



**NETWORK FOR CERTIFICATION AND CONSERVATION OF FORESTS (NCCF)**

# **Development of the NCCF's Trees outside Forests Certification Standard**

The development report elaborates the process of the NCCF'S Trees outside Forests  
Certification Standard Development process.

**November 2019**

## Contents

Introduction.....	3
Phase 1: Announcement of standard development process .....	4
Phase 2: Stakeholder Mapping and Expression of Interest Circulation .....	4
Phase 3: Creation of the SDG and TWG .....	5
Phase 4: Draft Base Document .....	6
Phase 5: Extended Stakeholders Outreach.....	7
Phase 6: Public Consultation.....	10
Phase 7: Pilot Testing.....	10
Phase 8: Consensus Building .....	13
Phase 9: Approval by the Governing Body .....	14
Appendix 1 .....	15
Appendix 2 .....	18
Appendix 3 .....	21
Appendix 4 .....	29

## Introduction

Network for Certification and Conservation of Forests (NCCF), a not for profit organization, engaged in diverse activities like developing globally benchmarked and India specific certification standards, policy advocacy on natural resource management and other emerging issues, capacity building, training and multi-stakeholder engagement. NCCF is the National Governing Body (NGB) member of Program for Endorsement of Forest Certification (PEFC).

NCCF is promoting sustainable management of natural resources through the mechanism of certification and for which we have developed / and are developing certification standards for various constituents of our natural resource base, namely forests, trees outside forests, non-wood forest produce, protected areas and wetlands, quality planting material, ecotourism, biomass & biofuels, etc.

NCCF has previously developed Certification Standard for Forest Management, which is internationally benchmarked, country specific and endorsed by the PEFC, giving this Indian Certification Scheme an international recognition. NCCF has taken the initiative to develop standards on Sustainable management of Trees outside Forests (ToF) taking reference from the NCCF-PEFC FM Scheme.

The development of the ToF standard has been carried out following the NCCF Requirements for Standard Setting Process (NCCF-STD-SSP-01/2015), which has been drafted taking into reference the internationally recognised best standard setting practices serving as guidance for the whole process.

ToF resource in India play a very important role in meeting the requirements of wood fibre of the country, especially the pulp and paper, plywood and composite products, handicrafts and furniture industry. It is estimated that currently ToF resource meets more than 85% of the industrial wood requirements of India's wood and wood based sectors.

The NCCF ToF certification standard has been developed by a Standard Development Group (SDG), through an open, transparent, consultative and consensus based process, including a series of stakeholder consultations, undertaken through emails, online consultations, interviews and field level stakeholder consultation workshops. Post development, the standard was subjected to extensive pilot testing in 4 locations, along the Indira Gandhi Canal in Bikaner, Rajasthan; in Karur, Coimbatore, Tamil Nadu; in Saharanpur, Uttar Pradesh and in New Delhi. The standard is the culmination and final outcome of the development process including internal drafting, review, stakeholder consultation, critique of the draft document, pilot testing and the consensus building.

The development was broken into several different stages. All stages mutually dependent on one another forming a continuum. The outcome of the succeeding stage depended on the preceding stage, clearer the preparation at the initial stage, the finer and accurate the results in the stages ahead. The development report describes the whole process under the following stages:

- Phase 1: Announcement of standard development process
- Phase 2: Stakeholder Mapping and Expression of Interest Circulation
- Phase 3: Creation of the SDG and TWG
- Phase 4: Draft base document
- Phase 5: Extended Stakeholders Outreach

- Phase 6: Public Consultation
- Phase 7: Pilot Testing
- Phase 8: Consensus Building
- Phase 9: Approval by the Governing Body

### Phase 1: Announcement of standard development process

The Standard Development Process for Sustainable Management of Trees outside Forests (ToF) was initiated by NCCF on 29 June 2016. The Expression of Interest (EoI) application form for the stakeholders to participate in the standard development process for ToF was announced through NCCF's website and also emailed to the mapped and identified stakeholders.

The development process followed was a stage wise design to guide the SDG in accomplishing the objectives keeping in view the following agendas:

- To have an open and transparent standard developmental process
- To cover all aspects of triple bottom-line i.e. social, economic and environmental
- To build and develop awareness among people for need for sustainable management of trees outside forests
- To cover the stakeholders who may not be able to participate in the process
- To consider and involve key elements existing in context of ToF in India

The need for development of certification standard for sustainable management of ToF is:

- Huge wood **production** from ToF but **no sustainability** adherence systems or standard for certification
- **Help farmers** manage their **trees responsibly**, as per possible **best management practices**
- Help farmers get better price for responsibly managed trees **locally** and **globally**
- Encourage timber based industries to include **certified ToF raw material** in their **procurement policies** and **supply chain**
- Give **consumers** an assurance that the product is made from **responsibly managed** ToF

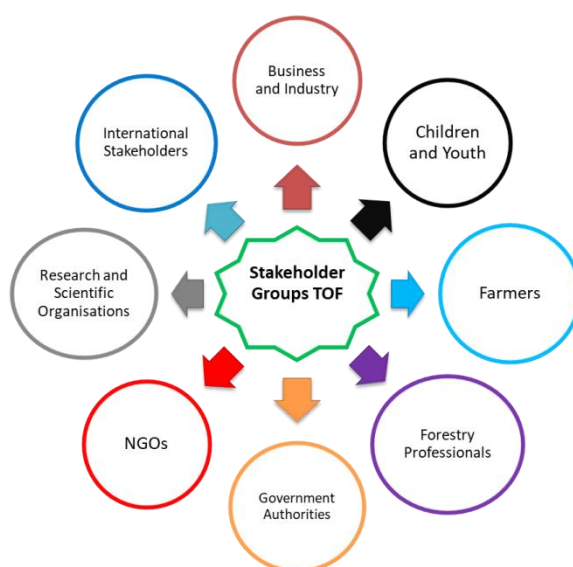
### Phase 2: Stakeholder Mapping and Expression of Interest Circulation

Stakeholder mapping was done taking reference from UN Agenda 21. Public participation in decision making is considered as one the prerequisites for achievement of sustainable development. UN Agenda 21 defines the nine 'Major Groups' and in Chapter 23, recognizing role of civil society and the need to strengthen role of Major Groups. Taking reference from the UN Agenda 21 stakeholder classes, the potential stakeholders for the ToF standard development process were divided into the following categories:

- Government Authorities
- Business and Industry
- Farmers
- Forestry Professionals
- Non-Governmental Organizations (NGOs)

- Research and Scientific Organisations
- International Stakeholders
- Children and Youth

A concept note, titled possible pathways to ToF Certification in India, a mind map for ToF concept, was the reference and information documents shared with the stakeholders along with the invitation email while the EoI was circulated. Graphical presentation of the stakeholder category is presented in the following fig.



Stakeholders were mapped for each of the classes and an invitation to be a part of the process was circulated to all the mapped stakeholders via email, first in July-August 2016 followed by telephonic interactions. An official letter was written to all the Principal Chief Conservator of Forests of the respective states for the nomination of the nodal representative of the Forest Departments and Forest Corporations of their state. Wood based industries including Paper and Pulp mills which are the private sector and farmers were approached.. Joint Secretary, Ministry of Agriculture & Farmers' Welfare, government nominee on NCCF's Governing Body was the nominated representative in the ToF SDG. The ToF-SDG was then further expanded in the second phase of stakeholder invitations i.e. May-June 2017.

In response to the EoI, members provided their acceptance for participation in the process and five State Forest Departments nominated their officials as members of SDG and were updated regularly via emails about the standard development.

Further, it was agreed by the Governing Body (GB) members that stakeholder mapping and engagement is an ongoing exercise and any stakeholder request for participation in the process at any stage will be entertained. Regular letters and formal communications were made during the whole process to the diverse set of stakeholder for their participation and support.

### Phase 3: Creation of the SDG and TWG

The ToF Standard Development Group (SDG) followed an open, transparent and consultative process. The multi-stakeholder SDG comprised of a wide range of stakeholders

viz, tree growers, wood based and wood based industries like timber, plywood and pulp and paper, research, scientific and academic institutions, independent technical experts, forest departments, farmer groups, NGOs etc.

