

# **Terms of Reference (ToR) for Evaluation of Central Sector Schemes of Khadi and Gramodyog Vikas Yojana (KGVY)**

## **1. Background of the scheme:**

Khadi and Village Industries Commission Act entrusts the Commission (KVIC) to play the role of a promoter, which means fulfilling social and economic development of rural artisans and to ensure purity of Khadi. In view of the changed economic and market scenario, KVIC needs to be more pro-active as a facilitator. This role of KVIC can be fulfilled if KVIC can act as a catalyst for liberating the sector from its limitations and transforming the Khadi & Village Industries institutions into commercially viable entities for ensuring their healthy growth based on the needs of the competitive market rather than being dependent on subsidies.

In the past plan periods, Khadi and Village Industries sectors had various independent schemes, developed to meet the needs of Khadi and village industry sector. In November, 2019, all the existing Khadi and Village Industry schemes/sub-schemes/components were merged, and brought under one umbrella scheme namely **Khadi and Gramodyog Vikas Yojana (KGVY)**. KGVY is a Central Sector Scheme and there is no State component of the scheme<sup>1</sup>.

## **2. Objectives of the scheme**

- To increase productivity and wages of Khadi Artisans and secure their livelihood
- To ensure social security
- To increase number of Artisan
- To improve Infrastructure for Khadi Production
- To increase Khadi Production and Sales and Employment
- To renovate and Modernize Sales Outlets
- To promote Marketing and Exports

## **3. Components of the scheme<sup>2</sup>**

KGVY has following three components:

- a.) **Khadi Vikas Yojana (KVVY):** With the objective of promotion and development of Khadi sector i.e. cotton, woollen, silk and the existing schemes like
- (1) Modified Market Development Assistance (MMDA),
  - (2) Interest Subsidy Eligibility Certificate (ISEC),
  - (3) Khadi Reforms Development Programme (KRDP),
  - (4) Work shed Scheme for Khadi Artisans,
  - (5) Strengthening infrastructure of existing weak Khadi Institutions and Assistance for Marketing Infrastructure

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<sup>1</sup> EFC Memo for "Khadi Gramodyog Vikas Yojana (KGVY)" for continuation during the period 2021-22 to 2025-26

<sup>2</sup> *Ibid*

(6) Khadi (S&T).

Two new components have been introduced under KVV i.e. Rojgar Yukt Gaon (RYG) and Centre of Excellence (CoE) for Khadi.<sup>3</sup>

**b.) Gramodyog Vikas Yojana (GVY):** With the objective of Promotion and development of village industries through common facilities, technological modernization, training etc. & other support and services for promotion of village Industries. GVY has the following components/ verticals from the activities under Village Industries:

- i. Agro Based & Food Processing Industry (ABFPI)
- ii. Mineral Based Industry (MBI)
- iii. Wellness & Cosmetics Industry (WCI)
- iv. Handmade Paper, Leather & Plastic Industry (HPLPI)
- v. Rural Engineering & New Technology Industry (RENTI)
- vi. Service Industry

**c.) Khadi Grant:** which covers all the establishment expenses of the Officers/Staff members of the KVIC.

#### **4. Scheme Implementation Structure<sup>4</sup>**

The budgetary support available under “Khadi Vikas Yojana” is the main source of funding to meet the developmental activities under Khadi Programme. The budgetary allocations are meant for various activities such as Modified Market Development Assistance (MMDA), Interest Subsidy Eligibility Certificate (ISEC) Scheme, Artisan Welfare Fund Trust (AWFT), and Work-shed Scheme for Khadi Artisans, Strengthening of Infrastructure of Existing Weak Khadi Institutions and Assistance for Marketing Infrastructure, Science & Technology (Khadi), Publicity & Propaganda and Marketing support for KVI programme.

The “Gramodyog Vikas Yojana Grant” is provided by Government of India to meet the developmental needs of the Village Industry sector which comprise six broad groups such as Agro Based & Food Processing Industry, Mineral Based Industry, Wellness & Cosmetics Industry, Hand Made Paper, Leather & Plastic Industry, Rural Engineering & New Technology Industry, and Service Industry. Budgetary allocations under Gramodyog Vikas Yojana are also provided for supporting activities such as Science & Technology, Capacity Building, Economic Research, Information Technology, Audit, and other supporting activities.

The budgetary allocations under “Khadi Grant” are provided to meet out the establishment expenditure like Pay and other overhead expenses, etc. of the officials of KVIC and Pension, Gratuity and Commutation payment to KVIC’s 3654 retired employees (approx.). The Khadi Grant also includes the expenditure required on salary and other overhead charges of employees involved in implementation of other schemes viz. Prime Minister’s Employment Generation Programme, Scheme of Fund for Regeneration of Traditional Industries, Khadi

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<sup>3</sup>For more information on the scheme components:

<https://www.kvic.gov.in/update/khadi/ROZGAR%20YUKTA%20GAON%20PL%20ADD%20IN%20DETAILS%20OF%20SCHEME.pdf>

<sup>4</sup> Details on KVIC and their activities under Khadi and Village Industries are available at KVIC website [www.kvic.org.in](http://www.kvic.org.in)

Reforms Development Programme and A Scheme for Promotion of Innovation, Rural Industry and. Entrepreneurship. Introduction (ASPIRE) also in addition to the KGVY<sup>5</sup>

