

**Terms of Reference for Evaluation of Central Sector Scheme of
Department for Promotion of Industry and Internal Trade
(DPIIT):**

North East Industrial Development Scheme, 2017

1. Background of the sector

The economy of North- East India has got its definite identity due to its peculiar physical, economic and socio-cultural characteristics. This region consists of eight states viz., Assam, Arunachal Pradesh, Manipur, Meghalaya, Mizoram, Nagaland, Tripura, Sikkim. The NER of India covers an area of 2.62 lakh sq.km. It accounts for 7.9% of total geographical area of the country. With a total population of 45 million (2011), it accounts for 3.8% of total population of India.

There are differences among North Eastern states with respect to resource endowments, level of industrialization as well as infrastructural facilities¹.

Industrial sector has mainly grown around tea, petroleum (crude), natural gas etc. in Assam and mining, saw mills and steel fabrication units in other parts of the region. Full potential of the region is yet to be exploited and this has left economy in an agrarian state. Industrially, North East continues to be the most backward region in the country. States lack industrial base, except for Assam, because of its traditional tea, oil and wood based industries. There are a number of factors contributing to the lack of industrial growth in the region, like

- Poor infrastructure
- Inadequate electricity supply
- Violence and extortion.
- Shyness of capital due to high cost of production
- Vulnerability of the region
- Lack of entrepreneurial motivation on the part of the local people
- Low level of public sector investment, etc.

India has a commitment to effectively implement Sustainable Development Agenda 2030. Sustainable Development Goal 9 (SDG 9) - Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation. Government of India is committed to policies to foster industrialization in North Eastern Region.

In the recent years the 'Look East Policy'² of Government of India has made North East more important and strategic. Region has to gear up to challenges and opportunities thrown open by huge market in the South East Asian Countries. Industries of this region can be broadly classified as under:

¹ http://www.kkhsou.in/main/management/north_east.html

² <https://www.nedfi.com/IndustrialPoliciesofNorthEastIndia>

1. Agro-based Industries
2. Mineral-based Industries
3. Forest-based Industries: Plywood Industry, Saw-mill industry, Paper and pulp industry
4. Other Industries: It includes power generation industry, fertiliser industry, printing press, brick and tiles industry, Ice industry, chemical industry etc.

With the objective of encouraging setting up of industries in the North Eastern region, GOI announced a package of incentives in 1997 under the North-East Industrial Policy (NEIP), 1997. It covered the States of Arunachal Pradesh, Assam, Manipur, Meghalaya, Mizoram, Nagaland and Tripura. The Policy which was in operation for 10 years from December 1997 to March 2007, benefited a large number of industries in the North-Eastern Region. The Second edition of the Policy announced by GOI, rechristened North East Industrial and Investment Promotion Policy, 2007 (NEIIPP 2007) had been made effective from April 01, 2007 and remained effective up to 31/3/2017. Under NEIIPP, 2007, Sikkim was also be included. NEIIPP included all new units as well as existing units which go in for substantial expansion.

2. Objective of the Scheme

North East Industrial Development Scheme (NEIDS), 2017³ had been launched to further catalyse the industrial development in North East Region. Scheme covers new units in manufacturing and services sectors.

3. Eligibility under the scheme

1. All new industrial units in manufacturing and services sector including Bio-technology and Hydel Power Generation Units upto 10 MW located in NER, will be eligible for incentives under the scheme.
2. Scheme shall not be applicable to the industries listed in the Appendix I (Negative List)
3. All eligible units will be entitled to one or more components of this (present) scheme, even if units are getting benefits under other schemes of government of India.
4. The total benefits from all components of the scheme put together shall be limited to the total investment in plant and machinery subject to a maximum limit of Rs.200.00 crore per unit.

4. Incentives available to eligible industrial units under the scheme

- (i) Central Capital Investment Incentive for access to credit (CCIIAC)
 - a) All eligible new industrial units in the manufacturing and service sector located anywhere in the North Eastern Region will be provided Central Capital Investment Incentive for access to credit (CCIIAC) @ 30% of the investment in plant and machinery with an upper limit of Rs.5.00 crore.

³ https://dipp.gov.in/sites/default/files/North_East_Industrial_Development_Scheme_NEIDS_2017.pdf

b) The project cost will need to be appraised by a Scheduled Commercial Bank or Financial Institution before the proposal of assistance is approved by the Empowered Committee of DIPP. The specific absolute amount of total assistance shall be indicated in the government sanction. 10% of government assistance will be allowed to be used for project financing in the beginning and the balance 90% will be kept in an escrow account.