The standard development group (SDG) consisting of 47 members was formed under the Chairpersonship of Dr Devendra Pandey, IFS (retd). To facilitate the working and prepare the base document, a technical working group (TWG) consisting of 05 members was formed within the SDG to expedite drafting, review of drafts as well as incorporating SDG and stakeholders feedback and comments in the drafts. The SDG had representation from the different classes of the stakeholders/members. The details of the SDG and TWG are provided in Annexe 1.

#### **Phase 4: Draft Base Document**

The NCCF-ToF Certification Standard laid out in this document is broad based and globally aligned taking into account the Indian context of agroforestry, urban trees and forests (UTF) and scattered trees in farmland and homesteads, trees along roads and highways, canals, railway lines and in orchards and gardens. Trees in the rural landscape are mostly privately owned, by big, medium, small and marginal farmers.

The ToF base draft document took 15 TWG Meetings and 03 SDG Meetings to be ready for approval. The ToF-SDG members approved the Zero Draft Standard for ToF at the IIIrd SDG Meeting on 17 March 2018, duly incorporating the comments made by them in the meeting. Incorporating the changes the revised version zero was shared with the SDG members.

#### **Initiative to Incorporate Technology in the standard**

During the development of the ToF based draft standard NCCF conducted a survey to understand and assess the role and use of technology in the standard implementation.

With the help of technology, processes starting from locating the raw materials till the disposal of the product can be tracked. Many countries use advanced technologies like remote sensing and Geo Information System (GIS) to track the tree's source. This has proven to be beneficial in many ways to the wood based industries, tree owners, monitoring agencies and country as a whole.

Technology will be useful for forest based industries like paper and pulp, plywood, etc. as they depend mostly on trees growing outside forests for the raw material. Technology is necessary to ensure the legitimacy of the wood procured from different sources of plantation, be it farm-forestry, agroforestry and other plantations. For validation and certification of trees procured, NCCF is undertaking the pilot project in trying to incorporate technology into the implementation of the standard.

By understanding the organization's perspective on use of technology in the process involved will help improvise the standard. Stakeholders were classified mainly into two groups: Industries and Organisations and two sets of questionnaire were designed. Refer Annex 2 and Annex 3.

## Phase 5: Extended Stakeholders Outreach

On 13 January 2018, a Stakeholders Consultative Meet took place in Delhi at the launch of the National Certification Scheme for Sustainable Forest Management through a National Conference on Forest Certification organized by NCCF.

The meeting was divided into two sessions, the first session having a panel discussion themed, 'Promotion of Trees outside Forests', Challenges and Opportunities being faced by industries and TOF Standard development process: Milestones achieved and way forward. The second session covered PEFC International's approach and progress towards developing TOF certification and experience of Thailand from their ToF pilot project.

As part of the extended stakeholders outreach and also part of the PEFC's ToF Pilot Project, two field visits were organised by the NCCF.

### 1. Telangana, India

On 14th January 2018, a visit to the agroforestry and farm forestry operations in Khammam and Vijayawada districts of Telangana State was organised by NCCF and was facilitated by the ITC Paper Specialty and Paperboards (PSPD) division in areas growing pulpwood species in small farm agroforestry setups. It was a part of the NCCF's-ToF Certification Standard development. The visit was also part of the ToF pilot project being done by NCCF in collaboration with PEFC International. The delegates for the visit included Ms Sarah Price (PEFC International), Mr Khitja Boonsri (Thailand Forest Certification Council [TFCC]) and Ms. Taruna (NCCF).

Telangana along with its neighbouring state, Andhra Pradesh, is known for planting pulp and paper wood species including - Eucalyptus spp., Casuarina spp. and Leucaena spp. The farmers prefer growing these species due to the vicinity of Pulp and Paper Mills in this part of the country. During the visit, the team interviewed various farmers, traders and Industry representatives to understand the model in which these industries operate ensuring there is long-term supply for industry-relevant species. It was also found that farmers are choosing commercial tree crops like Eucalyptus, due to low nutrients demand and early returns. ITC, after field trials, promote plantation of pulpwood species clones in their catchment region and these are sold to interested farmers at a subsidized price. These clonal plantations have 3 to 5 times more productivity than the normal seed-based plantations and are disease and termite resistant. Industries, including ITC, depend hugely on the local procurement for the raw material. Many of these industries have got these agroforestry and farm forestry area certified under FSC Forest Management Certification Scheme.

Farmers grow species like Eucalyptus in agroforestry model along with other shrub crops like millets, cotton, pulses, vegetables, etc., in first two years. The team found that farmers in low rainfall area and scarce irrigation facility prefer growing Leucaena spp. whereas Casuarina spp. is mostly grown by large landholdings and/or absentee farmers.

The ITC officials, informed that ITC has developed an application software and farmers use mobile-based applications to request clones, request for harvest of their mature crop, store their land details and maps. The application also helps farmers to stay in with contact ITC's local area in-charge; register their queries, complaints, etc. It connects farmers to ITC's research center, whom farmers can contact in times of any disease outbreak or quality issues.



The application also stores data like - date of the plantation, number of trees, clone types, etc., which get stored in a server in ITC head office. ITC uses this data to interpret and estimate potential pulpwood inventory available in the area and estimate the harvesting time. Tree species with 3-4 years of harvesting cycle provide economic benefits to the farmers at much lesser maintenance cost than the agricultural crops. Industry supports farmers with modern techniques know-how, expert advice and better price whereas farmers ensure a continuous supply of raw material to the industry. Industry directly buys the raw material from the farmers thus ruling out the scope of the middleman and pays farmers agreed price during the time of harvesting. The industry representative also explained that it sometimes becomes a challenge to convince the farmers to plant pulpwood species since they are very enterprising and practicing agriculture for generations.

The team found that it is an ideal example of the symbiotic relationship between industries and farmers. This type of arrangement can also help other wood-based industries to meet their raw material requirement and at the same time reducing pressure on the natural forest.



**Sarah Price (PEFC International), Khitja Boonsri (TFCC), Industry representative and Farmers during a discussion on Farm Forestry operations**

## **2. Yamunanagar, India**

After visiting the pulp and paper belt in Telangana, a visit to Yamunanagar, Haryana was organised by NCCF in collaboration with Haryana Forest Department and Haryana Forest Development Corporation as part of the NCCF's-ToF Certification Standard development on 15 January 2018. The visit was also part of the ToF pilot project being done by NCCF in collaboration with PEFC International. The delegates for the visit included, Ms Sarah Price (PEFC International), Mr Khitja Boonsri (Thailand Forest Certification Council [TFCC]), Mr Varun Grover (NCCF) and Ms. Taruna.

Yamunanagar in the state of Haryana is one of the largest wood markets in the country and a huge source of revenue for wood and wood-based industries, especially from ToF. The visit aimed at providing an understanding to the situation of ToF in India, the supply channels and operations. The interactions and meetings during the visit are described below:

The first interactions were with the officials from the Forest Department, Yamunanagar. They showed the approved Working Plan, the legal document which has the working prescriptions for the forest division and other operational practices to be carried out. The team visited various agroforestry models in this area including - bunds plantations,



scattered trees, linear plantations on roadside, block plantation and orchards on private land. The area is well irrigated with a perennial river and is famous for being the hub of vegetables, food crops and timber industry. The area has negligible natural forests and has the dominance of Trees present outside the forest. The farmers are supported by local forest as well as agriculture departments for growing crops and trees in their farmlands. To promote trade of agroforestry species, main species of trees outside forests grown by farmers have been exempted from harvesting regulations and transit permit.