Component	Sub-component	Implementing Agency
Khadi Vikas Yojana	Modified Market Development Assistance (MMDA)	KVIC
	Interest Subsidy Eligibility Certificate (ISEC)	Central Government → KVIC → Lending Banks
	Work-shed Scheme for Khadi Artisans	Implementation by Khadi Institutions, supervised by KVIC
	Strengthening of Infrastructure of Existing Weak Khadi Institutions and Assistance for Marketing Infrastructure	KVIC
	Khadi Reforms Development Programme (KRDP)	KVIC
	Centre of Excellence, Rozgar Yukt Gaon, S & T(Khadi)	KVIC
Gramodyog Vikas Yojana	Village industries promotion and development initiatives	KVIC
Khadi Grants		

### 5. Actual Expenditure of Khadi and Gramodyog Vikas Yojana (KGVY)

(In Rs. Crores)

Scheme/Component	2017-18	2018-19	2019-20
Khadi Grant	237.71	381.92	370.51
Khadi Vikas Yojana	392.26	474.32	464.36
Gramodyog Vikas Yojana	83.10	57.66	80.66
Total	713.07	913.90	915.52

*Source: EFC Memo for "Khadi Gramodyog Vikas Yojana (KGVY)" for continuation during the period 2021-22 to 2025-26*

<sup>5</sup> EFC Memo for "Khadi Gramodyog Vikas Yojana (KGVY)" for continuation during the period 2021-22 to 2025-26

## 6. Eligibility for scheme benefits:

Component	Sub-component	Beneficiary
Khadi Vikas Yojana	Modified Market Development Assistance	Producing institution, selling institution, composite institution and artisans
	Interest Subsidy Eligibility Certificate	State and khadi village industries board registered institution, cooperative, trust
	Khadi Reforms Development Programme	Artisans and Khadi institutions
	Work shed Scheme for Khadi artisans	BPL Artisan
	Strengthening infrastructure of existing weak Khadi Institutions and Assistance for Marketing Infrastructure	Sick / problematic institution affiliated to KVIC/ State KVIBs.
	Centre of Excellence.	Institutions set up as CoE Khadi and artisans
	Rozgar Yukt Gaon	Artisans
Gramodyog Vikas Yojana <sup>6</sup>	Village industries promotion and development initiatives for the following verticals: <ul style="list-style-type: none"> <li>i. Agro Based &amp; Food Processing Industry (ABFPI)</li> <li>ii. Mineral Based Industry (MBI)</li> <li>iii. Wellness &amp; Cosmetics Industry (WCI)</li> <li>iv. Handmade Paper, Leather &amp; Plastic Industry (HPLPI)</li> <li>v. Rural Engineering &amp; New Technology Industry (RENTI)</li> <li>vi. Service Industry</li> </ul>	Artisans
Khadi Grant		Officers/Staff/members of the KVIC

## 7. Objectives of the Evaluation Study

### a. **Assess Relevance, Effectiveness, Efficiency, Equity, Impact, Coherence and Sustainability of the Scheme**

Based on the Evaluation Cooperation Group's (ECG's) Good Practice Standards for evaluation of public sector operations,<sup>7</sup> the assessment of the Umbrella Central Sector scheme should be conducted along the principles of *Relevance, Efficiency, Effectiveness and Sustainability*. Herein, **relevance** would assess the extent to which intended outcomes

<sup>6</sup> For some initiatives under Gramodyog Vikas Yojana: [https://champions.gov.in/Ministry-of-MSME\\_Portal/youth\\_Entrepreneurs-rural\\_urban\\_self\\_employment/New\\_Schemes.htm](https://champions.gov.in/Ministry-of-MSME_Portal/youth_Entrepreneurs-rural_urban_self_employment/New_Schemes.htm)

<sup>7</sup> Evaluation Cooperation Group: *Big Book on Evaluation Good Practice Standards, 2012* (<https://www.ecgnet.org/document/ecg-big-book-good-practice-standards>)

of the project 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 programme’s intended outcomes were achieved and whether any unintended outcomes had inadvertently reduced impact of the programme. The *efficiency* of a programme is a measure of how well it used resources to achieve its outcome(s). The *impacts* assessment of a programme is focused on long-term, far-reaching changes to which the scheme has plausibly contributed and to assess the extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects. And, *sustainability* assessment focuses on the likelihood that programme outcomes and outputs will be maintained over a meaningful timeframe, demonstrating the persistence of results from the programme implementation. This should cover all the three dimensions of sustainability i.e., economic, environmental and social. 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 programme coverage.

The Organisation for Economic Co-operation and Development (OECD), in its recent publication,<sup>8</sup> 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 Khadi and Gramodyog 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 is given below.

*The same need to be evaluated Component-wise.*

<b>REESI+E</b>	<b>Proposed Sub-Objectives of the Evaluation Study</b>
Relevance	<ol style="list-style-type: none"> <li>1. To assess the relevance and rationale of schemes and its components, and the mechanisms/ modalities in place, in realizing scheme objectives.</li> <li>2. To assess the conformity of the Scheme and its programmes/components with the best practices in vogue to address its objectives.</li> </ol>
Effectiveness	<ol style="list-style-type: none"> <li>1. To assess the outputs achieved against the targets and inputs, and, to identify scheme processes leading to successes and failures.</li> <li>2. To review the performance of relevant units that carry out the Scheme activities (KVIC, KVIB, lead banks etc.) and identify challenges, if any.</li> <li>3. To document replicable practices and innovative processes built by the Commission.</li> </ol>
Efficiency	<ol style="list-style-type: none"> <li>1. To assess the efficiency in utilisation of resources and identify if there is a need for reorientation of expenditures</li> </ol>

