

Terms of Reference (ToR) for Evaluation of Coir Vikas Yojana **Scheme of Ministry of MSME**

1. Background of the Scheme¹

Coir Vikas Yojana (CVY) is a scheme initiated by Coir Board that functions under the Ministry of Micro, Small, and Medium Enterprises (MSME). CVY, earlier known as Coir Plan (General) Scheme, provides development of export as well as domestic markets, effective training and skill development, entrepreneurship/employment creation and development, trade-related services, improved raw material usage, welfare activities related to coir workers, and empowerment of women.

Need for the Scheme:

The Indian coir industry is clouded by decentralised operations and unorganised processes. Lacking appropriate training and structured functioning, this industry faces problems in achieving the expected level of quality of the ultimate products. Substandard quality and workers' involvement in production activities without sufficient training proves detrimental to the industry's survival. Coir being a traditional product, there is space for skill development that is crucial for the industry's overall development. Training and upskilling become imperative for proliferating the coir industry into the untested, non-traditional areas.

2. Objectives of the Scheme

- i. To facilitate better utilisation of the existing raw materials.
- ii. To assist in establishing new, innovative coir processing units.
- iii. To help existing coir units to upgrade technology.
- iv. To ensure that women are provided better opportunities for employment – with emphasis on those living in rural areas.
- v. To assist creating products that offer high value to users.
- vi. To help the industry to enter potential areas.
- vii. To help in the adoption of eco-friendly techniques.
- viii. To help attract new generation businesses and entrepreneurs into the coir industry.
- ix. To help improve productivity and quality through modernisation of the production units' infrastructure facilities.
- x. To empower the coir industry to become more competitive by leveraging innovative technology.
- xi. To help the coir industry to become pollution-free by making use of relevant technology.
- xii. To bolster the industry by promoting the use of Information Technology.

¹ Operational Guidelines of Plan Scheme “Coir Vikas Yojana” available at <https://msme.gov.in/sites/default/files/Coir-Vikas-YojanaContents.pdf>

3. Components of the Scheme:²

The Scheme has the following major components:

a) Coir Industry Technology Upgradation Scheme (CITUS):

- To provide modern infrastructure facilities to the production units.
- Financial assistance for procurement of eligible Plant and Machinery for modernisation, upgradation and / or establishing a new unit.
- The financial assistance shall be 25% of the cost of admissible items of Plant and Machinery procured by the Coir units.
- The upper ceiling of the financial assistance is Rs.2.50 crores per coir unit/ project.

b) Science and Technology (S&T):

- Modernization of Production Processes.
- Development of machinery and equipment.
- Product Development and Diversification.
- Development of Environment Friendly technologies.
- Technology transfer, Incubation, Testing and Service Facilities.

c) Skill Upgradation and Mahila Coir Yojana (MCY):

- To train personnel, transfer of technology, self-employment to rural woman artisans, inculcating quality consciousness.
- Skill Upgradation

d) Export Market Promotion (EMP):

- Participation in Exhibitions & Buyer-Seller Meets (BSMs)
- External market development assistance (EMDA)
- Establishment of overseas offices
- Coir Industry Award

e) Domestic Market Promotion (DMP):

- Publicity
- Participation in domestic exhibitions

f) Trade and Industry Related Functional Support Services (TIRFSS):

- Knowledge Management
- Information Management
- Infrastructure Creation
- Human Resource Development

² http://coirboard.gov.in/?page_id=221

g) Welfare Measure (Pradhan Mantri Suraksha Bima Yojana (PMSBY)):

- Death (Accidental Death)- Rs.2 lakhs
- Total and irrecoverable loss of both eyes or loss of use of both hands or feet or loss of sight of one eye and loss of use of hand or foot- Rs.2 lakhs
- Total and irrecoverable loss of sight of one eye or loss of use of one hand or foot - Rs.1 lakh

Scheme Strategy:³

To achieve the above stated objectives, the scheme adopts the following strategies:

a) Coir Industry Technology Upgradation Scheme (CITUS):

Coir Board, Kochi, is the Nodal Agency for implementation of CITUS. The component is implemented through the Regional/Sub-regional offices of Coir Board. Technical interventions, wherever necessary, are provided by Central Coir Research Institute (CCRI), Kalavoor, and Central Institute of Coir Technology (CICT), Bangalore, and other institutes engaged in the development and promotion of coir industry.

b) Science and Technology (S&T):

The Research and Development activities of the Board are carried out through the twin research institutes- the Central Coir Research Institute, Kalavoor and Central Institute of Coir Technology, Bangalore.

c) Skill Upgradation and Mahila Coir Yojana (MCY):

Under the scheme the Board is conducting various programmes like Entrepreneurship Development Programme, Awareness Programme, Workshop, Seminar, Exposure Tour, etc. for attracting more entrepreneurs to start coir processing units. In order to create skilled man power required for the coir industry, the Board is implementing various training programmes such as training on manufacturing of value added coir products, spinning, weaving and other product diversification process. All these training programmes are also available for women under the Mahila Coir Yojana.

d) Export Market Promotion (EMP):

Coir Board is implementing the Central Sector Scheme of Export Market Promotion with a view to improve the export performance of Indian Coir Sector through various export market promotion activities such as sponsoring delegations, participation in seminars and conferences, organising participation in international fairs, undertaking generic publicity abroad, extending financial assistance to Micro, Small and Medium Enterprises and Exporters, presenting Coir Industry Awards on an annual basis to recognize the outstanding performance in the areas of export, domestic trade, R&D, functioning of units & societies etc.

e) Domestic Market Promotion (DMP):

³ http://coirboard.gov.in/?page_id=221

Domestic Market Promotion is one of the major functions envisaged under the Coir Industry Act 1953. Under the Scheme, the Board is undertaking various measures for popularizing coir and coir products and expanding the domestic market. Activities such as establishment and maintenance of Showrooms & Sales Depots, Participation in Domestic Exhibitions are undertaken by the Board for the purpose.

f) Trade and Industry Related Functional Support Services (TIRFSS):

Under the scheme, the Board aims at undertaking collection of statistical data pertaining to various aspects like production, productivity, labor infrastructure, raw material, marketing, etc. for providing feedback to the trade and industry and for formulating appropriate policy for the overall organized and systematic development of Coir Board. The scheme aims to introduce an e-governance system in order to assess the schemes and services of Coir Board by the public easily and to make all the activities in transparent way. It also organizes HRD programs for Coir workers for upgrading their knowledge in all spheres.

g) Welfare Measure (Pradhan Mantri Suraksha Bima Yojana (PMSBY)):

The Coir Board Coir Workers Group Personal Accident Scheme has been converged to Pradhan Mantri Suraksha Bima Yojana (PMSBY) with effect from 01.06.2016.

- This is an accidental insurance scheme offering cover for death or disability on account of an accident. The scheme provides a one year cover, renewable from year to year.
- The premium per annum per member is Rs.12/-.
- The premium is deducted from the account holder's savings bank account through 'auto debit' facility in one instalment on or before 1st June of each annual coverage period under the scheme.
- The premium amount is reimbursed by the Coir Board on receipt of the details from the coir worker after enrolment.