Yamunanagar industrial area is also famous for the plywood and sawmills. All these industries largely depend on the wood produced from agroforestry.. The plywood industry flourished here due to the high availability of hardwood species like - Sheesham, Eucalyptus, Poplar, etc. . But the wood based industry is unorganized in this region.. The legal origin of the timber and chain of custody remains the biggest challenge in this area. Industry buys timber from the traders who in turn buy timber from either the farmer or the Agricultural Marketing committee, established by State Agricultural Department. The team visited plywood and sawmill units which were majorly using Eucalyptus and Poplar species for making the plywood and other engineered products. There was lack of knowledge about the existing chain of custody certification schemes in the country, mainly because the products are manufactured for the domestic market. Team also visited few big landholdings and progressive farmers. They are the pioneer farmers and support small and marginal farmers with the technical interventions, knowledge and existing agricultural regimes and practices in their areas. Founding members of the Farmers welfare cooperatives and associations, these farmers have some of the best agroforestry models in the country.

In addition to this, the team visited wood mandi to understand the trade and supply chain management, auction process, transit permits and other documents used.



**Sarah Price (PEFC International), Khitja Boonsri (TFCC) with farmers in Yamuna Nagar, Haryana**

## Phase 6: Public Consultation

After reviewing and incorporating the observations from the Consultative Meet, Extended Outreach Exercise and several other discussions the draft ToF Certification Standard version zero presented to the ToF-SDG in the meeting on 17 March 2018. The ToF-SDG approved the Zero Draft Standard for ToF with a condition to incorporate the comments made by them. Incorporating the changes suggested by the ToF-SDG, the revised version zero was put for public consultation.

Public consultation is a significant part of NCCF's Standard Setting Process. SDG approved Zero Draft Standard for Trees outside Forest (NCCF-STD-TOF-00/2018, v0) was put for 60 days public consultation on [NCCF website](#) from 25 April 2018 to 24 June 2018. A copy of the draft document (version zero), a short background note on ToF, a comment sheet and an instruction sheet were uploaded on the NCCF's website. The set of these documents were also emailed to the ToF-SDG members and several other stakeholders.

As a part of the consultation period, two regional consultation workshops were held. Regional stakeholder were mapped and invited for these workshops. The ToF-SDG members were also invited to attend the workshop or nominate a representative from their regional team located close to the workshop venues. The two locations were as under:

Venue	Date
Arid Forest Research Institute, Jodhpur, Rajasthan	12 May 2018
Central Agroforestry Research Institute, Jhansi	16 May 2018

Objectives of these workshops were better outreach and awareness of the draft TOF certification standard (version zero) and stakeholder consultation as part of public consultation. Further revise the draft in light of discussions and comments that were received in the workshop. Besides collaboration and inputs from local, regional, key and disadvantaged stakeholders.

Most of the stakeholders that participated in these workshops were fairly new to the subject and they were explained about certification, ToF certification and other related aspects.

Stakeholders that participated included Arid Forest Research Institute, Handicraft Association, Krishi Vigyan Kendra, local NGOs, Central Agroforestry Research Institute, Rajasthan State Forest Department, Uttar Pradesh State Forest Department, Development Alternatives, farmers, etc.

Over the 60 days public consultation phase, it resulted in collection of 84 comments and some observations. These were split into three categories i.e. general, editorial and technical. These comments and observations were discussed and reviewed in the TWG Meeting held on 20-21 July 2018.

## Phase 7: Pilot Testing

As a part of standard development process, Zero Draft Standard for Trees Outside Forest (ToF) version one (v1.0) (NCCF -STD- TOF- 1.0/2018) underwent pilot testing in the field. The pilot testings were organised in four different sites across India.

The broad objectives of pilot testing were:

- To check the suitability, relevance and adaptability of the draft TOF standard (v1.0)
- To gain understanding of the practical impacts of draft TOF standard at the development stage
- Identifying the areas/ of non-conformance during the field testing and the measures and practices required to achieve conformance
- To identify regional variants in the adaptability of the standard and to assign specific verifiers for region centric application and use
- Interaction with plantation managers, bodies involved in the plantation and maintenance of trees, local NGOs and other stakeholders
- Review documents related to land, legality, physical harvesting (if any), and other as per the requirement of the standard etc.
- To encourage and involve different stakeholders ranging from farmers, TOF managers, communities, local communities, women, wood and wood based industries, certification bodies and other disadvantaged stakeholders in standards development and identify area of improvement.
- Providing exposure to the potential auditors and standard implementers, to enhance their familiarity with the standard
- Role of technology and possible technological interventions in management of TOF

Rationale for selection of the pilot testing sites:

Rationale for selection	Sites			
	Karur (Tamil Nadu)	Saharanpur (Uttar Pradesh)	Plantations along IG Canal (Rajasthan)	New Delhi (Delhi)
<b>TOF Model</b>	Agroforestry / Scattered Trees	Agroforestry / Scattered Trees	Linear Plantations	Urban forest
<b>TOF Intensity</b>	High	High	High	High
<b>Industries in vicinity</b>	Paper and Pulp	Plywood, MDF, Matchsticks, Packaging	Handicraft Industry	NA
<b>Existing Timber Species</b>	Eucalyptus, Casuarina	Eucalyptus, Poplar, Sheesham	Babool, Rohira, Sheesham, Neem, Acacia tortilis	Mixed Avenue Plantations
<b>Use of chemicals</b>	High	High	High	-
<b>Rationale for selection</b>	TOF, Farm Forestry Captive Plantations managed by TNPL	Bigger landscape, Interested in certification	Unique plantation model for PT and wood is supplied to handicrafts industry	Rising issues in Delhi-NCR around tree felling, Urban Forests Multiple greening agencies
<b>Primary Contact Organisation(s)</b>	Tamil Nadu Newsprint and Papers Limited	Star Paper Mills Ltd.	Bikaner Forest Division, Rajasthan Forest Department	Delhi Forest Department

<b>Approach</b>	1. Captive plantations  2. Farm Forestry plantations  3. Group Certification/ Cooperative model currently FSC-FM certified	1. Star Papers supplies planting material to Farmers  2. Sourcing still from market/ suppliers and not directly from farmers  3. Farm forestry plantations	1. Along the Indira Gandhi Canal stretch in Bikaner  2. Wood is supplied to handicraft sector  3. Government	1. Avenue plantations, urban forests and parks  2. Multiple land ownerships but mostly government
-----------------	----------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------

An expression of interest (EoI) was floated on the website in August 2018 inviting the potential stakeholders to participate in the process in capacity of observers and auditors. NCCF Secretariat liaised with the shortlisted stakeholders for obtaining necessary permissions and mutually convenient days. Trees outside forests occurs in areas outside the natural forests, not under control of forest department thus the pilot testing sites included such areas as well. The Pilot Testing was done in four representative assessment areas.

#### Details of Pilot Testing Team

S. No.	Site	Timeline	Assessor team	ICFRE representative	Other Stakeholders
1.	Indira Gandhi Canal, Bikaner, Rajasthan	05 September 2018 to 07 September 2018	AK Bansal Dr Devendra Pandey Dr Ajay Kumar Saxena Varun Grover	Dr I.D. Arya Director, Arid Forest Research Institute (AFRI) (Could not attend)	Bikaner Forest Division, Rajasthan Forest Department
2.	Karur, Coimbatore, Tamil Nadu	19 September 2018 to 21 September 2018	Dr Jagdish Kishwan Taruna	Dr. D. Rajasugunasekar, Scientist E, Institute of Forest Genetics and Tree Breeding (IFGTB)	Tamil Nadu Newsprint and Papers Limited (TNPL)  Vishwesh Singh, Rally for Rivers ISHA Foundation
3.	Saharanpur, Uttar Pradesh	11 October 2018 to 12 October 2018	Dr Jagdish Kishwan Varun Grover	NA	Star Paper Mills Ltd.  Aditya Petwal, Coordinator, Leaders for Nature, IUCN India
4.	New Delhi, Delhi	04 February 2019	AK Bansal Dr Devendra Pandey Ms Taruna Varun Grover	NA	Department of Forests and Wildlife, Govt. of NCT of Delhi  Aditya Petwal, Coordinator, Leaders for Nature, IUCN India

In Rajasthan, the pilot testing was conducted in **Bikaner Forest Division** where plantations form a part of the long stretch along the **Indira Gandhi Canal**. The timber harvesting in this area has recently begun and is a source for raw material for the handicraft industries of

Jodhpur, Jaipur and other parts of Rajasthan. Along with these plantations there are also nearby farmers who grow trees and supply wood to these industries.