<sup>8</sup> OECD (2021), *Applying Evaluation Criteria Thoughtfully*, OECD Publishing, Paris, (<https://doi.org/10.1787/543e84ed-en>)

	<ol style="list-style-type: none"> <li>2. To assess whether the use of technology has enhanced efficiency of delivery including reduction in leakages</li> <li>3. To evaluate the efficiency of the different entities and processes involved in the scheme</li> <li>4. To conduct a cost-benefit study of the interventions under the scheme</li> <li>5. To analyse successes and challenges in the scheme in monitoring, adoption of best practices, activity planning and accountability and transparency measures.</li> </ol>
Sustainability	<ol style="list-style-type: none"> <li>1. To assess the financial and environmental sustainability of scheme and its components.</li> <li>2. To study the sustainability of the monitoring and accountability mechanisms created at the grassroots level.</li> <li>3. To examine the viability of the delivery mechanism (governance, transfer of subsidy, procurement, IEC activities, etc.) built under the scheme.</li> </ol>
Impact	<ol style="list-style-type: none"> <li>1. To study the impact of schemes and its programmes/components against its objectives and its role in the development of khadi and village industry products in India.</li> <li>2. To assess outcome achieved against the baseline (if any) and targets</li> <li>3. To identify any unintended outcomes.</li> </ol>
Equity	<ol style="list-style-type: none"> <li>1. To examine the accessibility and availability of the scheme to the poorest artisans and the poorest regions in the country</li> <li>2. 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.</li> <li>3. To identify reasons for the regional variations in productivity</li> </ol>
Coherence	<ol style="list-style-type: none"> <li>1. To assess the extent to which MSME and other Government of India schemes support or undermine the intervention of the scheme/components and vice versa.</li> </ol>

## **b. Organisational Assessment of the Commission**

The objectives of evaluating the organisational set-up of the Khadi and village industries commission (KVIC) include the following:

- i. To study the organizational (including administrative) structure and policies of the Commission;
- ii. To examine the funding and expenditure for different activities and operations (including administrative expenses) of the Commission;
- iii. To assess the adequacy, quality and utilization of assets and related facilities of the KVIC offices and institutional units;
- iv. To study different financial aspects of the Commission including budgetary outlay, actual 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 Commission 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 umbrella scheme on various cross-sectional themes like

- i. Accountability and transparency,
- ii. direct/indirect employment generation
- iii. Gender mainstreaming
- iv. Development, dissemination & adoption of innovative practices, technology & know-how
- v. Research & Development
- vi. Stakeholder and beneficiary behavioural change
- vii. Unlocking Synergies with other Government Programmes
- viii. Impact on and role of private sector, community/ collectives/ cooperatives and civil society in the scheme
- ix. Use of IT / Technology in driving Efficiency
- x. Social Inclusion

### **d. Value Chain Analysis**

This component of the evaluation study requires a detailed assessment of the Khadi and Village industry (KVI) 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 Commission in addressing these challenges along the Value Chain. Also, to provide recommendations to maximise the impact of these scheme/activities of the Commission by addressing the challenges across the value chain.

### **e. Programme Rationalisation**

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

## **8. Scope of Services**

- a. Reference period of the study: The scheme evaluation based on primary data collection 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 sector documents;

- ii. Financial data on allocation and expenditures of the schemes;
  - iii. Annual reports of the ministries 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. Relevant articles/research paper from peer-reviewed journals.
  - ix. MIS/Dashboards/Admin Data/ Evaluation reports of any other cluster development scheme/Tool Rooms/Technology Centres/or any other scheme, that directly/indirectly effects khadi and village industries operated either by Ministry of MSME or other ministries. These shall be assessed to estimate the contribution of KGVY towards intended/unintended outcomes.
- c. The field study would also include the following:
- i. Finalization of the discussions guides for focus group discussions, interview guides for in-depth interviews and structured questionnaires/schedules. 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 elicits 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 of 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

## **9. Primary Data Collection Methodology**

- a) A quantitative and qualitative study backed with extensive meta-analysis will be conducted to provide a Sectoral assessment. The study will consist of following components:
- i. Key Informant Interviews & Focus Group Discussions - Herein, it is proposed that key informant interviews 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. 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 and beneficiary surveys should include data points included but not limited to NITI Aayog's Output-Outcome Monitoring Framework for corresponding schemes as given in **Appendix I**.

- b) **Sampling:** The sampling design for the evaluation study is stratified random sampling. For the study, the population (consisting of Khadi institutions, artisans, and Khadi Karyakarta and Village industries) is divided into regional zones. From each regional zone at least one state is selected as a representative of the zone.