4. Scheme Expenditure:

Allocation and Expenditure on Coir Vikas Yojana in the last 3 years is given below:

Table 1: Allocation and Expenditure on Coir Vikas Yojana in the last 3 years

(in Rs. Crore)

2018-2019			2019-2020			2020-21	
BE	RE	Actuals	BE	RE	Actuals	BE	RE
80	75.93	75.93	70.50	73.50	70.89	103.87	80.70

Source: Data obtained from Ministry of MSME

5. Eligibility for scheme benefits:

a) Coir Industry Technology Upgradation Scheme (CITUS):

All newly established coir production/processing units (entrepreneurs in the categories of SHGs, Associations, Enterprises from small/medium/co-operative/public sector, interested in production of value-added coir/coir blended items, where coir is the dominant fibre, by

setting up new unit or adding to the existing capacity, subject to investment only in new Plant and Machinery) are eligible to apply for financial assistance. All coir production/processing units registered with Coir Board under Coir Industry (Registration) Rules, 2008, and having Udyog Aadhar are eligible to apply for financial assistance for modernisation under this scheme. The units which have applied for assistance under this component will have to complete 5 years of successful operation before applying for assistance under modernisation.

b) Science and Technology (S&T):

Universities, research organizations, government institutions, etc. can have collaborative research projects for the development of new products, new machinery, product diversification and development of environment friendly technologies in the coir sector.

c) Skill Upgradation and Mahila Coir Yojana (MCY):

Self Help Groups (SHG), NGOs registered in Darpan portal of NITI Aayog and Govt. Organisations can apply through the Regional /Sub Regional Office of the Board for organizing training programs at field level.

d) Export Market Promotion (EMP) :

Manufacturers, Entrepreneurs and Exporters of Coir.

e) Domestic Market Promotion (DMP) :

Apex societies, Central Co-operative societies, primary Co-operatives, Public Sector Enterprises, Showrooms & Sales Depots of the Board.

f) Welfare Measure (Pradhan Mantri Suraksha Bima Yojana (PMSBY)):

All Aadhar linked savings Bank Account Holders within the age group of 18-70 are eligible to enrol under the scheme.

6. Objectives of the Evaluation Study

a) Assess Relevance, Effectiveness, Efficiency, Equity, Sustainability, Impact and Coherence of the Scheme

Based on the Evaluation Cooperation Group's (ECG's) Good Practice Standards for evaluation of public sector operations,⁴ the assessment of the scheme/s should be conducted along the principles of *Relevance, Efficiency, Effectiveness and Sustainability, Impact and Equity*. Herein, *relevance* would assess the extent to which intended outcomes of the scheme were strategically aligned with the country's development priorities and if the design was appropriate for achieving the intended outcomes. The *effectiveness* assessment looks at whether the scheme's intended outcomes were achieved and whether any unintended outcomes had inadvertently reduced impact of the scheme. The *efficiency* of a scheme is a measure of

⁴ Evaluation Cooperation Group: *Big Book on Evaluation Good Practice Standards, 2012*
(<https://www.ecgnet.org/document/ecg-big-book-good-practice-standards>)

how well it used resources to achieve its outcome(s). The *sustainability* assessment focuses on the likelihood that scheme outcomes and outputs will be maintained over a meaningful timeframe, demonstrating the persistence of results from the scheme implementation. This should cover all the three dimensions of sustainability i.e. financial, institutional, and environmental. And, *impact* assesses the extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects. Additionally, given the largely beneficiary oriented nature of scheme, it is important to add the principle of *Equity*, to assess if inclusion across dimensions is being ensured as a part of scheme coverage.

The Organisation for Economic Co-operation and Development (OECD), in its recent publication,⁵ has also added “Coherence: How well does the intervention fit?” *Coherence* principle measures extent to which other interventions (particularly policies) support or undermine the intervention and vice versa. Given various schemes which also aims to enhance productivity and skill levels of MSME like SFURTI, MSE-CDP, ESDP, Technology Centres/Tool Rooms etc. evaluating Coir Vikas Yojana on this principle becomes crucial for future scheme- rationalization efforts of the government.

The objectives of the evaluation study based on the REESI+E+C framework are given below. The same need to be evaluated Component-wise.

REESI+E+C	Indicative Sub-Objectives of the Evaluation Study
Relevance	<ol style="list-style-type: none"> 1. To study the appropriateness of design of the scheme and its components to achieve its stated objectives. 2. To assess the conformity of the scheme with the best practices in vogue. 3. To assess the relevance of the mechanisms/ modalities in place to identify leakages.
Effectiveness	<ol style="list-style-type: none"> 4. To assess the outputs achieved against the targets and inputs, and to identify scheme processes leading to successes and failures. 5. To review the performance of relevant units that carry out the Board’s activities (R&D, training, exhibitions, publicity, knowledge management, information management, infrastructure creation, etc.) and identify challenges leading to sub-optimal performance. 6. To document replicable practices and innovative and effective processes built under the scheme.
Efficiency	<ol style="list-style-type: none"> 7. To assess the efficiency in utilisation of resources and identify if there is a need for reorientation of expenditures amongst various components. 8. To assess whether the use of technology has enhanced efficiency of delivery including reduction in leakages. 9. To conduct a cost-benefit study of the interventions under the scheme.

⁵ OECD (2021), *Applying Evaluation Criteria Thoughtfully*, OECD Publishing, Paris, (<https://doi.org/10.1787/543e84ed-en>)

	10. To analyse successes and challenges of the Coir Board in monitoring, adoption of best practices, activity planning and accountability and transparency measures.
Sustainability	11. To assess the financial, institutional and environmental sustainability of the scheme. 12. To study the sustainability of the monitoring and accountability mechanisms created at the grassroots level. 13. To examine the viability of the delivery mechanism (governance, transfer of financial assistance, etc.) built under the scheme.
Impact	14. To study the impact of schemes and its programmes/components against its objectives. 15. To assess the outcome and impact achieved against the baseline (if any) and targets. 16. To study if the scheme has resulted in any unintended outcomes.
Equity	17. To examine the accessibility and availability of the scheme to the poorest households and the poorest regions of the country. 18. To assess the coverage of beneficiaries belonging to vulnerable and disadvantaged sections including women, SC, ST and other disadvantaged groups and the impact on them. 19. To identify reasons for the regional variations in the number of beneficiaries.
Coherence	20. To assess the extent to which MSME and other GoI schemes support the interventions of this scheme and vice versa.

b) Organisational Assessment of the Board

The objectives of evaluating the organisational set-up of the Coir Board (CB) include the following:

- i. To study the organizational (including administrative) structure and policies of the Board;
- ii. To examine the funding and expenditure for different activities and operations (including administrative expenses) of the Board;
- iii. To assess the adequacy, quality and utilization of assets and related facilities of the CB offices and institutional units;
- iv. To study different financial aspects of the Board include budgetary outlay, expenditure, assets, and liabilities, etc.;
- v. To assess the adequacy and efficiency of the existing manpower and processes laid out for assessment of performance.
- vi. To recommend interventions to improve the organizational structure and operations of the Board including formulation of an administrative restructuring plan and new organization structure (if required), optimum manning levels, capacity building & training requirements, fund utilization efficiency, governance structure, monitoring and evaluation systems, IT systems, etc.

c) Cross-sectional Thematic Assessment

To assess the scheme on various cross-sectional themes such as:

- i. Accountability & Transparency
- ii. Direct/Indirect Employment Generation
- iii. Gender Mainstreaming
- iv. Role of Tribal Sub-plan & Scheduled Caste Sub-plan
- v. Use of IT / Technology in driving Efficiency
- vi. Development, Dissemination & Adoption of Innovative Practices
- vii. Stakeholder & Beneficiary behavioural change
- viii. Research & Development
- ix. Unlocking Synergies with other Government Programmes
- x. Role of Private Sector, Community & Civil Society/NGOs
- xi. Social Inclusion

d) Value Chain Analysis

This component of the evaluation study requires an assessment of the Coir Value Chain to understand the different stages of the value chain, the stakeholders involved, activities and value addition at each stage, the gaps and challenges at each stage of the value chain and the contribution of the Board in addressing these challenges along the Value Chain. Also, to provide recommendations to maximise the impact of these scheme/activities of the Board by addressing the challenges across the value chain.

e) Programme Rationalization

Based on the above, analyse the need to continue the schemes in their existing form, modify, scale-up, scale-down or close down the schemes. In case if they need to be modified, suggest revisions in the scheme design for the effective implementation in future.