(ii) Central Interest Incentive (CII)

a) All eligible new industrial units located anywhere in the North Eastern region shall be given an interest incentive @3% on working capital credit advanced by the Scheduled Banks or Central/State financial institutions for first 5 years from the date of commencement of commercial production/operation. The incentive will be so restricted as to ensure that subsidized interest rate is not below the Marginal Cost of funds based Lending Rates (MCLR) of the lending institution.

b) For the purpose of this Scheme, the working capital requirement of a unit shall be capped at @ 25 % of their annual turnover. Inventory norms may be applied, if necessary, after providing for aforesaid maximum level. In respect of such units for which norms have not been laid down/are not applicable, the request of working capital should be, considered favourably by the Empowered Committee so long as the working capital is not very much above such maximum level. Special norms can also be evolved for inventory and receivables.

(iii) Central Comprehensive Insurance Incentive (CCII)

a) All eligible new industrial units located anywhere in the North Eastern region will be eligible for reimbursement of 100% insurance premium on insurance of building and Plant & Machinery for a maximum period of 5 years from the date of commencement of commercial production/ operation.

b) For the purpose of insurance incentive, Industrial Unit shall mean any industry which is included in Fire Policy C' as per All India Fire Tariffs. The policy shall be issued by the Insurance Company on market valuation to be declared by the proposer.

(iv) Income Tax (IT) Reimbursement

The industrial units set up under this Scheme can claim reimbursement of central share of income tax for first 5 years, including the year of commencement of commercial production by the unit.

(v) Goods and Services Tax (GST) Reimbursement

All eligible new industrial units will be eligible for reimbursement of Goods and Services Tax (GST) paid on finished products manufactured in the North Eastern

Region up to the extent of the central share of the CGST and IGST for a period of 5 years from the date of commencement of commercial production subject to the following condition:

a) GST reimbursement on finished goods is applicable only on the net GST paid, other than the amount of Tax paid by utilization of Input Tax credit under the Input Tax Credit Rules, 2017.

(vi) Employment Incentive (EI)

DIPP shall be paying additional 3.67% of the employer's contribution to EPF in addition to Government bearing 8.33% Employee Pension Scheme (EPS) contribution of the employer in the Pradhan Mantri Rojgar Protsahan Yojana (PMRPY)

(vii) Transport Incentive (TI)

(a) All eligible new industrial units can avail incentive on transportation of only finished goods through Railways or the Railway Public Sector Undertakings, Inland Waterways or scheduled airline for a period of five years from the date of commencement of commercial production/ operation, subject to production of actual receipts. The terms and conditions of Transport incentive through different modes are as follows:

(i) Up to 20% of the cost of transportation including the incentive currently provided by Railways or the Railway PSUs for movement of finished goods by rail from the railway station nearest to the location of industrial unit to the railway station nearest to the location of the buyer.

(ii) 20% of the cost of transportation for finished goods for movement through Inland Waterways Authority of India from the port nearest to the location of industrial unit to the port nearest to the location of the buyer.

(iii) 33% of cost of transportation of air freight by scheduled airlines and Non-Scheduled Operator Permit (NSOP) holders approved by DGCA for perishable items/goods (as defined by IATA) from the airport nearest to the place of production to any airport within the country, nearest to the location of the buyer.

5. Budget Expenditure (in Crores)

Year	Budget	Revised	Actual
2019-20	-	-	1
2020-21	100	15	-
2021-22	30	-	-

Source⁴: Notes on Demand for Grants, 2021-22

6. Objective of the Evaluation Exercise

⁴ <https://www.indiabudget.gov.in/doc/eb/sbe11.pdf>

Why do we undertake the Study despite low financial progress:

1. The scheme was introduced in 2017. However, till now, there is hardly any financial progress, despite 285 units having been registered for benefits under the scheme. A process evaluation needs to be conducted to understand the reasons for the scheme not taking off. This will also involve organizational assessment of institutions involved in furthering industrialization of the North East.
2. The views of stakeholders such as: the units that are approved for benefits under the scheme; units that applied for benefits but have not received the approval from the scheme administration; other units which got established in the region after March 2017, but did not apply for benefits under the scheme; industry associations; and, different players involved in scheme management; will also throw light on the paltry progress.
3. There have been many targeted interventions in the past for the industrialization of the North East. Analysis of the progress achieved in the region vis-à-vis other regions of the country over time will give a historical context to the implementation of the scheme. This will be largely done by making use of the available survey and administrative data.