The sample states are selected based on the average of percentage of funds allocated and beneficiary covered under the scheme for each state. The states chosen represent highest average percentage of the abovementioned indicators. Further, for geographic/regional representation some states have also been included from the zones that did not get representation only on the criteria of all India average of funds allocation and beneficiary. These states are Maharashtra (West Zone), Assam and Tripura (North East). The selected states from the regions are:

Zone	States/UT in the zone	Selected State
North	Jammu & Kashmir, Himachal Pradesh, Punjab, Chandigarh, Haryana, Delhi, Rajasthan	Haryana
Central	Uttarakhand, Uttar Pradesh, Chhattisgarh, Madhya Pradesh	Uttar Pradesh
East	Bihar, West Bengal, Jharkhand, Odisha, Andaman and Nicobar Islands	Bihar, West Bengal
West	Goa, Gujarat, Daman & Diu, Maharashtra and Dadra & Nagar Haveli	Maharashtra
South	Andhra Pradesh, Telangana, Karnataka, Kerala, Lakshadweep, Puducherry, Tamilnadu	Karnataka
North East	Arunachal Pradesh, Assam, Manipur, Meghalaya, Mizoram, Nagaland, Sikkim, Tripura	Assam, Tripura

State	Number of beneficiary (Khadi Artisans + HM* + PM*)	Total funds disbursed (KVY+GVY grant)	beneficiary as % of National (A)	Funds as % of national (B)	Average of A and B
Uttar Pradesh	142218	3201.06	27	17	22
Karnataka	28410	2354.29	5	12	9
Bihar	75573	370.55	14	2	8
West Bengal	33418	1686.77	6	9	8

Haryana	56511	488.96	11	3	7
Maharashtra	7017	1984.29	1	10	6
Assam	5918	477.94	1	2	2
Tripura	475	858	0	4	2
National	524889	19393.39	N.A.	N.A.	N.A.
Total of the above	349540	11421.86	67	59	N.A.

\*HM: Honey Mission; PM: Pottery Mission

Source: Ministry of MSME

The selected state together account for 67 % of the total beneficiary artisans covered by the scheme and around 59 % of the total funds allocated for khadi and village industry sectors.

From the east zone two states, Bihar and West Bengal, have been selected for the assessment of the scheme. The two states present a sharp contrast in terms of registered KVIC institutions, disbursement of funds and beneficiary coverage. Bihar with only 89 Khadi registered institution and 2% of funds disbursed accounts for around 14 % of the beneficiary covered by the umbrella scheme whereas West Bengal with 395 Khadi institutions, accounts for only 6 % of the beneficiaries and receives 14% of the funds disbursed. The assessment of the scheme in the two states is important to understand the underlying factors for heterogenous response in terms of uptake of the program to the same scheme in two adjoining states.

For the North Eastern zone, Assam and Tripura are selected for the scheme evaluation as the two states are the most populous states in the region. Assam is the state with the largest beneficiary share and khadi registered institutions, whereas Tripura has a higher fund disbursement but a low coverage of beneficiaries under the scheme.

State	Number of beneficiary (Khadi Artisans + HM+ PM)	Total funds disbursed (KVY+GVY grant)	Total no of khadi institutions	beneficiary as % of National	Funds as % of national	Khadi Institution as % of national
Uttar Pradesh	142218	3201.06	782	27	17	28
Karnataka	28410	2354.29	238	5	12	8
Bihar	75573	370.55	89	14	2	3
West Bengal	33418	1686.77	395	6	9	14
Haryana	56511	488.96	160	11	3	6
Maharashtra	7017	1984.29	34	1	10	1
Assam	5918	477.94	24	1	2	1
Tripura	475	858	1	0	4	0
Total of the above	349540	11421.86	1723	67	59	61
National	524889	19393.39	2816	N.A.	N.A.	N.A.

Scheme assessment will be done using FGD and KII in seven states: Uttar Pradesh, Karnataka, Bihar, West Bengal, Haryana, Maharashtra and Assam. Scheme assessment in Tripura will be done using telephonic key Informant Interviews.

Scheme assessment will be done by conducting 100 FGDs across the states selected for field survey. The FGDs shall be distributed proportional to the percentage beneficiary coverage of the state out of the total beneficiaries (sample states), it may be noted that these beneficiaries

include beneficiary from the KVV and GVV. The number of Key Informant Interviews to be conducted in each selected State, shall be at least 1.4 times the number of FGDs being conducted in each selected state, because key informant interviews will not only be done at village/town level but also at higher level that is at district and State level.

State	Number of beneficiary	% out of sample total	No of FGD(N)	No of KII(1.4* N)
Uttar Pradesh	142218	40	40	57
Karnataka	28410	8	8	11
Bihar	75573	22	22	31
West Bengal	33418	10	10	14
Haryana	56511	16	16	22
Maharashtra	7017	2	2	3
Assam	5918	2	2	3
Total of the above	349065	100	100	140

It shall be noted that the figures in the table indicate the minimum number of FGD and KII to be done in each state. The consultant will be required to do a preliminary field analysis for distribution of FGDs for the Khadi Vikas Yojana and Gramodyog Vikas Yojana. For FGDs focused on Khadi Vikas Yojana, each FGD will consist of one khadi registered institution, registered artisans, khadi karyakarta and some independent artisans. At least one FGD for Gramodyog Vikas Yojana should be conducted in each state, comprising of beneficiary artisans and Self-help group representative, wherever applicable. Each FGD should have at least 10-15 participants, implying a sample of 1000-1500 khadi and village industry beneficiaries and stakeholders. Also, for all the FGDs at least 70 to 80 per cent should be beneficiary. The sample institutions selected for the FGDs should be representative of the different types of products, institutions and artisans. The FGDs shall be limited to 25 districts across the seven states, with each district having a maximum of four FGDs. Efforts shall be made to include geographically non-contiguous districts for a diversified sample and to select area and institution with higher artisan coverage.

State	Minimum No of FGD	Minimum No Of KIIs
Uttar Pradesh	40	57
Karnataka	8	11
Bihar	22	31
West Bengal	10	14
Haryana	16	22
Maharashtra	2	3
Assam	2	3
Tripura*	N.A.	5
National**	N.A.	20
Total of the above	100	165(140+25)

\*Scheme assessment in Tripura will be done using telephonic KII only.