7. Scope of Services

a) Reference period of the study

The reference period for the evaluation will be for the period from 2018-19 to 2020-21 and secondary data assessment for the scheme will be done for the period 2014-15 to 2020-21.

b) Secondary Research

The data and methods will involve review of:

- i. National and International development goals and scheme documents;
- ii. Financial data on allocation and expenditures of the scheme;
- iii. Annual reports of the Ministry for output and outcome assessment;
- iv. Available evaluation reports for output and outcomes assessment;
- v. Annual progress reports and implementation documents to assess the institutional arrangements;
- vi. Available evaluation reports done at the district and state level, for the states/districts covered under field study, if applicable;
- vii. Evaluations done by non-government agencies.

- viii. Articles/research papers of peer reviewed journals.
- viii. MIS/Dashboards/Admin Data/ Evaluation reports of any other cluster development scheme/Tool Rooms/Technology Centres/or any other scheme, that directly/indirectly effects coir industry, operated either by Ministry of MSME or other ministries. These might be required to estimate the contribution of CVY towards intended/unintended outcomes.

c) The field study would also include the following:

- i. Finalization of the discussion guides for focus group discussions and structured questionnaires/schedules for key informant interviews. The drafts of the survey instruments (Questionnaires and discussion guides) would be provided by DMEO.
- ii. Preparation of the analysis plan shall describe the analysis framework and tools that will be used for evaluation before the commencement of the field survey. Also, the FGDs should have questions that elicit quantitative responses and the empirical analysis in the report should include analysis based on these quantitative data collected. These tools and analysis plan shall be finalized in consultation with the DMEO.
- iii. Pre-testing and finalising the required tools in partnership with DMEO team.
- iv. Establishment of a managerial structure for field operations.
- v. Recruitment of investigators and training/capacity building of the field investigators.
- vi. Putting in place appropriate IT hardware and application software for data collection and management.
- vii. Collecting and compiling the quality data from selected areas.
- viii. High quality data management and adherence to quality assurance mechanisms as per agreed protocols, plans and schedules.
- ix. Data verification.
- x. Collation and data cleaning.
- xi. Running data analysis and submitting cross-tabulations/summarizations.
- xii. Preparation of draft report and conducting stakeholder consultations.
- xiii. Submission of final report and dissemination of the key findings.
- xiv. Incorporating concurrent feedback into the workflow.

8. Primary Data Collection Methodology

- a) A quantitative and qualitative study backed with extensive meta-analysis will be conducted to provide a schematic assessment. The study will consist of following components:
 - i. Key Informant Interviews (KIIs) & Focus Group Discussions (FGDs) - Key informant interviews will be with ministry/department personnel at national level, state-level implementing bodies, district and block level officials, other stakeholders supporting implementation or indirectly involved in enabling scheme's success and opinion makers at village level. Additionally, focus group

discussions will be conducted, mostly at block and village level with diverse groups involving implementing stakeholders, opinion makers as well as selected beneficiaries. The composition of all the FGDs should be at least 70-80 per cent beneficiaries in addition to other stakeholders. National level key informants should also include national level think tanks, institutions, prominent non-profit organizations, government officials.

- ii. Additionally, the key information areas to be covered in the discussion guides/questionnaires for key informant interviews should have data points including but not limited to NITI Aayog’s Output-Outcome Monitoring Framework for corresponding scheme as given in Appendix-I.

b) **Sampling-** The study aims to adopt a two-stage sampling to undertake the evaluation.

- i. In the first stage, the study aims to select states where the scheme is being implemented, based on four considerations—coverage of beneficiaries under the scheme, disbursement under the scheme, the need to check whether there is any significant untapped potential and regional representation. It aims to cover at least one state from each region from among the coconut producing states. For the purpose of this study, we have selected those states in each region that have the highest average number of beneficiaries covered under the scheme for the years 2019-20 and 2020-21.⁶ It may be noted that the states with the highest number of beneficiaries are also the ones with the highest actual disbursement of funds under the CVY.⁷ The inclusion of Maharashtra and Odisha, two states with relatively low number of beneficiaries, will help examining whether there has been any largely untapped potential in the different geographies of the country, apart from giving representation to the Eastern and Western coconut producing regions in the country.

Table 2: States classification based on geographical spread of the scheme

Region	States	Selected states
East	Odisha and West Bengal	Odisha
North-east	Assam and Tripura	Assam
West	Goa, Gujarat and Maharashtra	Maharashtra
South	Andaman & Nicobar Islands, Andhra Pradesh, Karnataka, Kerala, Lakshadweep Island, Pondicherry, Tamil Nadu and Telangana	Kerala, Tamil Nadu, Karnataka

At the start of the field survey within a selected State, the survey agency, upon a preliminary work on the district-wise distribution of the benefits under the scheme, can distribute the number of FGDs between scheme components, beneficiaries and

⁶ Details in Annexure (A.3)

⁷ Details in Annexure (A.1)

relevant districts, based on their relative importance. This will be done with the approval of DMEO.

The study also aims to conduct 60 Focus Group Discussion (FGDs) with the condition that at least 5 FGDs will be conducted from each of the four states where field work will be undertaken, so as to ensure that there is adequate evidence from each State to draw conclusions. The remaining 40 FGDs (those in excess of the minimum number of 5) shall be distributed proportionately amongst the surveyed states based on the average of the share of beneficiaries and disbursement of funds under the scheme. The FGDs shall be limited to 15 districts across the four states, with beneficiaries across the districts which are not geographically contiguous and each district having a maximum of 4 FGDs. With each FGD having 15 beneficiaries, this implies interaction with at least 900 coir-sector stakeholders, including the beneficiaries of Coir Vikas Yojana.

In-addition, the study also aims to conduct 124 Key Informant Interviews (KIIs) that includes 104 state-level KIIs and 20 KIIs at the national level and with resource persons knowledgeable in the area. A total of 84 KIIs shall be conducted in the four surveyed states i.e., at least 1.4 times the number of FGDs conducted in the selected states. The coir workers and units (if any) that have never received any benefits from the scheme shall also be interviewed with a structured KII format. Given the low number of beneficiaries in Maharashtra and Odisha, FGDs will not be undertaken in these States; conclusions will be derived based on literature survey, secondary data and structured KIIs. The detailed distribution of FGDs and KIIs is shown in Table 3 below.

Table 3: Distribution of FGDs and KIIs based on the data for 2020-21

State	No. of beneficiaries	Disbursement (Rs.in lakhs)	% of Beneficiaries	% of Actual Disbursement	Average	Minimum No. of FGDs	Minimum No. of KIIs
Kerala	7683	1304.6	38.2	60.5	49.4	(5+23) =28	39
Tamil Nadu	7430	300.9	36.9	14	25.4	(5+12) =17	24
Karnataka	1229	195.2	6.1	9.1	7.6	(5+4) =9	12
Assam	1059	40.4	5.3	1.9	3.6	(5+2) =7	9
Maharashtra*	602	52.8	-	-	-	-	10
Odisha*	566	49.4	-	-	-	-	10
Total of the selected states	18569	1943.2	86.5	85.5	86.0	60	104
National	20123	2154.8	100	100	-	-	20
Total	-	-	-	-	-	60	124

Note: * Maharashtra and Odisha shall be selected because these states have the highest number of beneficiaries as well as disbursement of funds in their respective regions. Their assessment shall be done through secondary data analysis and at least 10 telephonic KIIs each, depending on the requirements of the study.

