highlight development deficits of ST population;
- (2) Conduct a critical gap analysis to assess deprivation of STs on identified socioeconomic parameters;
- (3) Identify priority areas under TSP in consultation with line departments;
- (4) Prepare a comprehensive perspective TSP and prepare Annual TSP documents taking into account various sources of funding (including State Plan, fund flow under Central Sector and Centrally Sponsored Schemes);
- (5) Examine various on-going schemes and their budgetary allocations and suggest new schemes on the basis of assessment and discussions with concerned line Departments;
- (6) Suggest strategic measures, set target-oriented specific socio-economic indicators for various programmes / schemes in consultation with line departments;
- (7) Grant approval for introduction of new schemes;
- (8) Grant approval for re-appropriation of TSP funds from one department to another after mid-year review;
- (9) Undertake scrutiny of schemes / programmes submitted by line departments to ensure that


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- (i) concerned departments are providing for STs in their budget and plans funds and guidelines to same extent as is available to other populations, in proportion to their requirement,
 - (ii) that only those schemes / programmes, that fulfill criteria of securing direct benefits to ST individuals, households and localities (and are aligned to strategic objectives of TSP) are included in TSP;
 - (iii) Service delivery standards under various departmental schemes are established and adhered to;
- (10) Submit such proposals, with their evaluation, to Executive Committee for appraisal and approval;
 - (11) Design a comprehensive monitoring framework with well-defined indicators and co-ordinate progress of various schemes / programmes;
 - (12) Devise a mechanism for speedy transfer of funds directly to field formations under intimation to District Headquarters, instead of being routed through District Headquarters, by enforcing on them a system of accountability for effective utilization of allocated funds;
 - (13) Conduct evaluation to access impact of schemes implemented under TSP, on socio-economic conditions of STs on regular basis;
 - (14) Ensure follow up of schemes implemented and maintenance of proper records on assets created under TSP in District / Block etc;
 - (15) Ensure that service delivery is standardized and adhered to in time-bound manner;
 - (16) Ensure transparency and accountability at all levels in the implementation of TSP schemes and dissemination of information electronically relating to schemes / programmes, allocation and expenditure along with physical targets and achievements in respect of each department and placing this information in public domain;
 - (17) Ensure that all institutional mechanisms are established at various levels i.e., State, District, Block etc., as laid down in guidelines;


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- (18) Ensure that gaps still remaining under TSP financing pattern are highlighted for each ITDP / ITDA / MADA / Cluster pockets and at State level at the time of TSP financial allocations. This would facilitate synchronization of gap filling role of Ministry's scheme of Grants under proviso to Art. 275(1) with gaps identified in TSP; and
- (19) Ensure that time bound action is initiated by various departments to meet requirements of these guidelines.

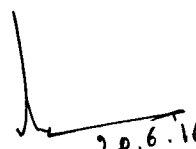
(B) Selection of Schemes, Programmes and Activities

Tribal Sub Plan (TSP) should include only such existing schemes (including additional components to existing schemes) or new proposed schemes, which fulfill following criteria:

- (a) Provide clearly defined direct and quantifiable benefits to Scheduled Tribe (ST) individuals or ST households or tribal areas. Benefits provided to STs along-with other people at a particular time may not be treated as direct benefit under TSP.
- (b) Create potential to accelerate pace of development of STs and to bridge extant gap in socio-economic development indicators between STs and other sections of society.
- (c) Focus of such schemes should be on education, income generation, improving access to irrigated land, entrepreneurship, employment and skill development and access to basic amenities.
- (d) Have in-built mechanisms / surveillance system to ensure utilization of funds meant for intended purpose.

(C) Plan Finalization under TSP

State Government, after estimating gaps in development of STs, will prioritize their development needs through a consultative process, and shall formulate TSP schemes and prepare TSP within State Annual Plan or Plans.


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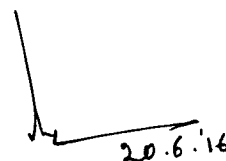
In formulation of TSP, State shall proceed as follows:

- (1) TSP should be formulated at District level by District Planning and Monitoring Committee (DPMC).
- (2) DPMC must reflect on actual demand for schemes / programmes that are to benefit STs, giving priority to equity aspect of their local demand and socio-economic backwardness.
- (3) District Annual plan must be approved by DPMC.
- (4) In case of area-oriented schemes, a Block / Village level approach should be adopted so as to facilitate inclusion of ST habitations which remain uncovered under District level approach. Inter-village prioritization should take into account ST population % within total population of such identified unit.
- (5) TSP at ITDP / ITDA / District level should form basis for State TSP formulation and implementation. Requirement of funds across DPMC proposals put together would generate demand for TSP requirement at State level.
- (6) In States having Scheduled Areas, Panchayati Raj Institutions should undertake an exercise to identify areas needing priority attention and communicate it to DPMC.

These priority activities may form TSP at cluster / MADA pockets, ITDP / ITDA level.