\*\* At least one KII for each stakeholder listed in Appendix

However, it is important to note that these numbers are indicative and 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, in the table, should be adhered to. The

minimum number of key informant interviews to be conducted in each sample State and at the national level, indicated in the table, also needs to be adhered to as a part of the field study. The indicative list of key informants is placed at Appendix I.

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. 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.

**10. Indicative list of stakeholders to be consulted**

An indicative list of stakeholders to be interacted with during the key informant interviews, FGDs is given in **Appendix I**. The list is not exhaustive and the Consultant may add more stakeholders to the list based on findings from secondary research and meta-analysis.

**11. Deliverables of survey agencies/consultants**

- a. 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.
- b. Mid-term report and presentation with initial findings of the study.
- c. Draft evaluation report and presentation for stakeholder consultations.
- d. Final Evaluation Report and presentation after incorporation of inputs from all the concerned stakeholders.
- e. 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 in MS Excel/CSV format.

*Timeline*

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

## 12. Payment Schedule

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

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

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

## 13. Indicative Report Structure<sup>10</sup>

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
  - 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
    - i. Qualitative
      1. Stakeholder & geographical coverage
      2. Tools
    - ii. Quantitative
      1. Sampling - Geographical coverage & respondent profile
      2. Sample size
      3. Sample selection
      4. 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

<sup>9</sup> Available at [https://dmeo.gov.in/sites/default/files/2021-08/MESD\\_2021\\_0.pdf](https://dmeo.gov.in/sites/default/files/2021-08/MESD_2021_0.pdf)

<sup>10</sup> This is an indicative report structure. This may change based on requirement of the study.

- 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 6 pillars of Relevance, Effectiveness, Efficiency, Impact, Equity and Sustainability 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 KVIC
- vi. Interventions in Cross-sectional areas - Accountability & Transparency, Direct/Indirect Employment Generation, Gender Mainstreaming, 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 KVI
- 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 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.<sup>11</sup>

## 14. Key Personnel

<sup>11</sup> 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/](https://www.who.int/reproductivehealth/publications/family_planning/best-practices-fp-programs/en/))

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

<b>S No</b>	<b>Key Personnel</b>	<b>Minimum Educational Qualifications<sup>12</sup></b>	<b>Length of Relevant Professional Experience</b>
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
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

## 15. Reporting

- a. 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.
- b. 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.
- c. 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;

<sup>12</sup> 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).

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.

d. 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.

## **16. 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.

## **17. Miscellaneous**

a. 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.

b. 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.

c. 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.

## **18. 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.

## APPENDIX-I

### REFERENCES

#### A. Table 1: Scheme Level Details

##### KVIC registered institutions: State wise dispersion (2020-2021)<sup>13</sup>

State/UT	Total no. of Institutions	Total Khadi Artisans	No. of Beneficiaries Benefited HM	No. of Artisan Benefited PM	KGY grant( Rs In Lakhs) #	GVY grant (Rs In Lakhs)#	Total Funds received (Rs In Lakhs)
A. & N. Island	0	0	0	0	0	0	0
Andhra Pradesh	160	9061	60	800	99	148	246
Arunachal Pradesh	4	31	0	0	0	23	23
Assam	24	5118	0	800	166	312	478
Bihar	89	72923	190	2460	38	333	371
Chhattisgarh	22	6152	30	400	124	197	321
Delhi	11	1180	20	80	192	471	663
Goa	0	0	0	0	60	24	84
Gujarat	227	18803	50	600	151	414	565
Haryana	160	56071	0	440	267	222	489
Himachal Pradesh	17	3369	0	400	84	182	266
Jammu and Kashmir	95	21997	0	400	135	116	251
Jharkhand	22	1868	80	400	44	138	182
Karnataka	238	27540	50	820	984	1371	2354
Kerala	30	14341	50	0	346	356	701
Lakshadweep	0	0	0	0	0	0	0
Madhya Pradesh	22	3700	80	440	43	611	654
Maharashtra	34	3087	50	3880	97	1887	1984
Manipur	4	166	30	240	2	71	73
Meghalaya	1	59	0	0	8	76	83

<sup>13</sup>Source: Ministry of MSME  
# For the year 2019-20

Mizoram	0	14	0	0	0	70	70
Nagaland	1	295	30	0	0	107	107
Orissa	85	5346	0	700	31	144	176
Puducherry	0	465	0	0	0	0	0
Punjab	35	5188	0	0	72	116	189
Rajasthan	155	30519	100	4860	241	748	988
Sikkim	0	0	0	0	0	22	22
Tamil Nadu	83	20263	100	860	891	795	1686
Telangana	22	2342	20	860	12	201	213
Tripura	1	25	30	420	10	848	858
U.T. Chandigarh	0	54	0	400	0	0	0
Uttar Pradesh	782	136913	505	4800	1581	1620	3201
Uttarakhand	97	18016	30	0	162	246	408
West Bengal	395	32578	0	840	408	1278	1687
<b>Total</b>	<b>2816</b>	<b>497484</b>	<b>1505</b>	<b>25900</b>	<b>6248</b>	<b>13147</b>	<b>19393</b>

## B. Table 2: Indicative List of Stakeholders to be covered <sup>14</sup>

An indicative list of stakeholders to be interacted with during the key informant interviews, FGDs is given below.