It is requested that the Consultant may suggest their methodology best suited to meet the objectives of the evaluation, which will need to be finalized after approval from the DMEO. However, the minimum number of FGDs indicated for each sample State should be adhered to. The minimum number of KIIs to be conducted in each sample State also need to be adhered to as a part of the field study. The drafts of the discussion guides for the FGDs would be provided by DMEO which the Consultant has to finalise. Additionally, during the FGDs, the Consultant may have to administer a short data-oriented questionnaire (provided by DMEO) to the participants of the FGD. This short questionnaire needs to be administered through CAPI.

c) Details of the Evaluation Framework & Guidelines are included in **Appendix I**.

d) **Mechanisms to ensure Data Quality**

A multi-pronged robust process for quality control needs to be followed during data collection. The following aspects need to be considered:

- i. The field investigators to be engaged for conducting the study & key informant interviews/FGDs should have at least 3 years of experience in conducting similar surveys/interviews. 2-step training (classroom and then on-the-field training) should be conducted for all field investigators.
- ii. It is recommended that pilots should be conducted on at least 2% of the sample size for Key Informant Interviews to fine tune the inquiry tools. A brief on the learnings from such a pilot exercise and subsequent improvements in the tools/questionnaires should also be shared with NITI Aayog.
- iii. 100% data collected should be validated using a validation checklist. Missing data points should be recollected.
- iv. In case of FGDs, at least 50% data should also be telephonically verified and if not verified via phone, back checks should be undertaken to ensure at least 50% data verification.
- v. Use of mobile-based, near real-time and geo-tagged data collection and validation tools should be done to ensure efficiency and accuracy in data collection. Access to tools and data should be provided to the Authority.

9. Indicative list of stakeholders to be consulted⁸

An indicative list of stakeholders to be interacted with during the key informant interviews (KIIs) and focus group discussions (FGDs) is given in Appendix-I.

10. Deliverables & Timelines

⁸ Note: This list is only indicative

- i. Inception report and presentation with final scope, methodology and approach. This should also include findings from the secondary research/ meta-analysis and therefore the areas which will be further explored during field visits.
- ii. Mid-term report and presentation with initial findings of the study.
- iii. Draft evaluation report and presentation for stakeholder consultations.
- iv. Final Evaluation Report and presentation after incorporation of inputs from all the concerned stakeholders.
- v. Presentations/ sub-reports on primary data collection, data quality check, secondary research, best practices compendia, etc. as and when requested by DMEO.

All the reports are required to be submitted in hard copy in triplicate and in soft copy. In addition to the reports, for further analysis in future, verifiable raw data in soft copy should also be shared with NITI Aayog. This will include detailed transcriptions of key informant interviews and focus group discussions as well as raw data from surveys in MS Excel/CSV format.

Personnel

Timelines for the above deliverables would be two to three months.

11. Payment Schedule

The sanction orders will be issued for all the installments and the sanctioned amount shall be released as below:

Installment	% of release	Stage
1st	40	At the time of sanction. Details in Guidelines for M&E Studies (MESD-2021). ⁹
2nd	30	After submission of 1st Draft Report. Details in Guidelines for M&E Studies (MESD-2021).
3rd	30	After acceptance of Project Completion report. Details in Guidelines for M&E Studies (MESD-2021).
TOTAL	100	Closing the Study

Note: The soft copy of draft reports may also be sent via email (to be mentioned in LoA)

12. Indicative Report Structure¹⁰

The Final Evaluation Report should cover the following aspects:

- 1) Preface
- 2) Executive Summary
- 3) Sector and Scheme Overview
 - 3.1. Brief background
 - 3.2. Key Trends/ drivers in the Sector

⁹ Available at https://dmeo.gov.in/sites/default/files/2021-08/MESD_2021_0.pdf

¹⁰ This is an indicative report structure. This may change based on requirement.

- 3.3. About the Scheme
 - 3.4. Scheme Objectives
 - 3.5. Implementation mechanisms
 - 3.6. Intended contribution to sectoral outcomes
 - 3.7. Nature of evaluation studies and their key findings - Gaps therein
- 4) Study Objectives
 - 5) Study Approach & Methodology (Brief discussion in the main report. The details would go in the appendix)
 - 5.1. Overall approach
 - 5.2. Field Study methodology
 - 1. Stakeholder & geographical coverage
 - 2. Tools
- 6) Observations & Recommendations
 - 6.1. Sector level
 - i. Overview of sectoral performance
 - ii. Issues & Challenges and their root causes
 - iii. Recommendations
 - 6.2. Scheme level
 - i. Scheme level performance - Outputs & Outcomes
 - ii. Actual contribution of specific scheme to sectoral performance (contrast, if any, with intended contribution)
 - iii. Key issues/challenges & their root causes
 - iv. Key recommendations/Way Forward - These should be based on the 7 pillars of Relevance, Effectiveness, Efficiency, Impact, Equity, Sustainability and Coherence at Scheme level covering following aspects:
 - 1. Governance
 - 2. Institutional mechanisms
 - 3. Convergence
 - 4. Fund Flow efficiency & Utilization
 - 5. Capacity Building
 - 6. M&E systems
 - v. Organisational Assessment of Coir Board
 - vi. Interventions in Cross-sectional areas - Accountability & Transparency, Direct/Indirect Employment Generation, Gender Mainstreaming, Role of Tribal Sub-plan & Scheduled Caste Sub-plan, Use of IT / Technology in driving Efficiency, Development, Dissemination & Adoption of Innovative Practices, Stakeholder & Beneficiary behavioural change, Research & Development, Unlocking Synergies with other Government Programmes, Role of Private Sector, Community & Civil Society/NGOs, Social Inclusion.
 - vii. Value Chain Analysis of Coir

viii. Need for modifications/deletions/additions to fill-in Sectoral gaps

7) Conclusions

7.1. Summary of the findings

7.2. Way Forward

8) References & Appendices

8.1. Appendix 1 - Details of Focus Group Discussions and Key Informant Interviews

i. Appendix 1a - Scheme wise list of stakeholders interviewed

Sr. No.	Concerned Scheme	Date of Interaction	Name & Designation of the key informant interviewed

ii. Appendix 1b - Geography-wise sample Size covered

8.2. Appendix 2 - Case Studies

The case studies should be identified using the criteria of effectiveness, efficiency, relevance, ethical soundness, scalability, sustainability and partner & community engagement and political commitment. Kindly refer to the Chapter 1, 2 and 3 of the WHO Guidelines mentioned in the footnote for identifying and documenting best practices.¹¹

13. Key Personnel

The Consultant shall form a multi-disciplinary team (the “**Consultancy Team**”) for undertaking this assignment. The Consultancy Team shall consist of at least the following key personnel (the “**Key Personnel**”) who must fulfil the Conditions of Eligibility specified below

S No	Key Personnel	Minimum Educational Qualifications ¹²	Length of Relevant Professional Experience
1)	Principal Investigator	Master’s Degree (or equivalent) in Economics/ Statistics/ Management/ Agriculture/ related subject (s)	10 years
2)	Co-Principal Investigator	Master’s Degree (or equivalent) in Economics/ Statistics/ Management/ Agriculture/ related subject (s)	8 years

¹¹ WHO: A Guide to Identifying and Documenting Best Practices in Family Planning Programmes

(https://www.who.int/reproductivehealth/publications/family_planning/best-practices-fp-programs/en/)

¹² For degrees obtained from the accredited foreign Boards/universities, the applicant shall furnish a self-declaration on the academic equivalence to the 'Minimum Educational Qualifications' as defined in Clause 2.2.2 (D).