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,⁵ the assessment of the Umbrella CSS schemes should be conducted along the principles of *Relevance, Efficiency, Effectiveness and Sustainability*. Herein, **relevance** would assess the extent to which intended outcomes 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 **impact** 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)? 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 CSS schemes, 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,⁶ has also added "Coherence: How well does the intervention fit?" Coherence

⁵ Evaluation Cooperation Group: *Big Book on Evaluation Good Practice Standards, 2012* (<https://www.ecgnet.org/document/ecg-big-book-good-practice-standards>)

⁶ OECD (2021), *Applying Evaluation Criteria Thoughtfully*, OECD Publishing, Paris, (<https://doi.org/10.1787/543e84ed-en>)

principle measures extent to which other interventions (particularly policies) support or undermine the intervention and vice versa.

The indicative objectives of the evaluation study based on the REESI+E+C framework is given below.

REESI+E	Indicative Sub-Objectives of the Evaluation Study
Relevance	i. To study whether the scheme design, approach and the eligibility criteria for availing benefits under NEIDS are compatible with the stated objectives
Effectiveness	ii. To understand whether the scheme has synergies with related schemes, if any. iii. To understand how the design and implementation of the scheme has been amended from similar schemes of the past, to improve ease of access and make delivery mechanism more effective and transparent. iv. To identify the key bottlenecks/issues & challenges in the implementation of the scheme
Efficiency	v. To evaluate the operational efficiency of the different entities and processes involved in the scheme (including registering of units, document work, inspection of units, disbursal of subsidy)
Impact	vi. To study the factors that affected the scheme progress and outcomes. vii. To understand, from secondary data, the impact made by other interventions of the recent past implemented by the Government of India with the aim of industrializing the North East.
Sustainability	viii. To examine whether the scheme design and implementation takes into account the geographical uniqueness of the North East.
Equity	ix. To examine whether the scheme design and implementation is targeting the micro, small and medium enterprises. x. To identify regional variations in the coverage of the scheme and the factors therein. xi. To assess the extent of coverage of beneficiaries from the Northeast and from the backward and tribal population. xii. To assess the extent to which new entrepreneurs have availed benefits under the scheme.
Coherence	xiii. To analyse the coherence between components that form part of the package

b. Cross-sectional Thematic Assessment

To assess the schemes on various cross-sectional themes like

- i. Accountability and 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. Unlocking synergies with other government programmes

c. 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/schemes design for the effective implementation in future.

d. Organisational Assessment of District Industrial Centres (DICs)

The objectives of evaluating the organisational set-up of the District Industrial Centres include the following:

- i. To study the extent to which DICs have been able to provide under one roof services and support required by entrepreneurs.
- ii. To identify the bottlenecks/shortcomings in the existing functioning of DIC. In the light of the above, suggest improvements to make the programme more effective.
- iii. To study the whether the organizational (including administrative) structure of the DICs is conducive to facilitate industrialization in north east;
- iv. To evaluate the synergies among various state departments and institutional units of the DICs.

7. Scope of Services

- a. **Reference period of the study:** The sectoral evaluation will be for the period from 2018-19 to 2020-21. The secondary data assessment will be done for the last 10 years, to the least.
- b. **Secondary Research:** The data and methods will involve review of
 - i. Financial data on allocation and expenditures of the schemes;
 - ii. Annual reports of the DPIIT for output and outcome assessment;
 - iii. Annual progress reports and implementation documents to assess the institutional arrangements;
 - iv. Available evaluation reports done at the district and state level, done by both government and non-government agencies.
 - v. Economic Census of India
 - vi. Other data sources for MSMEs
 - vii. Annual Survey of Industries – MoSPI
 - viii. Relevant industrial and service sector GVA of the States
 - ix. Database of Ministry of Corporate Affairs
- c. The field study would also include the following:
 - i. Finalization of the discussion guides for structured questionnaires/schedules and key informant interviews. The drafts of the survey instruments (Questionnaires and KIIs) 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. 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. 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. Mailed Questionnaire - Questionnaire to be sent to all the registered industrial units—both approved and unapproved under NEIDS portal.
 - ii. Key Informant Interviews - 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. National level key informants should also include national level think tanks, institutions, prominent non-profit organizations, government officials.
 - iii. Industrial Unit Surveys - A selected sample of industrial unit surveys shall be conducted to assess the beneficiary-level perspective of the programme
 - iv. Additionally, the key information areas to be covered in the discussion guides/questionnaires for key informant interviews and industrial unit surveys 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:** We have 285 industrial units which have been granted approval from empowered committee of DPIIT. State wise break up of units is given as follows:

