

## Terms of Reference (ToR) for Evaluation of the Rubber Board, Department of Commerce

### 1. Background

India occupied the sixth position in global ranking in production of natural rubber (NR) during the year 2019, accounting for 5.1 % of total world production of 13.70 million tonnes and held the third place in productivity with a yield of 1439 kg per hectare. In consumption of NR, India continued to be the second largest by accounting for 8.4% of the global consumption of 13.63 million tonnes in 2019.

India produced 712,000 tonnes of NR during 2019-20 as compared to 651,000 tonnes during 2018-19, registering a notable growth of 9.4 % compared to a negative growth of 6.2 % registered during the previous year. It is for the first time since 2014-15 that NR production crossed seven lakh tonnes.

The Rubber Board is a statutory body, consisting of 29 members, constituted by the Government of India, under the Rubber Act 1947, for the overall development of the rubber industry in the country.

The functions of the Board as defined under the Act are:

1. Promoting measures for the development of the rubber industry.
2. Undertaking, assisting or encouraging scientific, technological or economic research.
3. Training students in improved methods of planting, cultivation, manuring and spraying.
4. the supply of technical advice to rubber growers
5. Improving the marketing of rubber.
6. The collection of statistics from owners of estates, dealers and manufacturers.
7. Securing better working conditions and the provision and improvement of amenities and incentives to workers.
8. Carrying out any other duties which may be vested with the Board as per rules made under this Act.
9. Advising the Central Government on all matters relating to the development of the rubber industry, including the import and export of rubber.

Rubber Board performs its functions by implementing the scheme “Sustainable and Inclusive Development of Natural Rubber Sector”, which has been continued through the **Medium Term Framework (MTF)** (2017-18 to 2019-20). Major components of the scheme are: (1) Rubber Plantation Development & Extension; (2) Rubber Research Support for processing & marketing; (3) infrastructure development and specialised services and; (4) Human Resources' Development.<sup>1</sup> Main beneficiaries of the scheme are smallholders. **Rubber Production (RP) Department** undertakes the planning, formulation and implementation of various Extension and development activities and programmes for the development of rubber plantation. It operates at the grassroots level and is the nodal department for delivering all the services, such as technology transfer to 1.32 million growers in the sector, of the board to the farmers. The **Rubber Research Institute of India (RRII)**, situated at Kottayam, Kerala with **Regional Research Stations (RRS)** located in various regions of the country, undertakes research

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<sup>1</sup> <https://www.rubberboard.gov.in/filereader>

activities for ensuring biological and technological improvement of NR. **Rubber Training Institute (RTI)** located at Kottayam acts as the link between research and extension activities for technology transfer. Rubber Board is also responsible for human resource development in all sectors of the industry including production, processing, product manufacturing, marketing and consuming sectors.<sup>2</sup>

#### **Medium Term Expenditure Framework (MTEF) Scheme:**

The Government of India had approved schemes under the MTEF entitled “Sustainable and inclusive development of the natural rubber sector”, which is basically the continuation of 12th Plan Scheme with modifications in components/ subcomponents. Rubber Plantation Development & Extension is one of the major components of the MTEF scheme.

#### **Rubber Plantation Development & Extension:**

The Scheme is intended to increase production of natural rubber in India by accelerating new planting and replanting of rubber on scientific lines. Accelerated new planting/replanting would be achieved by giving proper technical guidance and financial assistance to growers. The scheme would be implemented for three years from 2017-18 to 2019-'20

The two major components of the Rubber Plantation Development & Extension scheme are (i) Rubber Plantation Development & Extension in Traditional & Non-Traditional Area other than North East (RPDETNT) and; (ii) Rubber Plantation Development & Extension in North East (RPDENE).

#### **National Rubber Policy (NRP):**

National Rubber Policy (NRP) envisages a well-developed value-chain of environmentally sustainable and globally competitive rubber industry, comprising natural and other forms of rubber and products thereof and ancillary sectors, capable of supplying materials and products of international standards to domestic and world markets, with focus on welfare of the entire stakeholder community and national economic progress.