	Key Informant Interviews	Focus Group Discussions
National*	Agro and rural industry division., Ministry of micro, small and medium enterprises, KVIC, KVIB, Centre Of Excellence Khadi Institutions, NGOs, NITI Aayog(Industry), Sector Experts and Civil Society representatives, Zonal office KVIC etc.	
State	State Offices of KVIC, Concerned department of state government, State Government agencies like infrastructure/ industrial development corporations, non-Government organizations (NGOs), institutions of the Central and State Governments and semi-Government institutions, field functionaries of State and Central Govt., CoE Khadi institutes at the state level, etc.	
District	Division/ Sub office of KVIC, District Collector/Deputy Commissioner, Lead Bank/NABARD, NGOs, Cooperative Societies, Private Entrepreneurs, KVK(s) /Training Centres recognized by State or Central Govt. or Bank (Other officers related to the implementation of Scheme), Relevant KVIC field offices etc.	

<sup>14</sup> The list is indicative but not exhaustive of key stakeholders.

Village/Town	Group of artisans, Self Help Groups (SHGs), Khadi Karyakarta, Office bearer of Khadi institution ,NGO's, Cooperative Societies, Panchayati Raj Institutions etc. other institutions, offices and officers involved in the scheme	Group of artisans, Self Help Groups, KVIC registered institutions, Office bearer of KVIC Institution, Khadi Karyakarta etc.
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\*Includes Government, Academia, Think tanks, Multilaterals, NGOs, Experts, etc.

### C. Table 3 Scheme level Output-Outcome framework<sup>15</sup>

The Output- Outcome Framework for Khadi and Gramodyog Vikas Yojana is given below.

Output	Indicators	Outcome	Indicators
<b>A. Khadi Grant</b>			
1. GIA-Salaries- To pay the salaries and allowances of KVIC's Staff and Officers	1.1.No. of Employees	1. Implementation of all the schemes of KVIC will be facilitated by this item	1.1. No. of Employees
2. Pension and T.A & Contingency funds -To meet the expenditure on pension of the KVIC's Staff and Officers and TA and contingencies expenses.	2.1. No. of Pensioners	2. Implementation of all the schemes of KVIC will be facilitated by disbursement of Pension and T.A. & Contingencies to KVIC's staff.	2.1. No. of Pensioners
3. Swachhta Action Plan- Cleanliness drive and maintenance of KVIC's Central Office and its Field Offices	3.1 Cleanliness drive for KVIC's Head Office		
	3.2 Cleanliness drive for Field Offices		
	3.3 Cleanliness drive for Multi Disciplinary Training Centres		
	3.4 Cleanliness drive for Departmental Sales Outlets & its branches		
	3.5 Cleanliness drive for Central Sliver Plants		
<b>B. Khadi Vikas Yojana</b>			
1. Khadi Incentive- Modified Market Development	1.1.No. of Khadi Institutions to	1. 20% increase in production over the next 3 years.	1.1 No. of Khadi Institutions to be benefitted

<sup>15</sup> Set of outputs mapped to set of outcomes

Assistance (MMDA)- Promotion and Development of Khadi through Modified Market Development Assistance (MMDA) based on production of Khadi and Polyvastra. MMDA is provided at 30% of the Prime Cost of Khadi and Polyvastra production and will be distributed amongst producing Institutions (20%), selling institutions (10%), Artisans (40%), and incentive to Khadi Institutes (30%).	be provided MMDA.	Boost in production would result in increase of artisans wages. Improvement and Development of production Infrastructure. Renovation and Modernization of Sales Outlet.	
2. Marketing Promotion and Development of Khadi through Export Promotion.	2.1 No. of International Exhibitions	2. Improvement in production and sales of Khadi and Khadi related products. Increase in wage earning of artisans.	2.1. Increase the sales and global reach of KVI products. (no. of international exhibitions)
	2.2 No. of Exports preparation and incidentals		2.2. Promote the sales of KVI products. (no. of Exports preparation and incidentals)
	2.3 No. of Khadi India Sales Outlets in Dubai, Japan, Germany and Texas provided financial support	3. Working environment which leads to better productivity. Increase in No. of Artisans Better environment will attract more customers. Increase in Sales and Turnover.	3.1. No. of Group Artisans to be benefitted.
	2.4 No. of Export Workshop		3.2. No. of Individual Artisans to be benefitted.
	2.5 No. of National Level Exhibitions	4. Better work due to better infrastructure environment for Khadi artisans.	4.1. No. of Khadi Institutes to be strengthened.
	2.6 No. of Special Level Exhibitions	5. Sales would be boosted.	5.1. No. of Sales Outlets to be renovated.
	2.7 No. of State Level Exhibitions	6. Khadi activities to be developed.	6.1. No. of Meetings.