Table 4.1: State wise list of units registered through NEIDS portal

States	No. of Units approved for benefits	No. of Units registered, but yet to be approved
Assam	241	35
Tripura	23	8

Meghalaya	8	0
Sikkim	6	5
Arunachal Pradesh	3	1
Manipur	3	0
Nagaland	1	1
Mizoram	0	0
Total	285	50

Source: NEIDS portal, DPIIT

We select Assam, Tripura and Meghalaya for the field study.

- a. 10% of the total approved units in Assam will be surveyed, and five each from Tripura and Meghalaya.
- b. To understand the views of the units whose applications have not been approved, 15 units spread in Assam and Tripura would be studied (there is no registered unit in Meghalaya, who has not been approved for benefits).
- c. Additionally, some units which got established after March 2017, but have not registered for benefits under the scheme will be located from secondary data analysis. These units will also be studied to understand why they did not register themselves to avail benefits under the scheme. Table 4.2 gives the State-wise distribution of samples to be studied through facility visits.

Table 4.2: States and Units across each states to be surveyed.

States	Beneficiary Units	Registered units yet to get approval	New eligible units that have not registered for benefits
Assam	24	10	About 20 units to be selected after studying the survey and administrative data. The state-wise distribution to be finalized after consulting DMEO
Tripura	5	5	
Meghalaya	5	--	
Total	34	15	

In addition to the industrial unit survey, the study shall also conduct Key Informant Interviews the selected states of Assam, Meghalaya and Tripura which will comprise participants from Directorate of Industries, District Industrial Centres, Industrial Associations and State Level Committee (SLC).

Table 4.3: Details of higher level KIIs per state

Sl. No.	Stakeholder	Minimum No. of KII
1	Directorate of Industries	1
2	District Industrial Centres	2
3	Industrial Associations	2
4	State Level Committee (SLC)	1
5	Total	6

Total of 18 KIIs are proposed for Assam, Meghalaya and Tripura together, in addition to 20 national level KIIs to be done with entities specified at Appendix I. Telephonic KIIs will be conducted with at least one DIC and industrial association in each of the other 5 States of the North East, namely, Arunachal Pradesh, Mizoram, Nagaland, Manipur and Sikkim to understand the slow progress of the scheme in those States.

However, it is important to note that these numbers are indicative and it is proposed that the Consultant may suggest their methodology best suited to meet the objectives of the evaluation.

To be clear, apart from the aforesaid survey-based work, consultancy firm will have to undertake following activities:

1. Mailing the questionnaires to all the industrial units which have been granted registration from empowered committee of DPIIT and industrial units whose approval is awaited. In total 335 (out of which 50 are pending) industrial units will have to be sent the questionnaires through mail. The data received through this will need to be analysed by the consultancy firm. The tabulated responses should be shared with DMEO and be included in the Report.
2. Collecting data from Ministry of Corporate Affairs and Udyam portal to get the data of all the new companies and MSMEs registered after 31st March 2017 in North East. This will help to understand the potential of scheme in North East.

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 industrial unit 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 both Key Informant Interviews as well as Industrial unit surveys 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 DMEO, NITI Aayog.

- iii. 100% data collected should be validated using a validation checklist. Missing data points should be recollected.
- iv. In case of Industrial unit survey, 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. List of stakeholders to be consulted:

An indicative list of stakeholders to be interacted with during the key informant interviews 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.

10. Deliverables of survey agencies/consultants

- a. Inception report with final scope, methodology and approach. This should also include findings from the meta-analysis and therefore the areas which will be further explored during field visits.
- b. Mid-term report with initial findings of the study.
- c. Draft evaluation report for stakeholder consultations.
- d. Final Evaluation Report 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 DMEO, NITI Aayog. This will include detailed transcriptions of key informant interviews in MS Excel/CSV format.

Timeline for the above deliverables would be 2-3 months.