The catchment areas of **Tamil Nadu Newsprint and Paper Limited (TNPL)** are the source of raw material for the organisation. The proposed piloting was conducted on the three different sites: covering (i) Farm Forestry; (ii) Captive Plantations and (iii) Group certification/cooperatives.

In Saharanpur, Uttar Pradesh, the areas around **Star Paper Mills Ltd.** are the source of raw material for the mill. The organisation has developed its catchment in collaboration with farmers and has been working closely with them.

**New Delhi, the capital city of India** has a good forest and tree cover having substantial areas as avenue plantations, roadside plantations, and much more which are owned by Forest Department, Delhi Development Authority, Delhi Municipal Corporations, Horticulture Department etc. These urban greens have important environmental role like pollution control, shade, beautification, sound regulation, biodiversity, etc.

After the three pilot testing, the TWG met in January 2019 to discuss and review the findings of the pilot testing. In February 2019, a combined checklist, having observability and non-observability for all four Pilot Testing Sites (Bikaner, Karur, Saharanpur and Delhi), was shared to the TWG members for their final review. The draft ToF standard v1.0 was revised to draft ToF Standard v 1.1 incorporating the comments as applicable and suggested by TWG members and Pilot Testing assessors.

## **Phase 8: Consensus Building**

The standard development process in all took 17 TWG Meetings, 04 SDG Meetings, 01 Stakeholders Consultation Meeting, 02 Extended Stakeholders Outreach Visits, 02 Public Consultation Workshops and 04 Pilot Testing to complete the process.

In the 4<sup>th</sup> SDG Meeting which took place on 16 February 2019, an update of the whole process was provided to the members and the standard v1.2 was put before for the approval of the SDG. The members present agreed upon the contents of the Standard and approved the same. All the changes suggested and discussed were recorded. Some changes were incorporated during the meeting itself and other were noted to be incorporated after the meeting.

Consensus was built in the meeting between the SDG members. Further it was agreed that the SDG members will be given 2 weeks' time from the day of circulation of the revised NCCF-ToF Final Draft Certification Standard (v1.2) incorporating all the proposed changes. Comments and suggestions during these 2 weeks will be recorded and incorporated appropriately in the standard as deemed fit. After the 2 weeks' the standard became eligible for submission to the NCCF-GB for further action.

In the 15<sup>th</sup> Governing Body Meeting of NCCF held on 30 March 2019, the NCCF ToF Certification Standard Draft v1.3, approved by the SDG, was placed before the NCCF Governing Body for approval. As the Ministry of Agriculture and Farmer's Welfare (MoA&FW) has offered comments in the last moment and sought clarifications on few aspects and had shared the draft ToF Certification Standard v1.2 with the agroforestry implementing states for comments the Governing Body did not approve the standard.



Standard setting being a stakeholder driven, open and transparent process, taking into consideration the perspective of MoA&FW, the Governing Body provided an extension for the consensus building to address the comments of the MoA&FW and response from States. The extension was for a period of **6 weeks**, including **4 weeks** for offering comments and **2 weeks** for review of comments and finalization of draft of the ToF Standard. The schedule of events will be as follows:

Event	Activity
Start date for extension of Consensus Building	06 April 2019
Last of receiving comments	06 May 2019
Review by SDG	06-20 May 2019
Submission to NCCF-GB	20 May 2019

The comments of the Ministry were addressed vide letter dated 8th April 2019 by providing detailed clarification. In actual the extension went beyond 6 weeks period as the inputs from agroforestry implementing states were not received on time.

Subsequently, MoA&FW provided us with the comments from four agroforestry implementing states i.e. Karnataka, Odisha, Punjab and Uttar Pradesh. This took considerable time (April-July 2019). All the relevant suggestions and comments of MoA&FW and of the States were incorporated and the revised draft version (v1.3) was subsequently circulated to SDG members.

### Phase 9: Approval by the Governing Body

Final Draft Standard for Trees Outside Forest (ToF) Version (v1.3) NCCF-STD-TOF-1.3/2019 was submitted to the Members of the Governing Body on 06 August 2019 for their approval. The same was approved by the Governing Body on 10th August 2019, in the 16<sup>th</sup> Governing Body Meeting of NCCF.

The other supporting scheme documents were approved by the Governing Body as well.



NCCF 16<sup>th</sup> Governing Body Meeting approving ToF Certification Standard



## Appendix 1

### Standard Development and Technical Working Group Members

S. No.	Name	Description/Organisation	Email	Stakeholder Group	Member
1.	Dr Devendra Pandey	Independent Consultant and TOF Expert	<a href="mailto:dpandeyifs@rediffmail.com">dpandeyifs@rediffmail.com</a>		Chairperson, NCCF-TOF, SDG-TWG
2.	Mr Suneel Pandey	ITC Ltd	<a href="mailto:suneelrasra@gmail.com">suneelrasra@gmail.com</a>	Business and Industry	Member, SDG & TWG
3.	Ms Taruna	GICIA India Pvt Ltd	<a href="mailto:taruna@gicia.org">taruna@gicia.org</a>	Business and Industry	Member, SDG & TWG
4.	Ms Deepali Rautela	NCCF	<a href="mailto:rautela.deepali1991@gmail.com">rautela.deepali1991@gmail.com</a>	NGO	Member, SDG & TWG
5.	Mr Varun Grover	NCCF	<a href="mailto:varun.grover@nccf.in">varun.grover@nccf.in</a>	NGO	Member, SDG & TWG
6.		Joint Secretary, Ministry of Agriculture	<a href="mailto:jsnrm-agri@gov.in">jsnrm-agri@gov.in</a>	Government Authority	Member, SDG
7.	Mr Ajoy Bhattacharya	NHAI-NGHM	<a href="mailto:ajoykb@gmail.com">ajoykb@gmail.com</a>		Member, SDG
8.	Mr Bhowmik H Shanghvi	Hindustan Pencils Pvt. Ltd	<a href="mailto:bhowmik@hindustanpencils.com">bhowmik@hindustanpencils.com</a>	Business and Industry	Member, SDG
9.	Mr S.P. Mishra	Star Paper	<a href="mailto:plantation.sre@starpapers.com">plantation.sre@starpapers.com</a>		Member, SDG
10.	Dr CN Pandey	Century Ply	<a href="mailto:cn.pandey@centuryply.com">cn.pandey@centuryply.com</a>		Member, SDG
11.	Rahul Vohra	CL Gupta Exports Limited	<a href="mailto:rahul@clgupta.com">rahul@clgupta.com</a>		Member, SDG
12.	Shyam Srivastava	International Paper APPM	<a href="mailto:shyam.srivastava@ipaper.com">shyam.srivastava@ipaper.com</a>		Member, SDG
13.	Mr Vivek Saxena	Haryana Forest Development Corporation	<a href="mailto:cgm.newdelhi@hfdc.gov.in">cgm.newdelhi@hfdc.gov.in</a>	State Forest Department	Member, SDG
14.	DFO Yamunanagar	Haryana Forest Department	<a href="mailto:dfo.ynr-hry@nic.in">dfo.ynr-hry@nic.in</a>		Member, SDG
15.	Mr Saurabh Gupta	Punjab State Forest Department	<a href="mailto:cfhqpunjab@gmail.com">cfhqpunjab@gmail.com</a>		Member, SDG
16.	Mr Nischal Gautam	Sikkim Forest Department	<a href="mailto:dfowpsikkim@gmail.com">dfowpsikkim@gmail.com</a>		Member, SDG
17.	Mr HV Girish	Uttar Pradesh Forest Department	<a href="mailto:dfonoida@gmail.com">dfonoida@gmail.com</a>		Member, SDG
18.		Andaman & Nicobar Forest Department			Member, SDG
19.	Dr Ajay Kumar	CSE	<a href="mailto:braj.ajay@gmail.com">braj.ajay@gmail.com</a>	NGO	Member, SDG