S No	Key Personnel	Minimum Educational Qualifications¹²	Length of Relevant Professional Experience
3)	MSME Specialist	Master's Degree (or equivalent) in Agriculture or related subject (s)	5 years
4)	Economist	Master's Degree (or equivalent) in Economics/ Agricultural Economics	5 years
5)	Junior Researcher	Master's Degree (or equivalent) in Economics/Statistics/ Management/ related subject (s)	1 year

14. Reporting

- i. The Consultant will work closely with the Authority. The Authority has established a Working Group (the "WG") to enable conduct of this assignment. A designated Project Director of the Authority will be responsible for the overall coordination and project development. He will play a coordinating role in dissemination of the Consultant's outputs, facilitating discussions, and ensuring required reactions and responses to the Consultant.
- ii. The Consultant may prepare Issue Papers highlighting issues that could become critical for the timely completion of the Project and that require attention from the Authority.
- iii. The Consultant will make a presentation on the inception report, mid-term report and draft evaluation report for discussion with the WG at a meeting. This will be a working document. The Consultant is required to prepare and submit a weekly update that includes and describes, inter alia, general progress to date; data and reports obtained and reviewed, conclusions to date, if any; concerns about availability of, or access to, data, analyses, reports; questions regarding the ToR or any other matters regarding work scope and related issues; and so on. The Consultants' work on the ToR tasks should continue while the report is under consideration and is being discussed.
- iv. Regular communication with the WG and the Project Director is required in addition to all key communications. This may take the form of telephone/ teleconferencing, emails, faxes, and occasional meetings.

15. Meetings

The Authority may review with the Consultant, any or all of the documents and advice forming part of the Consultancy, in meetings and conferences which will be held at the Authority's office. The expenses towards attending such meetings during the period of Consultancy, including travel costs and per diem, shall be reimbursed in accordance with the Financial

Proposal contained in Annexure-3 of the Guidelines for M&E Studies (MESD-2021). The days required to be spent at the office of the Authority shall be computed at the rate of 8 (eight) man hours a day in case of an outstation Consultant. For a Consultant having its office within or near the city where the Authority's office is situated, the time spent during meetings at the Authority's office shall be calculated as per actuals. No travel time shall be payable.

16. Miscellaneous

- i. The Consultant shall have/establish an office in Delhi/NCR, for efficient and coordinated performance of its Services. All the Key Personnel shall be deployed at this office during the period of the study as specified in the Manning Schedule forming part of the Agreement. The authorised officials of the Authority may visit the Consultant's Project Office or field locations any time during office hours for inspection and interaction with the Consultant's Personnel. It is not expected of the Consultant to carry out the operations from the Head/Home Office.
- ii. The Consultant shall mobilise and demobilise its Professional Personnel and Support Personnel with the concurrence of the Authority and shall maintain the time sheet/ attendance sheet of the working of all Personnel in the Project Office. These time sheets/ attendance sheets shall be made available to the Authority as and when asked for and a copy of such record shall be submitted to the Authority at the end of each calendar month.
- iii. All the study outputs including primary data shall be compiled, classified and submitted by the Consultant to the Authority in soft form apart from the reports indicated in the Deliverables (Paragraph 10). The study outputs shall remain the property of the Authority and shall not be used for any purpose other than that intended under these Terms of Reference without the permission of the Authority. The Consultancy shall stand completed on acceptance by the Authority of all the Deliverables of the Consultant and execution of the Agreement or 52 (fifty two) weeks from the Effective Date, whichever is earlier. The Authority shall issue a certificate to that effect. The Consultancy shall in any case be deemed to be completed upon expiry of 1 (one) year from the Effective Date, unless extended by mutual consent of the Authority and the Consultant.

17. Responsiveness of Proposal

Prior to evaluation of Proposals, the Authority will determine whether each Proposal is responsive to the requirements of the TOR and Guidelines for M&E Studies (MESD-2021). The Authority may, in its sole discretion, reject any Proposal that is not responsive hereunder. A Proposal shall be considered responsive only if:

- i. The Technical Proposal is received in the form specified at Annexure-II of Guidelines for M&E Studies (MESD-2021);
- ii. It is received by the Proposal Due Date including any extension thereof;
- iii. It is signed and numbered;

- iv. It contains all the information (complete in all respects) as requested in the TOR and Guidelines for M&E Studies (MESD-2021);
- v. It does not contain any condition or qualification; and
- vi. It is not non-responsive in terms hereof.

Annexure

A.1: Utilization of funds under Coir Vikas Yojana

Rs. In lakhs

	Years	2018-19	2019-20	2020-21
Sl No	States	Actual disbursement **		
1	Kerala	1065.30	681.93	1304.63
2	Telangana	45.58	19.31	21.54
3	West Bengal	40.59	27.68	28.75
4	Assam	43.90	43.80	40.40
5	Tamil Nadu	428.11	257.69	300.92
6	A& N Islands	18.68	21.34	26.76
7	Karnataka	128.66	157.60	195.25
8	Gujarat	52.47	16.82	4.15
9	Goa	13.32	3.24	--
10	Maharashtra	57.65	39.61	52.75
11	Andhra Pradesh	29.81	39.28	45.24
12	Lakshadweep	14.35	15.71	16.80
13	Odisha	63.30	46.17	49.39
14	Pondicherry	--	--	--
15	Bihar	17.02	0.35	0.25
16	Chattisgarh	3.61	0.50	0.25
17	Delhi	37.11	176.05	6.33
18	Haryana	3.53	4.07	--
19	Himachal Pradesh	5.18	4.47	--
20	Jammu Kashmir	6.28	5.63	0.25
21	Jharkhand	--	2.33	--
22	Manipur	--	1.64	--
23	Meghalaya	--	--	--
24	Nagaland	2.61	--	--
25	Panjab	3.59	14.61	--
26	Rajasthan	10.97	10.99	0.25
27	Tripura	2.00	1.95	0.25
28	Uttarakhand	2.00	6.53	2.76

29	Uttar Pradesh	16.42	11.95	1.00
30	Madhya Pradesh	3.61	1.08	0.72
31	Sikkim	2.00	--	0.25
	Total	2041.75	1640.24	2154.79

** The figure given under the head 'Actual disbursement' indicates the outflow of fund for the benefit of the coir industry in the respective States under the various components of CVY such as SU&MCY, DMP, EMP, TIRFSS and Welfare Measure. The activities under S&T are focused to benefit the coir industry in the country as a whole and hence the fund out flow cannot be measurable Statewise.

A.2: Statewise number of Beneficiaries under all components of Coir Vikas Yojana

2018-19

Components of CVY	Kerala	Telangana	West Bengal	Assam	Tamil Nadu	Gujarat	Odisha	Karnataka	Andhra Pradesh	Maharashtra	A & N Islands	New Delhi	Madhya Pradesh	Goa	Lakshadweep
CITUS															
S&T	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--
SU & MCY	772	80	293	875	598	160	242	220	200	297	156	--	--	120	140
EMP	32	--	--	--	56	--	--	--	--	--	--	--	--	--	--
DMP	5642	--	--	--	6320	--	152	515	--	--	--	--	--	--	--
TIRFSS	393	51	50	250	--	--	100	50	100	50	50	--	--	--	--
Welfare Measure (PMSBY)	16339	--	--	--	--	--	3981	--	--	--	--	--	--	--	--