11. Payment Schedule

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

Installment	% of release	Stage
1st	40	At the time of sanction. Details in Guidelines for M&E Studies (MESD-2021). ⁷
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 Structure⁸

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
 - ii. Actual contribution of specific scheme to sectoral performance (contrast, if any, with intended contribution)

⁷ Available at https://dmeo.gov.in/sites/default/files/2021-08/MESD_2021_0.pdf

⁸ This is an indicative report structure. This may change based on requirement and approval of DMEO

- 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. Interventions in Cross-sectional areas – (a) Accountability and transparency, (b) Direct/indirect employment generation, (c) Gender mainstreaming, (d) Role of Tribal Sub-plan & Scheduled Caste Sub-plan, (e) Use of IT / Technology in driving Efficiency, (f) Unlocking synergies with other government programmes
 - vi. Organisational Assessment of District Industrial Centres.
 - vii. 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.⁹

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

⁹ 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/)

S No	Key Personnel	Minimum Educational Qualifications¹⁰	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
3.	Industry 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

- 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

¹⁰ 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).

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; 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.

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

- 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.

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.

Appendix I

A. Scheme Level Details

Negative List:

(i) All goods falling under Chapter 24 of the First Schedule to the Central Excise Tariff Act, 1985 (5 of 1986) which pertains to tobacco and manufactured tobacco substitutes.

(ii) Pan Masala as covered under Chapter 21 of the First Schedule to the Central Excise Tariff Act, 1985 (5 of 1986).

(iii) Plastic carry bags of less than 20 micron as specified by Ministry of Environment and Forests

Notification No S.0 705 (E) dated 02.09.1999 and SO. 698 (E) dated 17-6-2003-

(iv) Goods falling under Chapter 27 of the First Schedule to the Central Excise Tariff Act, 1985 (5 of 1986) produced by Petroleum or Gas refineries.

(v) Plantation, Refineries and Power generating Units above 10 MW.

(vi) Coke (including Calcined Petroleum Coke), Fly Ash, Cement, Steel Rolling Mills

(vii) Units not complying with environment standards or not having applicable Environmental Clearance from M/o Environment & Forests and Climate Change or State Environmental Impact Assessments Authority (SEIAA) or not having requisite consent to establish and operate from the concerned Central Pollution Control Board/State Pollution Control Board also will not be eligible for incentive under the scheme.

(viii) Low value addition activities like preservation during storage, cleaning, operations, packing, repacking or re-labelling, sorting, alteration of retail sale price etc. take place excluding high value packaging and processing.

(ix) Any other industry/activity placed in negative list through a separate notification as and when considered necessary by the Government. It will be effective from the date of such notification.

(x) Gold and gold dore.

B. Indicative List of Stakeholders to be covered for KIIs

National	State	Local/Regional/Divisional
1. Relevant officials from DPIIT 2. Relevant officials from other pertinent departments from	1. Nodal Agency for implementing scheme 2. Officials from state departments – industry,	1. Staffs of Directorate of Industries (DI) 2. Staffs of District Industrial Centres (DIC) 3. Industrial Associations

Central Ministries like Ministry of Finance	commerce, transport, finance, etc.	4. Managerial staff and Employees of the Industrial units.
3. North East Development Finance Corporation Ltd	3. Other state level institutions like North Eastern Council, Indian Chamber of Commerce	
4. Relevant officials from other central level institutions like GST council, commissioner of central tax	4. Bank officials related to disbursement of scheme related incentives	
5. Members of existing or past parliamentary standing committees		
6. Eminent academicians or researchers from think-tanks		

C. Scheme level Output-Outcome Framework:

It is a new scheme and included in the OOMF framework for FY 2021-22.

2018-19	2019-20	2020-21	2021-22
North East Industrial Development Scheme (NEIDS), 2017 has been notified on 12.04.2018 which has come into force w.e.f. 01.04.2017 for a period of five years.	Total no. of applications received on NEIDS web ports are 471	Total no. of applications received on NEIDS web portal are 570	N/A
	104 industrial units have been granted registration under the scheme by Empowered Committee	202 industrial units have been granted registration under the scheme by Empowered Committee	N/A
		Under NEIDS, 2017, Rs. 1.00 crore has been released to 6 industrial units of NER in the FY 2019-20	N/A