- (7) To formulate a realistic Plan budget, matching sectoral priorities and actual budgetary flow, Nodal department should consult all related Departments to:

a. identify priority-areas under TSP,



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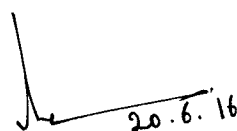
- b. examine various on-going schemes and their budgetary allocations and
 - c. suggest new schemes.
- (8) Approval of Nodal Department is mandatory for introduction of new schemes.
- (9) Service delivery should be standardized and adhered to in time-bound manner.
- (10) To facilitate synchronization of gap filling role of SCA to TSP, gaps still remaining under TSP financing pattern must be highlighted for each ITDP / ITDA / MADA / Cluster pockets level at the time of TSP financial allocations. Same can be put together at State level, to be finalized by EC.

(D) Norms for TSP Allocation

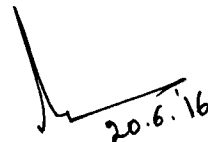
There should be no division of total Plan outlay into so-called divisible and non-divisible components, with TSP being confined to divisible outlays alone. Norms to be followed for allocation of cost of a scheme to Tribal Sub-Plan must be as under:

Table: Norms for allocation of cost of a scheme to TSP

Sl No	Type of Scheme	Cost to be allocated and accounted for under TSP
1.	Exclusively for ST individuals or ST households	100%
2.	For Scheduled Tribes habitations	100%
3.	Benefiting mixed habitations	In proportion to ST population of such habitation(s).
4.	General schemes benefiting ST	In proportion to ST beneficiaries

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	individuals or ST households, along with others	actually covered.
5.	Non-divisible infrastructure works	Estimates of likely benefits that may flow to STs may be shown as likely flow to TSP.
6.	For area based development projects / activities	In proportion to District wise ST population.

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Earmarking / Allocation of Grants under Proviso to Art. 275(1) for Tribal Development Programmes / Activities (under TSP)

1. Nodal Departments shall ensure that concerned departments are providing for STs in their budget plans funds and guidelines. This would be to the extent, as is available to other population, in proportion to requirement of STs.
2. State governments should ensure that TSP funds are placed under control of the Nodal Department.
3. Funds shall be earmarked / allocated to TSP subject to following conditions:
 - (1) Expenditure under TSP is meant only for filling development deficit, as an additional financial support, over and above normal provisions which should be available to Scheduled Tribes (STs), like others, in various schemes, including in flagship programmes.
 - (2) Funds under TSP are earmarked from total plan outlays (not excluding investments under externally aided Projects. (EAPs - and any other scheme), not less than population proportion of STs in State as per 2011 Census and in tune with problem share of ST population and need for bridging gap.
 - (3) Fund should be earmarked well in advance, normally at least six months, prior to commencement of financial year. TSP fund quantum (thus earmarked) shall be communicated to all departments for commencing process of preparation of TSP of each department.
 - (4) There shall not be any notional allocation, that does not have flows / schemes directly benefiting STs.
 - (5) Special attention shall be paid to allocate more funds to STs residing in Scheduled Areas.
 - (6) Due to physical remoteness and difficult terrain of tribal habitations, financial norms may need to be higher in tribal areas as compared to general areas. This should be ensured so that service standards in ST areas are not compromised.


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- (7) Synergy of inter-sectoral programmes and an integrated approach / convergence with other schemes / programmes should be ensured for efficient utilization of resources.
- (8) Line departments, in consultation with Nodal Department, shall prepare TSP to promote equity in development among various social groups within STs.
- (9) To ensure non-diversion, funds under TSP shall be earmarked under a separate Minor Head below functional major Head / Sub-Major Heads.

TSP funds, under Minor Head, shall comprise sector-wise and scheme wise allocations and actual expenditures incurred.

- (10) To ensure effective and optimum use of resources, re –appropriation of TSP funds from one line department to another should only be resorted to after mid-year review.

Appropriation of TSP funds from one Department to another Department shall be with approval of Nodal Department.

- (11) State government may devise a mechanism for speedy transfer of funds directly to field formations under intimation to District Headquarters, instead of being routed through District Headquarters, by enforcing on them a system of accountability for effective utilization of funds.

4. Norms for TSP allocation

There should generally be no division of total Plan outlay into so-called divisible and non-divisible components, with TSP being confined to divisible outlays alone. Norms to be followed for allocation of cost of a scheme to TSP are given in table below.

Table: Norms for allocation of cost of a scheme to TSP

Sl No	Type of Scheme	Cost to be allocated and accounted for under TSP
1.	Exclusively for ST individuals or ST households,	100%
2.	For Scheduled Tribes habitations	100%

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3.	Benefiting mixed habitations	In proportion of ST population in the habitation.
4.	General schemes benefiting ST individuals or ST households, along with others	In proportion to the ST beneficiaries actually covered.
5.	Non-divisible infrastructure works	Estimates of likely benefits that may flow to STs may be shown as likely flow to TSP.
6.	For area based development projects / activities	In proportion to District wise ST population.

Schemes that follow other norms shall be recommended by concerned line departments and aggregated for placing before the Executive Committee, chaired by Chief Secretary, for consideration and necessary approval as to accounting of the same. Minutes of Executive Committee meeting should be forwarded to Ministry of Tribal Affairs.

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