Despite the many interventions and schemes, the production and average yield of natural rubber has declined over the years. Concurrently, however, the domestic demand for natural rubber has been increasing (See Figure 6). There have been efforts to increase area under rubber cultivation in non-traditional states. While Tripura, Karnataka and Assam serve as examples of increased production in a non-traditional area, other areas under cultivation in other non-traditional areas have remained low.

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<sup>2</sup> Department of Commerce, Annual Report 2020-21

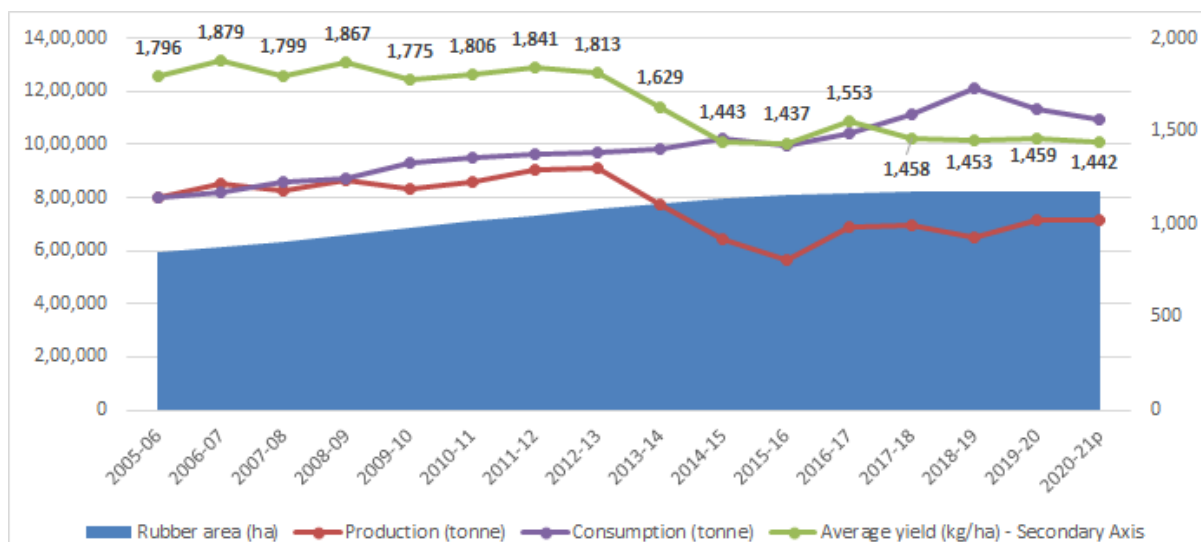


Figure 1: Annual Trends in Area, Production, Consumption and Average Yield of Natural Rubber in India, Source: Rubber Board of India

### Geographical coverage

The Rubber Board’s 2019-20 Annual Report observes that there is wide scope for enhancing productivity and further improving production through systematic replanting in **traditional area** such as **Kerala** and the adjoining Kanyakumari District of **Tamil Nadu**. The report also points out that although coastal **Karnataka, Goa, Konkan region of Maharashtra, coastal Andhra Pradesh, Odisha, Gujarat, Chhattisgarh, Jharkhand, Andaman & Nicobar Islands, and West Bengal** have been identified as the potential areas for rubber cultivation (non-traditional). However, the non-traditional areas cannot be considered as suitable as the traditional areas, specifically with respect to the agro-climatic conditions.

## 2. Objectives of the Evaluation Study

### a. Organisational assessment of the Board

The objectives of evaluating the organisational set-up of the Rubber Board include the following:

- To study the organizational (including administrative) structure of the Board and to assess whether the organizational structure is conducive to carry out various functions of the Board;
- To study the organisational policies of the Board;
- To examine the funding and expenditure for different activities and operations (including administrative expenses) of the Board and assess activity and operation wise fund utilization and efficiency
- To assess the adequacy, quality and utilization of the infrastructure, other physical assets and related facilities of the Rubber Board offices and institutional units;
- To assess the adequacy, qualification, capacities and salaries of the Rubber Board staff (management, technical and administrative) and the processes employed to monitor and evaluate their performance;