D. Guidelines for Evaluation Methodology

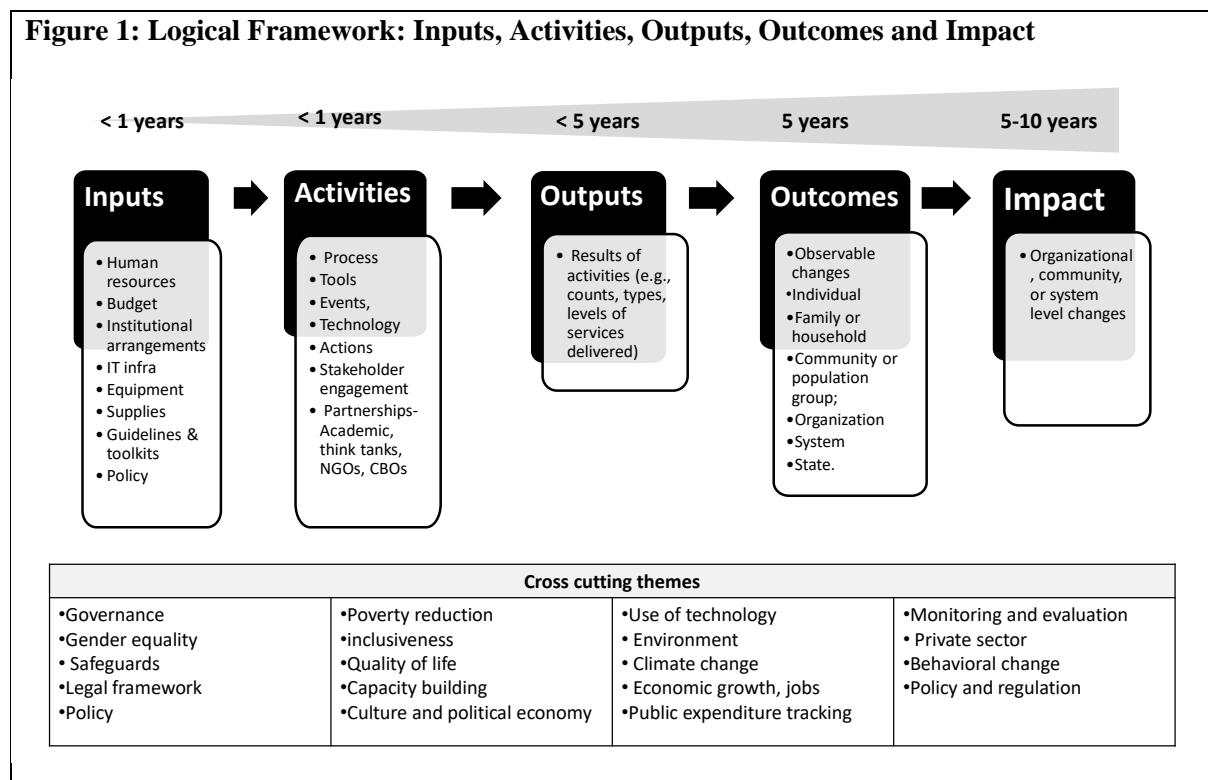
Logical Framework: Inputs, Activities, Outputs, Outcomes, and Impact

The evaluation will adopt the logical framework for consistency across all the 10 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



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 CSS, 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, coherence, effectiveness, efficiency, sustainability, impact (RCEESI)¹¹ 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.

Coherence. This criterion has been added by OECD DAC Network on Development Evaluation in 2018-19.¹² The coherence assessment will focus on the synergy of the scheme with other schemes/ programmes in the country, sector or institution. It will cover aspects such as how other interventions (particularly policies) complement or conflicts with the scheme

¹¹ ECG. 2011. Good Practice Standards for Public Sector Operations. Washington, DC: <https://www.ecgnet.org/documents/4794/download>

¹² Better Criteria for Better Evaluation, Revised Evaluation Criteria Definitions and Principles for Use OECD/DAC Network on Development Evaluation, 2019 (<https://www.oecd.org/dac/evaluation/revised-evaluation-criteria-dec-2019.pdf>)

interventions, and vice versa. Coherence includes internal coherence and external coherence. Internal coherence focuses on the compatibilities and linkages between the scheme and other interventions carried out by the same Ministry/ Department/ Institution. External coherence looks at the synergies of the scheme with other stakeholders' interventions in the same sector/ context.

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.

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 RCEESI 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 CSS 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?

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?