2019-20

Components of CVY	Kerala	Telangana	West Bengal	Assam	Tamil Nadu	Gujarat	Odisha	Karnataka	Andhra Pradesh	Maharashtra	A & N Islands	New Delhi	Madhya Pradesh	Goa	Lakshadweep
CITUS															
S&T	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--
SU & MCY	799	200	232	799	494	120	288	240	380	300	197	--	--	20	178
EMP	27	--	--	--	34	--	--	--	--	--	--	--	--	--	--
DMP	4213	--	--	--	6412	--	158	551	--	--	--	--	--	--	--
TIRFSS	436	50	50	101	51	--	102	50	102	52	50	4	--	--	--
Welfare Measure (PMSBY)	16383	--	--	--	1160	136	4319	73	49	27	--	--	15	--	--

2020-21

Components of CVY	Kerala	Telangana	West Bengal	Assam	Tamil Nadu	Gujarat	Odisha	Karnataka	Andhra Pradesh	Maharashtra	A & N Islands	New Delhi	Madhya Pradesh	Goa	Lakshadweep
CITUS															
S&T	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--
SU & MCY	1777	240	299	1057	1040	--	409	720	483	600	320	--	--	--	200
EMP	35	--	--	--	42	--	--	4	--	--	--	--	--	--	--
DMP	5741	--	--	--	6344	--	155	504	--	--	--	--	--	--	--
TIRFSS	130	1	2	2	4	--	2	1	3	2	1	5	--	--	--
Welfare Measure (PMSBY)	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

*Remarks

- **CITUS** - CITUS could not be launched and hence there were no beneficiaries.
- **S&T** - The R&D activities under S&T programme are focused to benefit the coir industry in the country as a whole and not individual beneficiary centric and hence it cannot be measurable State-wise and beneficiary-wise.

- **SU &MCY** - The figures indicate the number of artisans/ workers benefited.
- **EMP** - The figures indicate the number of units/ entrepreneurs who were given benefits under EMDA/ IC Scheme
- **DMP** - The major activity under DMP is MDA to the respective State Govt. and its co-operatives and not individuals. The other activities under DMP like exhibitions, publicity, etc. are not measurable in terms of beneficiaries.
- **TIRFSS** - The figures indicate the number of workers/ officials in the respective States who were given training under HRD.
- **Welfare Measure** - The figures indicate the number of coir workers enrolled from the respective States under PMSBY.

A.3: Selection of survey states for FGDs based on the average data for 2019-20 and 2020-21

Sr. No.	State	Average No. of Beneficiaries	Average of Actual Disbursement (Rs. in lakhs)	% of Beneficiaries (Average of 2019-20, 2020-21)	% of Actual Disbursement (Average of 2019-20, 2020-21)
1.	Kerala	14771	993.3	47.3	51.1
2.	Tamil Nadu	7791	279.3	29.0	14.9
3.	Karnataka	1072	176.4	4.3	9.4
4.	Assam	980	42.1	3.8	2.3
5.	Total of the 4 states	24612	1491.1	84.2	77.5

The selected states together contribute around 80% of the total number of beneficiaries as well as the total actual disbursement of funds under CVY. It may be noted that the states with the highest number of beneficiaries are also the ones with the highest actual disbursement.

APPENDIX-I

REFERENCES

A. Table 1: Indicative List of Stakeholders to be covered

	Key Informant Interviews	Focus Group Discussions
National*	Department of ARI, Ministry of MSME; National Coir Training and Design Centre; Coir Board; Central Coir Research Institute (CCRI); Central Institute of Coir Technology (CICT); Hindustan Coir; Coir Display & Information Centre etc.	
State	State/Regional Offices of Coir Board and other relevant Departments; Regional Rural Banks; Entrepreneurship Development Institute of India, Thrissur; Rayalaseema Harijana Girijana Backward Minorities Seva Samajam (RHGBMSS), Rajahmundry ; Society for Awareness Perception and Numerous Alternatives (SAPNA), Bhubaneswar (for PMSBY); etc.	
District	District Collector/Deputy Commissioner and district officials related to coir; Panchayati Raj/ Rural Development, , Lead Bank/NABARD, NGOs, Regional extension centers at Thanjavur and Coir Board's Regional Offices located at Bengaluru, Pollachi, Rajahmundry, Bhubaneswar, Kalavoor (CMS) and also Sub Regional Offices located in Attingal, Kannur in Kerala, Singampunari in TamilNadu, Kolkata in West Bengal, Sindhudurg in Maharashtra, Kavarathi in Lakshawdweep, Port Blair in Andaman & Nicobar Islands, Hyderabad in Telangana and Guwahati in North Eastern Region, Cooperative Societies, Exporters, Units marketing coir products etc.	
Block/ Village	Showroom and Sales Depots of Coir Board, government and private organizations and trading houses related to Coir Products and its value added products, Sub Divisional Magistrate/Sub Divisional Officer/Block Development Officer, Cooperatives, Field Officers of Coir Board, coir workers and units that never received any benefits under the scheme, etc.	Coconut Growers, women coir artisans, coir entrepreneurs, stakeholders engaged in industry in market promotion and awareness creation, Self Help Groups, individuals registered with Coir Board, etc.

Table 2: Scheme level Output-Outcome Framework

<i>Output</i>	<i>Indicator(s)</i>	<i>Outcome</i>	<i>Indicator(s)</i>
1. Development of coir industry in the country and promotion of domestic market (through Domestic Market Promotion Scheme), development of export markets of coir and coir products	1.1 Domestic Exhibitions	1. Training generate employment	1.1 increase in trained youth over a period in next years.
	1.2 EDP		
	1.3 Number of Ratts distributed		
	1.4 Training in Value Added Product (VAP)	2. Empowerment of Women	2.1 Leading to sustain employment generation in Coir Sector
	1.5 Training to Women entrepreneurs		
2. To provide funds to large coir units (existing as well as new units) for facilitating them to acquire plant and machinery.	2.1 Number of units to be set up	3. Arresting Rural migration.	3.1 Most of the Coir units are located in rural areas.
		4. Increase in Export of Coir and Coir products	4.1 Increase in Export of Coir and Coir products over the next years

<i>Output</i>	<i>Indicator(s)</i>	<i>Outcome</i>	<i>Indicator(s)</i>
		5. Increase in production of Coir and Coir products	5.1 Increase in production of Coir and Coir products over the next years.

B. Guidelines for Evaluation Methodology

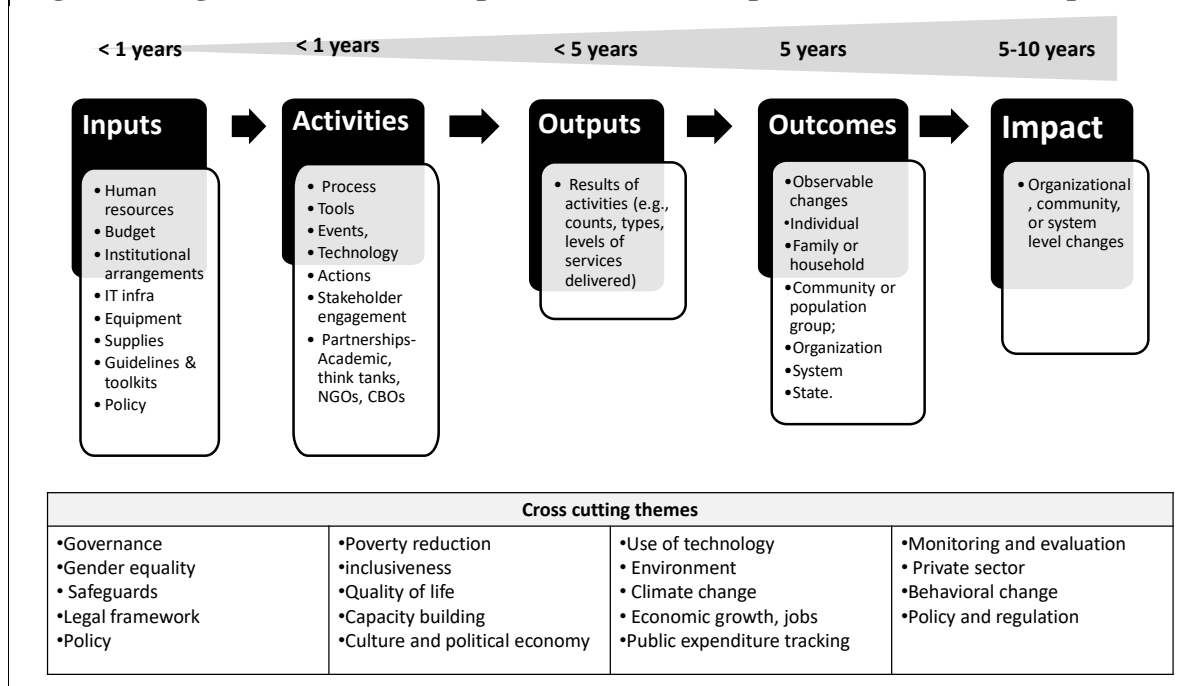
Logical Framework: Inputs, Activities, Outputs, Outcomes, and Impact