	Saxena				
20.	Mr R. D Tiwari	Utthan Trust	<a href="mailto:rdtiwariifs@rediffmail.com">rdtiwariifs@rediffmail.com</a>		Member, SDG
21.	Ms Satabdi Mohapatra	Development Alternatives	<a href="mailto:smohapatra@devalt.org">smohapatra@devalt.org</a>		Member, SDG
22.	Mr Rajeev Baruah	Better Cotton Initiative	<a href="mailto:rajeev.baruah@bettercotton.org">rajeev.baruah@bettercotton.org</a>		Member, SDG
23.	Mr Manish Chandi	Andaman Nicobar Environmental Team	<a href="mailto:manish@anetindia.org">manish@anetindia.org</a>		Member, SDG
24.	Ms K Rathna	Centre for Indian Bamboo Resource and Technology (CIBART)	<a href="mailto:rathna@cibart.in">rathna@cibart.in</a>	Research & Scientific Organisations	Member, SDG
25.	Dr JV Sharma	The Energy and Resources Institute (TERI)	<a href="mailto:jv.sharma@teri.res.in">jv.sharma@teri.res.in</a>		Member, SDG
26.	Dr A. Arunachalam	ICAR	<a href="mailto:arun70@gmail.com">arun70@gmail.com</a>		Member, SDG
27.	Dr AK Handa	ICAR-Central Agroforestry Research Institute	<a href="mailto:Arun.Handa@icar.gov.in">Arun.Handa@icar.gov.in</a>		Member, SDG
28.	Mr Akhilesh Singh	IORA Ecological Solutions	<a href="mailto:akhileshfri@gmail.com">akhileshfri@gmail.com</a>		Member, SDG
29.	Mr Srikanth K Panigrahi	Institute of Sustainable Development	<a href="mailto:srikantakpanigrahi@gmail.com">srikantakpanigrahi@gmail.com</a>		Member, SDG
30.	Mr A.K. Bansal	Independent Consultant	<a href="mailto:bansalka@yahoo.in">bansalka@yahoo.in</a>	Independent Experts	Member, SDG
31.	Dr A.K. Singh		<a href="mailto:ageans@gmail.com">ageans@gmail.com</a>		Member, SDG
32.	Mr AK Varma	Independent Consultant	<a href="mailto:avanivarma413@gmail.com">avanivarma413@gmail.com</a>		Member, SDG
33.	Mr A.K. Srivastava		<a href="mailto:aksmoef@gmail.com">aksmoef@gmail.com</a>		Member, SDG
34.	Mr RB Sinha		<a href="mailto:rakeshbsinha@gmail.com">rakeshbsinha@gmail.com</a>		Member, SDG
35.	Dr Amar Prasad	Power Trading Corporation	<a href="mailto:amarprasad@yahoo.com">amarprasad@yahoo.com</a>		Member, SDG
36.	Mr Aatish Khan	Xynteo			Member, SDG
37.	Mr Vivek Vyas	Independent Consultant	<a href="mailto:vanvasivyas1@gmail.com">vanvasivyas1@gmail.com</a>		Member, SDG
38.	Shergill Hunter	Shergill Farms	<a href="mailto:shergillhunter@yahoo.in">shergillhunter@yahoo.in</a>	Farmers	Member, SDG
39.	Pankaj Tandon		<a href="mailto:pankajtandon.ynr@gmail.com">pankajtandon.ynr@gmail.com</a>		Member, SDG
40.	Valerie Hara		<a href="mailto:harafarms@gmail.com">harafarms@gmail.com</a>		Member, SDG
41.	Dr VP Singh	International Center for Tropical Agriculture (CIAT)	<a href="mailto:v.p.singh@cgiar.org">v.p.singh@cgiar.org</a>	International Stakeholders	Member, SDG
42.	Dr SK Dhyani	South Asia Regional Program, World Agroforestry Centre (ICRAF)	<a href="mailto:s.dhyani@cgiar.org">s.dhyani@cgiar.org</a>		Member, SDG

43.	Mr Aditya Petwal	International Union for Conservation of Nature (IUCN)	<a href="mailto:zydusadi@gmail.com">zydusadi@gmail.com</a>		Member, SDG
44.	Mr Kundan Burnwal	GIZ India	<a href="mailto:Kundan.burnwal@giz.de">Kundan.burnwal@giz.de</a>		Member, SDG
45.	Ms Ana Alicia García	Accreditation Body, Mexico	<a href="mailto:ana.garcia@ema.org.mx">ana.garcia@ema.org.mx</a>		Member, SDG
46.	Mr Antonio Brunori	PEFC, Italy	<a href="mailto:info@pefc.it">info@pefc.it</a>		Member, SDG
47.	Mr Matthew Reddy	WBCSD, New Delhi	<a href="mailto:Reddy@wbcsd.org">Reddy@wbcsd.org</a>		Member, SDG

## Synopsis of the Development Process

Phase	From	To	Activity
<b>Constitution of SDG for ToF</b>	29 June 2016		
TWG-ToF I	02 July 2016		To initiate the process with chairperson Dr Devendra Pandey. Discussion on ToF pathways specific to India and call for Expression of Interest
TWG-ToF II	07 July 2016		Definition of ToF, Scope and Application of ToF in Indi, Categories of ToF in India, Selection of Standard Template
TWG-ToF III	16 July 2016		Development of monitoring mechanism for ToF, defining smallest denominator/scale of ToF, finalizing Stakeholder's List, discussion on "Collect Earth" and its application in ToF monitoring mechanism, discussion on ToF timelines and roadmap
<b>Call for EOI</b>	21 July 2016	05 August 2016	
TWG-ToF IV	25 August 2016		Standard development, discussion on PEFC meta-standard and comments, discussion on ToF SDG List
TWG-ToF V	03 September 2016		Drafting ToF indicators on the lines of PEFC meta-standard for SFM/ToF, discussion on incorporating "Scattered Trees" category into Agroforestry or Urban forestry category, Kisan cess
TWG-ToF VI	04 October 2016		Discussion on PEFC SFM cum ToF Criteria
TWG-ToF VII	15 October 2016		Modification in criteria document and further developments, discussion on ToF Task Force
	31-01-2017 onwards		EOI, Stakeholder mapping, Technical documentation (C-I)
<b>Work on Technical Documentation (Criteria Development)</b>	31 January 2017	15 March 2017	Preparation of zero draft standard by TWG
SDG-ToF I	07 April 2017		Introduction of all the SDG members, Overview of ToF scheme - scope, need of ToF certification in India and TWG and timelines, Presenting draft version of ToF certification scheme criteria, Expansion of present Standard Development Group (SDG)
SDG Standard Review-I	09 May 2017	24 May 2017	SDG comments and review on the Standard
TWG-ToF VIII	08 June 2017		Finalisation of timelines and dates for meetings, discussion on expansion of SDG, involving more stakeholders, discussion on Urban Forestry/Trees in Settlements
<b>Expansion of SDG</b>	06 June 2017	30 June 2017	Circulation of EOI to new members, expansion of SDG
TWG-ToF IX	17 June 2017		TWG addressed comments by SDG & Criteria finalised
<b>Work on Technical Documentation (Criteria Development)</b>	19 June 2017	18 July 2017	Modification of Criteria and development of Indicators
Contacting more Stakeholders	18 July 2017	31 July 2017	1. For SDG expansion as well as invite to SDG meeting 2. Punjab, Haryana PCCF, Noida DFO, Century Ply, CAFRI, ICRAF and more