	2.8 No. of IITF	7. To improve Social Security to Khadi artisans, and also attract more artisans towards Khadi.	7.1. No. of artisans will be covered
	2.9 No. of Sales Outlets to be opened at Airports	8. Reduce the interest liability on Khadi & V.I. implementing Institutions	8.1. No. of Khadi Institutions to be benefitted
3. Work-shed scheme for Khadi Artisans To provide work-sheds to Khadi artisans on a selective basis leading to increase in productivity and better livelihood under Work-shed Scheme for Khadi Artisans.	3.1. No. of Group work-shed	9. Parliamentary Committee Meetings, National Khadi and Village Industries Board Meetings, and other Survey & Studies of KVI Schemes, etc.	9.1. Parliamentary Committee Meetings, National Khadi and Village Industries Board Meetings, etc. Survey & Studies of KVI Schemes, etc.
	3.2. No. of Individual work-shed	10. Trained artisans will be Provided with NMCs, Looms, Warping Units etc., to generate employment through 50 Khadi Institutions	10.1.No. of artisans trained and capable of employment.
4. Strengthening of Infrastructure of Weak Khadi Institutions To provide new Charkhas and Looms to selected Khadi Institutions which have become financially weak over the years, but have the potential to rebound.	4.1.No. of Revival of weak Khadi Institutions.	11. Objectives of Guarantee, genuineness of Khadi and Khadi products produced in India will be achieved - "Hand Spun, Hand Woven and Natural Fiber". Establish a unique identity for Khadi Improved customer awareness Increase popularity of Khadi.	11.1.No. of sample testings for ascertaining genuineness of Khadi produced / sold by Khadi Mark users
	5.1. No. of selected Sales Outlets to be renovated.		11.2.No. of Visits to Khadi Institutions
5. Marketing Assistance for Renovation Sales Outlets-To renovate selected Sales Outlets of the Khadi Institutions and assistance for marketing infrastructure.			

6. Promotional Grant-To establish linkages at different levels.	6.1. Engaging Consultancy Services, Fashion Show, Advertisement in Metro, Quarterly Khadi Mark and Certification & Review Meetings, Training for Data Entry Operators, Seminar / Work-shop / Khadi Sammelan, AWFT Establishment Grant, Pilot Projects, Distribution of Charkhas, Looms & other Machineries, Legal Fee, etc.,		11.3.No. of Process Verification of New Khadi Institutions
7. Insurance- PMJJBY / PMSBY / Modified AABY Convergence of Khadi Artisans Insurance Scheme (PMJJBY / PMSBY and Modified AABY, a Group Insurance Scheme for Khadi Artisans. Premium is shared between LIC, General Insurance Co., KVIC, Khadi Institutions, Artisans and Govt. of India.	7.1.No. of Khadi artisans to be covered.	12. Reduce interest liability of Khadi Institutions. Sustainability of Khadi Institutions will lead to sustained employment of the Artisans. This will lead to higher Khadi production.	12.1.No. of Khadi Institutions to avail Bank finance.
8. Other Khadi Grant Misc.-Interest Subsidy (Book Adjustment) To provide subsidy in lieu of interest on loans provided by Government.	8.1.No. of Khadi Institutions will be benefitted	13. MDTCs will be strengthened.	13.1.No. of Multi Disciplinary Training Centres to be strengthened.
9. Surveys & Study (EcR)	9.1.Parliamentary Committee Meetings,	14. Skill on charkhas & looms and financial acumen.	14.1.No. of Khadi artisans to be provided Skill

For Parliamentary Committee Meetings, National Khadi and V.I. Board Meetings, and other Survey & Studies of KVI Schemes, etc.	National Khadi and Village Industries Board Meetings, etc.		Development training.
	9.2. Survey & Studies of KVI Schemes, etc.	15. To increase productivity, ensure better quality, better design and fetch higher value addition for Khadi products, etc.	15.1.No. of Research & Development Projects, ISO Certification to be sanctioned
10. Production Infrastructure  (a) Rozgar Yukta Gaon To provide employment through Khadi activities at the doorstep of artisans on PPP model. b) Khadi Quality Assurance To assure quality products and to enhance standardization of quality and in compliance of the Khadi Mark Regulations, 2013.	10.1. Target for giving training to artisans for making them capable for employment.		
	10.2. No. of sample testings for ascertaining genuineness of Khadi produced / sold by Khadi Mark users to be tested		
	10.3. No. of Khadi Institutions to be visited		
	10.4. No. of Process Verification of New Khadi Institutions to be done		
11. Interest Subsidy Eligibility Certificate (ISEC) for Khadi & Polyvastra To provide subsidy on bank loans to Khadi Institutions at subsidized interest rate of 4% to enable Khadi Institutions to meet their working capital needs.	11.1. No. of Khadi Institutions (KIs) expected to avail Bank finance.		
12. Capacity Building	12.1 No. of Multi Disciplinary		



To conduct field level capacity building programmes for Khadi Institutions and artisans so as to provide technical guidance, training and skilling on charkhas and looms and also financial acumen.	Training Centres to be strengthened.		
	12.2. No. of Khadi artisans to be trained.		
13. Research and Development, (S&T)Technology up-gradation in implements & tools and various processes involved would be conducted.	13.1. No. of Research & Development Projects, Design House, ISO Certification to be sanctioned		
<b>C. Gramodyog Vikas Yojana</b>			
1. Promotion and development of the Village Industry through Common Facilities, Technological Modernization, Training, etc., and other support and services for promotion of Village Industries.	1.1 No. of ABFPI Artisans to be Trained	1. Training will generate employment for the unemployed youth.	1.1 No. of ABFPI Artisans to be Trained
	1.2 No. of Bee boxes with Bee Colonies to be Distributed	2. Employment will be generated and enhance in the productivity and wages of the traditional artisans.	2.1.No. of Bee Boxes with Bee Colonies to be Distributed
	1.3 No. of Beneficiaries to be given Bee boxes and other Tools & Equipments along-with Training		2.2.No. of Beneficiaries will be Benefited by providing Bee boxes and other Tools & Equipments along-with Training
	1.4 No. of Mineral Based Industries (Pottery) Artisans to be trained and Tool Kits to be distributed		2.3.No. of Mineral Based Industries (Pottery) Artisans to be Trained and Tool Kits to be distributed
	1.5 No. of Leather Artisans to be Trained and advanced Tool Kits to be distributed		2.4.No. of Leather Artisans will be Trained and advanced Tool Kits to be distributed
	1.6 No. of Wellness &		2.5.No. of Wellness &