The evaluation will adopt the logical framework for consistency across all the studies. The logical framework or *logframe* is an analytical tool used to plan, monitor and evaluate projects. It derives its name from the logical linkages to connect a project's means with its ends. The main components of logical framework are inputs, activities, outputs, outcome and impact, which are described below:

- a) **Inputs:** The financial, human, material, technological and information resources used for the development intervention.
- b) **Activity:** Actions taken or work performed through which inputs, such as funds, human resources, and other types of resources are mobilised to produce specific outputs.
- c) **Outputs:** The products and services which result from the completion of activities within a development intervention.
- d) **Outcome:** The intended or achieved short-term and medium-term effects of an intervention's outputs. Outcomes represent changes in development conditions which occur between the completion of outputs and the achievement of impact.
- e) **Impact:** Positive and negative long-term effects on identifiable population groups produced by a development intervention, directly or indirectly, intended or unintended. These effects can be economic, socio-cultural, institutional, environmental, technological or of other types.

The evaluation team will assess all the dimensions of the logical framework. In mature programs whose implementation period is more than 5 years, greater emphasis will be on outcomes and impact, while in more recently launched programs with less than 5 years of implementation period, the evaluation will focus more on activities, outputs and outcomes.

Figure 1: Logical Framework: Inputs, Activities, Outputs, Outcomes and Impact



Cross Sectional Themes

It is important for the evaluation to assess the relevant cross sectional themes, where such a theme is not the main component of the scheme but can indirectly influence scheme performance in terms its relevance, effectiveness, efficiency, equity and sustainability. The specific cross-sectional themes relevant to a sector have been covered in the evaluation study objectives.

Mixed Methods and Triangulation

Given various constraints and complexity of the evaluation, a flexible mixed methodology, relying on triangulation of existing evidence and primary data to be collected by the evaluation study would be required. Mixed methods approaches are used to increase validity of evaluation findings by using a variety of data collection techniques. Using both qualitative and quantitative data collection, along with meta-analysis of previous evaluation studies and monitoring reports produced by the government (central, state, government agencies, etc.) and by non-government agencies (think tanks, academia, international development agencies), the evaluation study will triangulate the findings to evaluate the scheme using the Relevance, Effectiveness, Efficiency, Equity, Sustainability and Impact framework. During the designing of the evaluation tools—qualitative and quantitative--the evaluation consultant will keep in view the relevance, effectiveness, efficiency, sustainability, equity and impact framework, which is described below:

Assessments using the core criteria of relevance, effectiveness, efficiency, sustainability, impact (REESI)¹³ and equity

Relevance. The relevance assessment addresses the extent to which: (i) the intended outcomes of the scheme were strategically aligned with India's national priorities (considering both what is included in the scheme and what ought to be included) and did not duplicate other government initiatives; and (ii) the scheme design was appropriate for achieving the intended outcomes, i.e., competent analysis was carried out, lessons were applied, the right financing instrument or modality was chosen, innovation and transformative effects were given attention, and the indicators and targets at various levels were laid down well and lent themselves to measurement.

In assessing for relevance, credit should be given to scheme design elements that are innovative and/or that contribute to transformative effects, in terms of significantly improving the beneficiaries' well-being, or promoting positive reforms. A scheme's approach to addressing an identified development constraint should be assessed relative to existing good practice standards.

Effectiveness. The effectiveness assessment looks at whether the scheme's intended outcomes were achieved or were expected to be achieved at the time of observation, and whether any unintended outcomes had inadvertently reduced the value of the scheme. The outcomes are evaluated against the baselines and targets listed in the scheme documents at the outcome level. Outcomes must be available to the intended scheme beneficiaries. For a scheme to be assessed as effective, outcomes should have been achieved or be likely to be achieved and output targets should normally also have been substantially achieved. Scheme-level output-outcome monitoring framework indicators provided as part of the terms of reference will be used for assessment of effectiveness.

Data on outputs and outcomes need to be derived from credible and documented sources. When no data on outcomes are available, it may be possible to review available data on the quality of outputs and capacity of the facilities developed by the scheme, as well as available data on demand conditions, to infer the likely level of usage of the outputs and the attainment of outcomes. Some outputs can serve as leading indicators of outcomes. Lack of any credible evidence can be reason to assume the outcomes were not fully achieved.

Schemes can have unintended adverse effects on people if social and environmental risks are not dealt with. If scheme interventions resulted in environmental degradation or in scheme communities or women being negatively affected (in spite of safeguard measures or gender action plans), the effectiveness assessment will be reduced. If well executed safeguard plans have led to net benefits, for instance if they have improved the livelihoods of affected people or improved the environment, this will improve the effectiveness assessment.

¹³ ECG. 2011. *Good Practice Standards for Public Sector Operations*. Washington, DC: (<https://www.ecgnet.org/documents/4794/download>)

Efficiency: The efficiency of a scheme is a measure of how well it used resources to achieve its outcomes. It indicates whether the scheme used resources efficiently for the country and/or on a whole-of-life basis. A quantitative assessment that weighs the scheme's economic benefits against economic costs is generally needed to assess efficiency. Scheme economic performance indicators, such as the EIRR, net present value, and the benefit–cost ratio, are often used to determine whether the net gains from investing in a particular scheme will be enjoyed by society following scheme completion. Applying the traditional EIRR approach may not always be feasible, for instance for some social sector schemes, or for other schemes where benefits are not easy to quantify comprehensively. In such cases, alternative analytical methods may have to be used: least cost analysis, among others.

Unit cost analysis can be used as a proxy for economic efficiency where benefits cannot be quantified with a high degree of confidence, or where data on benefits are not available. Efficiency can sometimes be analyzed for an assumed level of economic benefits, based on an average unit cost analysis based on industry benchmarks, at the time of appraisal and completion. Analysis can be based on unit costs for comparable activities that could achieve the same or similar benefits in order to assess efficiency on a least unit cost basis. If financial data are lacking, estimates can be prepared for indicators such as average financial unit costs for achieving a defined development outcome. Cost per beneficiary estimations can also be used in sectors such as education and health.

A process efficiency assessment should examine aspects such as the scale of delays and cost overruns and their effects on scheme performance, including the factors that resulted or contributed to these overruns.