Work on Technical Documentation (Indicator Development)	21 July 2017	31 January 2018	Indicator Development for the ToF Standard wrt to the Criteria
SDG-ToF II	05 August 17		Discussion on draft Criteria, Discussion on way forward, Urban forestry & Agroforestry, etc.
Contacting more Stakeholders	07 August 2017	11 August 2017	Letters to all State PCCFs, letters and address identification going on
TWG-ToF X	25 August 2017		Review & comments points raised in SDG meeting, Operationalisation & implementation of management plan for ToF in practice, Indicator development & approach for the segregation as per the ToF models at indicator level
PEFC ToF Task Force Meeting	04 September 2017	07 September 2017	Convener NCCF's visit to Germany
ToF Internal Review Meeting	19 September 2017		Review on the ToF Standard Development
TWG-ToF XI	29 September 2017		To discuss the indicators draft, To discuss the PEFC ToF draft and NCCF ToF draft
TWG-ToF XII	18 November 2017		Update on indicator development, Preparation for Extended Consultation/Outreach
TWG-ToF XIII	07 December 2017		Update on indicator development, Preparation for Extended Consultation/Outreach
TWG-ToF XIV	28 December 2017		Update on indicator development, discussion on the ToF Consultation Meeting with PEFC International, update on ToF Task Force Call 18.12.17
ToF Consultation Meeting	13 January 2018		ToF Consultation Meeting with PEFC International, ToF Model for India, Field Visits
TWG-ToF XV	17 February 2018		Discussion on ToF Draft Standard : Foreword & Introduction, Theme A to Theme F and Glossary, Finalisation of Workshop Sites and Tentative Pilot Testing Sites
SDG-ToF III	17 March 2018		Presenting ToF Zero Draft Standard, Approval of draft ToF Standard from SDG, Announcement of Public Consultation of ToF Standard, Workshop and Consultation Details
SDG Standard Review-III	17 March 2018	30 March 2018	Incorporation of SDG Comments on the ToF Zero Draft
<b>Public Consultation</b>	25 April 2018	24 June 2018	60 Days Public Consultation
ToF Jodhpur Workshop	12 May 2018		Stakeholder Consultation Workshop
ToF Jhansi Workshop	16 May 2018		Stakeholder Consultation Workshop
Standard Review IV	29 June 2018	07 July 2018	Incorporation of Public Consultation Comments and Review of Standard
PEFC ToF Report Draft 1	25 June 2018		Draft 1
PEFC ToF Final Report	11 July 2018		Final Report
Finalisation of PT sites	16 July 2018		TWG to finalise exact PT divisions from the shortlisted sites
TWG-ToF XVI	20 July 2018	21 July 2018	Discussion and review on the comments received during Public Consultation and Finalisation of Pilot Testing sites

Pilot Testing Phase			
Pre-Planning Pilot Testing	16 July 2018	31 August 2018	Liaising with concerned departments and officials for PT
EOI for Pilot Testing	20 August 2018	31 August 2018	Inviting interested professionals for PT
Checklist, Guidelines, other documents	27 August 2018		Relevant documents for teams
Team finalisation	01 September 2018		PT Teams
Pilot Testing 1 (Bikaner)	03 September 2018	05 September 2018	Pilot Testing at Bikaner with Rajasthan Forest Department
Pilot Testing 2 (TNPL)	19 September 2018	21 September 2018	Pilot Testing at Karur with TNPL
Pilot Testing 3 (Saharanpur)	11 October 2018	13 October 2018	Pilot Testing at Saharanpur with Star Paper Mills
TWG-ToF XVII	12 January 2019		To discuss the outcomes (observability and non-observability of the indicators) of the Pilot Testing and based on that, Revision of the ToF Standard (version 1)
Pilot Testing 4 (Delhi)	04 February 2019		Pilot Testing at Delhi with Delhi Forest Department
Pilot Testing Checklist Finalisation	09 February 2019		A combined checklist, having observability and non-observability for all 4 PT sites
SDG-ToF IV	16 February 2019		Final SDG and approval of draft v1.2 by SDG
Final Drafting Stage			
Consensus Building	05 March 2019	18 March 2019	Revised draft circulated to SDG
Final Drafting I	18 March 2019	28 March 2019	2 weeks’ time to SDG for providing comments
Extended Consensus Building Phase	30 March 2019	22 July 2019	Extended Consensus Building Phase and addressing the stakeholder comments
Final Review by SDG	22 July 2019	29 July 2019	1 week time provided to SDG members to review the final draft
Final Drafting II	29 July 2019	06 August 2019	Final review by TWG
Formal Approval of Standard	10 August 2019		Final Submission of the Standard to NCCF GB



## An excerpt of Consensus Building Evidence

**Draft comments on NCCF's Draft Certification Standards (v.1.2) in respect of Tree Outside Forest (TOF)**

- i) Authority/legality of this document ~~is not clear~~ *may be made clear*.
- ii) The basic principle of agroforestry is to enhance risk management and provide additional income to the small and marginal farmers either individually or in a cluster approach by way of FPOs/Co-operatives etc. It is agreed that certification is imperative once export markets are to be accessed however the present format appears to be lengthy and cost prohibitive for farmers.
- iii) Definitely a fee will be levied for carrying out this certification. NCCF should spell out clearly about this additional burden for the growers how the same shall be met by the growers.
- iv) Certificate appears to be lengthy and cumbersome. Instead, it should be more of a facilitating in nature and not as yet another stumbling block in adopting of agroforestry by the farmers.
- v) The standard is stated to be fully voluntary and not legal. It is only for the benefit of the tree owners interested in value addition through certification. However, broadly it needs to be seen that it requires minimal procedures from the farmers involved in agroforestry but if they require certification, to avoid processing delay.
- vi) The formation of TOF for the certification has been recommended in the form of block, linear and isolated and scattered trees in the following manner (ref p-7 of version v 1.0) :

S.NO.	Formation	Threshold
<b>A. Block Agroforest</b>		
1	Block	Area = 0.1 ha *one edge longer than 10 m
<b>B. Non-Block Agroforest</b>		
2.	Linear	Single/Multiple row; Maximum width = 10 m
3.	Isolated and scattered	- 1 tree
4.	Bund	Trees around a farm boundary, tank bund, etc.
<b>C. Urban Forest</b>		
5.	Urban Forest	-

The applicability of Criteria-Indicator under the Standard is as below:

Part A

S.NO.	Formation	Applicability
A. Block Agroforest		
1	Block	All criteria & indicators.
B. Non-Block Agroforest		
2.	Linear	Non-block formation requirements along with requirement of a MP.
3.	Isolated and scattered	Non-block formation requirements with no need of MP
4.	Bund	Non-block formation requirements with no need of MP
C. Urban Forest		
5.	Urban Forest	All criteria & indicators.

In the above formation to avoid procedural hazard associated with the process recommended with the certification especially for small and marginal farmers it is suggested that under the definition of block having area = 0.1 ha, one edge longer than 30 meter may be considered rather than 10 mtr. Otherwise none of the farmers having area approximately 0.1 ha will be excluded from the conditions associated with block and they may have to prepare management plan in respect of the tree plantation on their farmland. So, small farmers/FPOs will be hit. Above will apply *de facto* all block plantation dissuading small farmers working in cluster approach.

- vii) The requirement of management plan it is not clear who will prepare the management plan for the farmers and who will approve it. The template of the management plan prescribed appears more akin to a working plan for forest area. This will also add cost and burden on the heads of the growers.
- viii) TOF has added advantage of carbon sequestration however, the conditions relating environment (if any) in case of the TOF grown by farmers on their farmland needs to be avoided as the farmers adopt agroforestry mainly for adding to their income.
- ix) In respect of indicator 2.6.4 it is stated that it cannot be a major output and at the most it can be one of the co benefits of TOF.
- x) In respect of 2.7.1 it needs to be clarified who will monitor it. Also in respect of 2.7.1 D, it should not be applicable in case of cultivable land and bunds etc. and industry driven monoculture TOF.
- xi) In respect of 2.8.4 it is questionable for a scenario of low literacy and already burdened with agri works.