	Cosmetics Artisans to be Trained		Cosmetics Artisans to be Trained
	1.7 No. of Hand Made Paper Industry Artisans to be Trained		2.6.No. of Hand Made Paper Industry Artisans to be Trained
	1.8 No. of RENTI Artisans to be Trained		2.7.No. of RENTI Artisans to be Trained
2. Capacity Building: To conduct field level Skill Development Training Programme through Training Centres and artisans so as to provide technical guidance	2.1.No. of Artisans, Employees to be trained for Skill Development.	3. Skill Development Training will be provided	3.1.No. of Artisans, Employees to be trained for Skill Development.
3. Publicity Propaganda: Publicity of KVI activities / programmes to be made through print media, electronic media, hoardings, etc.	3.1.Publicity of KVI programmes / products, etc.	4. Publicity propaganda through print media, electronic media, hoardings, et., will be made	4.1. Publicity of KVI programmes / products, etc.
4. Information Technology: IT services, development of programmes, purchase of hardwares & softwares, etc.	4.1.IT services, development of programmes, purchase of hardwares & softwares, etc., to be provided.	5. IT services, development of programmes, purchase of hardwares & softwares, etc., will be provided	5.1. IT related services to be provided
5. Research and Development (S&T): Technology up-gradation in implements, tools and various processes involved would be conducted.	5.1.No. of Research & Development Projects, ISO Certification to be sanctioned.	6. To increase productivity, ensure better quality, better design and fetching higher value addition to Village Industries products.	6.1. No. of Research & Development Projects, ISO Certification to be sanctioned
6. Other & Miscellaneous Commission Meetings, Other Meetings, Fees for Audit, Legal, Consultant, GST, etc., Estate & Services, Awareness Camps, Work-shops, etc.	6.1. Commission Meetings, Other Meetings, Fees for Audit, Legal, Consultant, GST, etc., Estate & Services, Awareness Camps, Work-shops, etc.	7. Meetings and obligatory essential activities, etc.	7.1. Meetings and obligatory essential activities, etc.

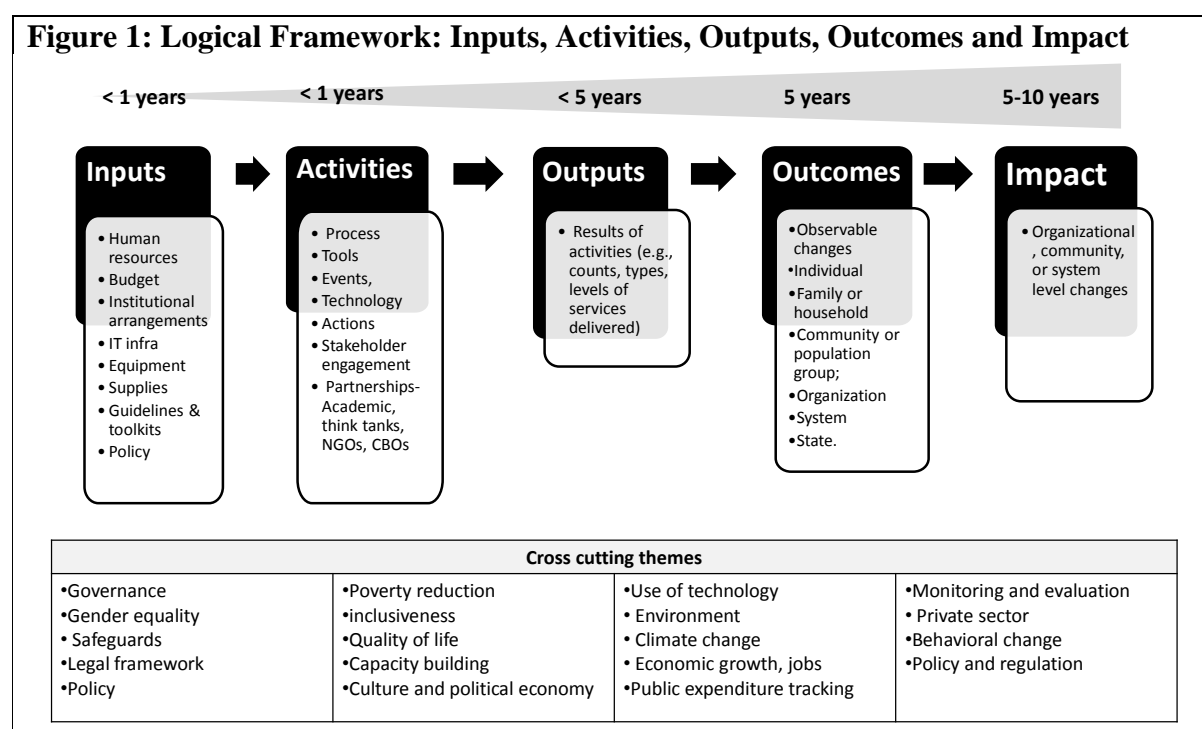
## D. Guidelines for Evaluation Methodology

### 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 *log frame* 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.



## 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 of scheme, 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)<sup>16</sup> 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

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<sup>16</sup> ECG. 2011. Good Practice Standards for Public Sector Operations. Washington, DC: <https://www.ecgnet.org/documents/4794/download>

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.

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

## Quantitative Tools

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:

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

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