Sustainability: The sustainability assessment will focus on the likelihood that scheme outcomes and outputs will be maintained over the economic life of the scheme or over a meaningful timeframe. Since evaluation in some schemes is carried out during the first few years of the scheme's operational life, evaluators must make assumptions about the likely sustainability of operational arrangements, many of which are new, and about probable future operations and maintenance arrangements. They must also look into the wider environmental effects of schemes. The major factors to be considered when assessing sustainability are as follows:

- a) *Sustainability and managing risks.* Assessments of sustainability should consider risks such as political, economic, institutional, technical, social, environmental, and financial events that might limit the extent to which the scheme's achievements continue to be felt. The assessment should also consider the adequacy of risk mitigation measures.
- b) *Financial sustainability.* This can be assessed on a qualitative or a quantitative basis depending on the feasibility of assessing the scheme's income (revenue) and expenditure flows. Financial viability for revenue-generating schemes is based on the

estimated financial internal rate of return (FIRR) of these incremental cash flows. Key aspects of the financial sustainability of both revenue and non-revenue generating schemes are: the financial capacity of the agency involved, prospects for the demand for services or products, cost recovery mechanisms, and the availability of resources for O&M of the scheme outputs.

- c) *Institutional sustainability.* The assessment of institutional sustainability needs to consider factors such as the ability to ensure adequate levels of qualified human resources, finance, equipment and other inputs, and the suitability of organizational arrangements and processes, governance structures, and institutional incentives. An institutional assessment may include an analysis of how the ownership, functions, structures, and capacity of scheme-related agencies affected scheme-related inputs and service delivery, including the institution's capacity to assume its identified role or mandate.
- d) *Environmental and social sustainability.* The scheme's likely medium- to long- term effects on natural resource management, pollution, biodiversity, and greenhouse gas emissions should form part of the sustainability assessment, if applicable. Close attention also needs to be paid to the effects of the scheme on social sustainability, for instance how the scheme is accepted by the local communities and stakeholders.

Impacts: The development impacts assessment is focused on long-term, far-reaching changes to which the scheme has plausibly contributed. It should answer questions such as: Does the scheme contribute to reaching higher-level development objectives (preferably, overall objective/national priorities)? What is the impact or effect of the intervention in proportion to the overall situation of the target group or those affected? Further, the assessment should also consider possible unintended positive and negative development impacts.

Special development impacts: If the scheme aimed to have demonstration effects and/or had innovative features, their impact may be considered. The assessment can also include a discussion of any efforts to scale up and replicate successful features of the scheme that were not previously evident in other schemes in the country or in communities, that have been made during or after scheme implementation. Other elements that would receive positive consideration include successful capacity building activities, and potential for positive institutional or governance impacts.

Attribution to the scheme: Development impacts to which the scheme contributes tend to be outside the scheme's direct control and their achievement is often not solely attributable to the scheme outcomes. Typically, they are dependent on other development efforts. The focus of analysis should be on the contribution of scheme outcomes to the achievement of the impacts.

Equity: In addition to the globally accepted REESI framework, it is important to conduct the evaluation through the lens of equity. It assesses the extent to which government services are being made available to and accessed by different social groups. Particularly in schemes designed for universal coverage, the fair inclusion or intended or unintended exclusion of beneficiaries belonging to vulnerable, marginalized, disadvantaged groups and weaker sections of society must be considered. The existence and effectiveness of targeted action for these groups should also be assessed. Further, the schemes should be assessed based on their contribution to the reduction of inequality of opportunity and income.

It should be assessed whether this principle has been integrated into the scheme at the design stage, as well as whether it is playing out in implementation, i.e. whether all sub-groups within the target beneficiary group are getting equitable benefits. This will involve identifying barriers to participation among different groups, and whether these barriers have been sufficiently addressed by the scheme design and implementation. Equity should thus be factored in during data collection, preparation of findings and conclusions and in the recommendations arising from the evaluation.

Tools for evaluation

Both qualitative and quantitative tools will be utilized by the consultant to assess the scheme from the relevance, effectiveness, efficiency, sustainability and impact framework. While framing the questionnaires for qualitative and quantitative tools, the audience, questions and information use given at Figure 2 may be considered.

Qualitative tools: The consultant will utilize in-depth interviews and focus group discussion.

In-depth Interview: It is a personal interview that is carried out with one respondent at a time. This is purely a conversational method and invites opportunities to get details in depth from the respondent. One of the advantages of this method provides a great opportunity to gather precise data about what people believe and what their motivations are. These interviews can be performed face-to-face or on phone and usually can last between half an hour to two hours or even more.

- *Guide for Review of Documentation and Interviews with Policymakers, Managers, and Other Key Stakeholders:* From your perspective, what is the program trying to accomplish, and what resources does it have? What results have been produced to date? What results are likely in the next year or two? Why would the program produce those results? What are the program's main problems? How long will it take to solve those problems? What kinds of information do you get on the program's performance and results? What kinds of information do you need? How do you (how would you) use this information? What kinds of program performance information are requested by key stakeholders?

- *Guide for Review of Documentation and Interviews with Operating-Level Managers and Staff:* What are your goals for the project or program? What are the major project activities? Why will those activities achieve those goals? What resources are available to the project? Number of staff? Total budget? Sources of funds? What outputs are being delivered by the project? To whom? What evidence is necessary to determine whether goals are met? What happens if goals are met? What happens if they are not met? How is the project related to local priorities? What data or records are maintained? Costs? Services delivered? Service quality? Outcomes? Something else? How often are these data collected? How is this information used? Does anything change based on these data or records? What major problems are you experiencing? How long will it take to solve those problems? What results have been produced to date? What results are likely in the next two to three years?

Focus Group: A focus group is a group interview of approximately six to twelve people who share similar characteristics or common interests. A facilitator guides the group based on a predetermined set of topics. The facilitator creates an environment that encourages participants to share their perceptions and points of view. Focus groups are a qualitative data collection method, meaning that the data is descriptive and cannot be measured numerically. Focus groups are useful for: gathering feedback on activities, projects and services; generating and evaluating data from different groups that use a service or facility, or that an agency wants to target; generating and evaluating data from different groups within a local community or population; and developing topics, themes and questions for further research activities like questionnaires and more detailed interviews. They are good in use in conjunction with other forms of evaluation as they can help ‘triangulate’ findings.

Figure 2: Audience, questions, and information use

Audience	Question	Information Use	Audience	Typical Questions
<ul style="list-style-type: none"> For each focus area identified, list the audiences that are most likely to be the most interested in that area 	<ul style="list-style-type: none"> For each focus area and audience identified, list the questions they might have about your program 	<ul style="list-style-type: none"> For each audience and questions identified, list the ways and extent to which you plan to use the evaluation information 	Program Management and Staff	<ul style="list-style-type: none"> Are we reaching our target population? Are our participants satisfied with our program? Is the program being run efficiently? How can we improve our program?
			Beneficiaries	<ul style="list-style-type: none"> Did the program help me and people like me? What would improve the program next time?
			Community Members	<ul style="list-style-type: none"> Is the program suited to our community needs? What is the program really accomplishing?
			Public representatives, NGOs, CBOs	<ul style="list-style-type: none"> Who is the program serving? What difference has the program made? Is the program reaching its target population? What do participants think about the program? Is the program worth the cost?
			Cross cutting: experts, researchers	<ul style="list-style-type: none"> Is what was promised being achieved? Is the program working? Is the program worth the cost?

Quantitative Tools

To ensure consistency across all the studies, the survey questionnaires will consist of standardized questionnaires as well as component specific variable questionnaires.

Generalizability of the findings

The key to quantitative surveys is to find a means to strengthen the generalizability of findings once desired outcome are measured. The key questions to ask to strengthen the generalizability of findings include:

- To what groups or sites will generalization be desired?
- What are the key demographic (or other) groups to be represented in the sample?
- What sample size, with adequate sampling of important subgroups, is needed to make generalizations about the outcomes of the intervention?
- What aspects of the intervention and context in which it was implemented merit careful measurement to enable generalizability or transferability of findings?