\*\*\*\*

## Reply to Ministry of Agriculture's Letter

Dr (Ms) Alka Bhargava  
Joint Secretary (NRM/RFS)  
Department of Agriculture and Cooperation  
Ministry of Agriculture and Farmer's Welfare  
Government of India  
Krishi Bhawan, Dr Rajendra Prasad Road  
New Delhi, 110001

Dear Madam,

Thanks for your comments on the NCCF draft TOF Certification Standard v1.2 and sharing the same with agroforestry implementing states. Point wise responses of your comments/queries are attached. Some major points are covered in the following 7 paragraphs.

a. It is clarified that NCCF is the only national member of India, endorsed by Geneva based global forest certification body namely Programme for Endorsement of Forest Certification (PEFC) and the ownership of the TOF standard including certification system rest with NCCF. It is relevant to mention that TOF standard has been developed by NCCF, in close consultation with related stakeholders.

b. The TOF certification standard has to be finally endorsed by the PEFC to make it globally aligned for the certified products to be acceptable in global markets, and accordingly basic essential conditions of social, economic and environmental global benchmarks have to be adhered to. Keeping in view the - education and land holding level of Indian farmers, the standard has already been simplified. If we compare with the certification standard of forest management of NCCF recently endorsed by PEFC, against 59 criteria 239 indicators, TOF standard has 28 criteria and 98 indicators for big farmers and industries and only 16 criteria and 48 indicators for small and marginal farmers.

c. The indicators on carbon accounting /and biodiversity are required only in specific cases and are not mandatory for farmers.

d. TOF standard is purely a voluntary tool and therefore does not put any kind of restriction on farmers not willing to take the benefit of certification.

e. Management Plan is to be prepared by TOF management which can be the individual/ industry/cooperatives/NGOs/government authority in case urban /social forests/ roadside/canal side plantations and may take help from professionals. The management plan is not required for isolated & scattered and bund formations. Thus, most of the small and marginal farmers are exempted from the requirement of preparation of Management Plan.

f. The responsibility for **implementation of certification** requirements will rest with the market/ product manufacturing industry and its supply chain. Here the wood-based industries who are currently purchasing wood from farmers in bulk may initiate certification process for a farmers group and would also bear their cost of certification. There are also big suppliers who purchase wood from farmers and supply to the industries. Such suppliers can also play similar role of certification for a group of farmers as the wood base industries.

g. Further, a good number of farmers themselves may constitute a cooperative and can undertake certification of their trees. This will reduce the individual cost of certification and may give the farmers/their cooperatives better negotiating power with wood based industries. Even NGO working for farmers welfare can take a lead in organizing and supporting TOF certification.

As discussed on call with you on 01 April 2019, the Governing Body of NCCF in its 15<sup>th</sup> Meeting held on 30 March has decided to extend the Consensus Building period by **6 weeks** during which TOF SDG has to complete and submit the final draft of the TOF Certification Standard to GB. It is expected that in next **4 weeks (07.05.2019)** you will be able to receive the comments from agroforestry implementing State which will be provided to the TOF SDG to address the comments and finalize the draft.

I thank you for the continued support and effort in the development of this standard. Kindly communicate your convenience if you like to organize a meeting in your office to discuss and clarify points further which I will join.

Hoping for a positive response.

Warm Regards

D.Pandey

**Dr Devendra Pandey IFS (Retd)**  
**Chairman, Trees Outside Forests(TOF),SDG&TWG**  
**Network for Certification and Conservation of Forests (NCCF)**  
**m: +91 99714 90033 | e: [tof.mail@nccf.in](mailto:tof.mail@nccf.in)**

## Views on the requirement of technology for Trees Outside Forest (Industries)

**This survey is divided into two main sections Section 1 and Section 2.**

### Section 1 –General

The objective of this section is to understand the general background of the company. This section is further subdivided into two subsections- A and B

#### **1A. Raw Material:**

The objective is to understand the basic information about the company's source and method of raw material procurement.

**1B. Chain of Custody:** The objective is to understand the efficiency of trackers in the process of Chain of Custody

Name of the Company	
Address	
Respondent's Name	
Contact Number	
State/ Area of raw material procurement	

### Section 2 – Use of tools and technology

The objective of this section is to analyse the requirement and usage of technology in the company

#### **1A Raw Material**

1. What are the sources of raw material for industry?

<input type="checkbox"/> Trees Outside Plantations	<input type="checkbox"/> Private Plantations	<input type="checkbox"/> Others; Specify:
----------------------------------------------------	----------------------------------------------	-------------------------------------------

2. Do you provide clones for plantation?

<input type="checkbox"/> Free of cost	<input type="checkbox"/> Cost@ Rs. _____	<input type="checkbox"/> Not providing
---------------------------------------	------------------------------------------	----------------------------------------

3. Do you accept the timber species from any other sources that may not be the clonal species?

<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Sometimes
------------------------------	-----------------------------	------------------------------------

4. Is it economical to procure the raw material from TOF plantations?

<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Sometimes
------------------------------	-----------------------------	------------------------------------

5. How do you get to know about the availability of Trees grown outside forest in your catchment area?

<input type="checkbox"/> Aggregator/Mediator/Supplier	<input type="checkbox"/> Farmer	<input type="checkbox"/> Others
-------------------------------------------------------	---------------------------------	---------------------------------

6. Do you think there is any stability in demand & supply of raw material through TOF?

<input type="checkbox"/> Less Organized	<input type="checkbox"/> Organized	<input type="checkbox"/> Highly Organized
<input type="checkbox"/> Unorganized	<input type="checkbox"/> Scattered	<input type="checkbox"/> Others, Specify:

7. Which plantation model is preferred and wood sourced from by your organisation?

<input type="checkbox"/> <b>Farm forestry (Block Plantation)</b> <input type="checkbox"/> Total area (ha) _____ <input type="checkbox"/> No. of trees/hectare ____ <input type="checkbox"/> Spacing _____	<input type="checkbox"/> <b>Agroforestry (Trees mixed with Agriculture)</b> <input type="checkbox"/> Total area (ha) _____ <input type="checkbox"/> No. of trees/hectare ____ <input type="checkbox"/> Spacing _____	<input type="checkbox"/> <b>Others; Specify:</b>
--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------

8. Through which agency the plantation model as in Question 7 is being implemented?

<input type="checkbox"/> NGOs	<input type="checkbox"/> Cooperative groups	<input type="checkbox"/> Farmers
<input type="checkbox"/> Company	<input type="checkbox"/> Others; Specify:	

9. Which species do you prefer to buy/use for good quality production? (Multiple)

<input type="checkbox"/> Eucalyptus	<input type="checkbox"/> Subabul	<input type="checkbox"/> Casuarina	<input type="checkbox"/> Mango
<input type="checkbox"/> Shisham	<input type="checkbox"/> Teak	<input type="checkbox"/> Poplar	<input type="checkbox"/> Bamboo
<input type="checkbox"/> Melia dubia	<input type="checkbox"/> Acacia spp	<input type="checkbox"/> Bombax ceiba	<input type="checkbox"/> Others, Specify

10. What are the challenges (if any) faced by industries in procuring raw material from TOF plantations?

Social	
Economical	
Environmental	

### 1B - Chain of Custody

11. Will tracking be more efficient if bartags/geotags/hammer marks are used on logs harvested from TOF?

<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Maybe
------------------------------	-----------------------------	--------------------------------



12. Will the cost implication be viable for using the bartags/geotags/hammer mark, etc.?

<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Maybe
------------------------------	-----------------------------	--------------------------------

13. Do you ensure the legality of timber in your supply chain from TOF? If Yes, Enlist the required documents. ?

<input type="checkbox"/> Yes, and the list of documents are:	<input type="checkbox"/> No
--------------------------------------------------------------	-----------------------------

## Section 2 – Use of Tool and Technology

**The objective of this section is to understand the company's perspective and scope on using technology in the chain of the process involved.**

1. Do you use any technology for plantation management and monitoring?

<input type="checkbox"/> Yes	<input type="checkbox"/> No
------------------------------	-----------------------------

**1.1 IF your answer is YES, Answer the below mentioned question**

a) For which purpose do you use technology?

<input type="checkbox"/> Management	<input type="checkbox"/> Monitoring	<input type="checkbox"/> Post/Pre Harvesting	<input type="checkbox"/> Validation	<input type="checkbox"/> Other
-------------------------------------	-------------------------------------	----------------------------------------------	-------------------------------------	--------------------------------

b) What kind of technologies & systems are being used?

<input type="checkbox"/> Software/Applications	<input type="checkbox"/> GPS	<input type="checkbox"/> MAPS	<input type="checkbox"/> Satellite/Google imagery
<input type="checkbox"/> Others, Specify:			

c) Is the technology outsourced?

<input type="checkbox"/> Yes, from- (Agency Name)	<input type="checkbox"/> No, we use our own technology
---------------------------------------------------	--------------------------------------------------------

d) Who uses technology in the chain of process?

<input type="checkbox"/> Farmer/ Tree grower	<input type="checkbox"/> Cooperatives/ Federation	<input type="checkbox"/> Organised Buyer	<input type="checkbox"/> Certification/ Inspection Body
<input type="checkbox"/> Others, Specify:			

e) Is training and awareness given to the people to use these technologies

<input type="checkbox"/> Yes, agency/company gives training	<input type="checkbox"/> No, they are self-driven
-------------------------------------------------------------	---------------------------------------------------

f) Rate the effect of using Technology in the process. (1-poor, 2-average, 3-Good, 4-Very Good, 5-Excellent)

1	2	3	4	5
---	---	---	---	---

g) The cost to use this technology is (Specify approximate amount)

<input type="checkbox"/> Expensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Low
------------------------------------	-----------------------------------	------------------------------

h) Are you aware of any government schemes that can be integrated in using the technology?

<input type="checkbox"/> Yes, (Specify Name)	<input type="checkbox"/> No known schemes
----------------------------------------------	-------------------------------------------

i) What are the challenges faced in using technology?

Details of the challenges

<input type="checkbox"/> Technical aspect	
<input type="checkbox"/> Management aspect	
<input type="checkbox"/> Availability and Traceability	
<input type="checkbox"/> Others	

**If your answer is No, Answer the below mentioned question**

a) What are the reasons for not opting technology?

<input type="checkbox"/> Financial Problems	<input type="checkbox"/> No Necessity	<input type="checkbox"/> Not Aware	<input type="checkbox"/> Other (Specify)
---------------------------------------------	---------------------------------------	------------------------------------	------------------------------------------

b) If given an opportunity would you implement technology in the process? (Specify Reasons)

<input type="checkbox"/> Yes, because	<input type="checkbox"/> No, because
---------------------------------------	--------------------------------------

c) What is the current plantation management and monitoring mechanism? (Explain)

**Views on the requirement of technology for Trees Outside Forest (FPO's/ NGO's/ Community Based Organisations )**

The objective of this survey is to understand if implementation of technology in the Certification Standard for Tress outside Forest will serve to be a boon or a bane for farmers.

This survey is divided into two main sections Section 1 and Section 2.

Name of the Company	
Address	
Respondent's Name	
Contact Number	

**Section 1 – Background study**

The objective of this section is to understand the general background of the organization's level of interaction with the farmers and a general study about the farmers.

**Section 2 – Use of tools and technology**

The objective of this section is to analyse the requirement and effectiveness of technology for a farmer.

**Section 1**

<input type="checkbox"/> Yes, we indulge in work only related to farmers.	<input type="checkbox"/> No, we work for other causes and farmers are just a part of it.
---------------------------------------------------------------------------	------------------------------------------------------------------------------------------

11. Does this organization only work for farmers?

12. How many farmers are you associated with?

<input type="checkbox"/> 0-25	<input type="checkbox"/> 25-50	<input type="checkbox"/> 50-100	<input type="checkbox"/> 100 and above
-------------------------------	--------------------------------	---------------------------------	----------------------------------------

13. What is the percentage of educated farmers that are associated with this organization?

<input type="checkbox"/> 10%-25 %	<input type="checkbox"/> 25% - 50%	<input type="checkbox"/> 50%-75%	<input type="checkbox"/> 75%-100%
-----------------------------------	------------------------------------	----------------------------------	-----------------------------------

14. How do you interact with the farmers?

<input type="checkbox"/> Directly/ regular site visit	<input type="checkbox"/> Through mediators/ NGO's	<input type="checkbox"/> Others (Specify)
-------------------------------------------------------	---------------------------------------------------	-------------------------------------------

15. What are the modes of communication with the farmers?

<input type="checkbox"/> Common language	<input type="checkbox"/> Flyer	<input type="checkbox"/> Audio-Video
------------------------------------------	--------------------------------	--------------------------------------

16. What is the size scale of the land owned by majority of the farmers?

<input type="checkbox"/> Small Scale 0-2 Hectares	<input type="checkbox"/> Medium Scale 2-5 hectares	<input type="checkbox"/> Large Scale 5-10 hectares	<input type="checkbox"/> Very Large 10 hectares & beyond
------------------------------------------------------	-------------------------------------------------------	-------------------------------------------------------	-------------------------------------------------------------

17. Do the majority of farmers understand the concept of certification?

<input type="checkbox"/> Yes,	<input type="checkbox"/> No,	<input type="checkbox"/> Maybe, they might if awareness is created
-------------------------------	------------------------------	--------------------------------------------------------------------

18. Does your organization take part in promoting different certification benefits to the farmers?

<input type="checkbox"/> Yes	<input type="checkbox"/> No
------------------------------	-----------------------------

If yes please specify some of the certifications that you'll promote and create awareness about:

## Section 2 – Use of Tool and Technology

The objective of this section is to analyse the requirement and effectiveness of technology for a farmer.

2. Do you think the farmers will accept technology if implemented?

<input type="checkbox"/> Yes	<input type="checkbox"/> No
------------------------------	-----------------------------

### 1.1 IF your answer is YES, Answer the below mentioned question

j) What kind of existing technologies does majority the farmers know to use?

<input type="checkbox"/> Mobile Phones	<input type="checkbox"/> Computers	<input type="checkbox"/> Others (Specify)	<input type="checkbox"/> None
----------------------------------------	------------------------------------	-------------------------------------------	-------------------------------

k) For which processes will technology be beneficial to farmers?

<input type="checkbox"/> Management	<input type="checkbox"/> Monitoring	<input type="checkbox"/> Post/Pre Harvesting	<input type="checkbox"/> All	<input type="checkbox"/> Other-(Specify)
-------------------------------------	-------------------------------------	----------------------------------------------	------------------------------	------------------------------------------

l) Role of your organization in making technology accessible to farmers?

<input type="checkbox"/> Yes, we teach/provide them	<input type="checkbox"/> No, not yet
-----------------------------------------------------	--------------------------------------

m) Should we train farmers to use technology, so that it can help in all process levels?

<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Maybe
------------------------------	-----------------------------	--------------------------------

n) If training and awareness is given, do you think majority of the farmers will invest in technology

<input type="checkbox"/> Yes,	<input type="checkbox"/> No, (Specify reason)	<input type="checkbox"/> Maybe, (Specify Reason)
-------------------------------	-----------------------------------------------	--------------------------------------------------

o) Rate the effect on process levels if farmers use technology

5 Excellent	4 Very Good	3 Good	2 Average	1 Same or No Effect
----------------	----------------	-----------	--------------	------------------------

p) How much money do you think the farmers will be ready to invest on technology (Specify approximate amount; INR)

---

q) Are you aware of any government schemes that can be integrated in using the technology?

<input type="checkbox"/> Yes, (Specify Name)	<input type="checkbox"/> No known schemes
----------------------------------------------	-------------------------------------------

r) What are the possible difficulties that a farmer might face if technology is implemented?  
Details of the challenges

<input type="checkbox"/> Technical difficulties	
<input type="checkbox"/> Management/ Financial difficulties	
<input type="checkbox"/> Others	

**IF your answer is No, Answer the below mentioned question**

d) Why do you think farmers will not implement technology?

<input type="checkbox"/> Financial Problems	<input type="checkbox"/> No Necessity	<input type="checkbox"/> Technical/operational problems	<input type="checkbox"/> Other (Specify)
---------------------------------------------	---------------------------------------	---------------------------------------------------------	------------------------------------------

e) Do you think farmers will use technology if given an opportunity or more awareness? (Specify Reasons)

<input type="checkbox"/> Yes, because	<input type="checkbox"/> No, because
---------------------------------------	--------------------------------------

f) What is the current plantation management and monitoring mechanism used by the farmers? (Explain)