- f) To evaluate the synergies among various departments and institutional units of the Board;
- g) To study different financial aspects of the Board including budgetary outlay, expenditure, assets and liabilities, etc.;
- h) To recommend interventions to improve the organizational structure and operations of the Board including formulating 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.

b. Assess Relevance, Coherence, Effectiveness, Efficiency, Sustainability, Impact and Equity of the Board’s Scheme(s)

Based on the Evaluation Cooperation Group’s (ECG’s) Good Practice Standards for evaluation of public sector operations and OECD's Better Criteria for Better Evaluation,<sup>3</sup> the assessment of the scheme should be conducted along the principles of Relevance, Coherence, Efficiency, Effectiveness and Sustainability, Impact and Equity. Herein, relevance would assess the extent to which the intervention objectives and design respond to beneficiaries, global, country, and partner/institution needs, policies, and priorities, and continue to do so if circumstances change. The coherence would assess the compatibility/ synergies of the scheme/s with other related programmes/ schemes of Central and State Governments and other agencies. The effectiveness assessment looks at the extent to which the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups. The efficiency of a scheme is a measure of how the intervention delivers, or is likely to deliver, results in an economic and timely way. The sustainability assessment focuses on the extent to which the net benefits of the intervention continue, or are likely to continue. This should cover all the three dimensions of sustainability i.e. economic, environmental and social. And, impact assesses the extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects. Additionally, given the largely beneficiary oriented nature of scheme, it is important to add the principle of Equity, to assess if inclusion across dimensions is being ensured as a part of scheme coverage.

The indicative objectives of the evaluation study based on the RCEESI+E framework is given below:

<b>RCEESI+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 programmes of the Board, and the mechanisms/ modalities in place in the Board, in realizing its objectives.</li> <li>2. To assess the conformity of the Board and its programmes/ schemes with the best practices in vogue to address the objectives of the schemes and scheme sub-components for the board</li> </ol>

<sup>3</sup> Evaluation Cooperation Group: *Big Book on Evaluation Good Practice Standards, 2012* (<https://www.ecgnet.org/document/ecg-big-book-good-practice-standards>), 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>)

<b>RCEESI+E</b>	<b>Proposed Sub-Objectives of the Evaluation Study</b>
	3. To assess the relevance of the implementation mechanisms/ modalities in place to identify leakages
Coherence	<p>4. To assess the compatibility/ synergies of the Board and its Schemes with other related programmes/ schemes of Central and State Governments and other agencies (including private sector, CSR, Civil society efforts, multilaterals, etc). This includes complementarity, harmonisation and co-ordination with others, and the extent to which the Board and schemes are adding value while avoiding duplication of effort. (For example, if workers welfare related components are inter-linked with other social protection and subsidies programmes of other ministries/departments, etc.)</p> <p>5. To assess if there are any conflict/ trade-offs with other programmes/ schemes</p> <p>6. To assess whether the scheme components of the Board are synergetic with each other, thus, adequately addressing inter-linkages within the Board's activities.</p>
Effectiveness	<p>7. To assess the outputs achieved against the targets and inputs, and to identify scheme processes leading to successes and failures.</p> <p>8. To identify the gaps and challenges in achieving the targets and implementation of the schemes</p> <p>9. To analyse successes and challenges of the Board in monitoring, adoption of best practices, activity planning, accountability and transparency measures etc.</p> <p>10. To examine the use of technology, monitoring and evaluation, and transparency and accountability measures to avoid leakages in the implementation of schemes.</p> <p>11. To review the performance of relevant units that carry out the Board's activities (R&amp;D, production, transfer of technology, quality labs etc.) and identify challenges leading to sub-optimal performance.</p> <p>12. To document scalable/ replicable practices and innovative processes built by the Board.</p> <p>13. To assess the effectiveness of the market development and quality assurance activities undertaken by the Board.</p> <p>14. To assess the effectiveness of branding and other related initiatives undertaken by the board to increase the visibility and sales of Indian rubber in international markets</p> <p>15. To conduct a trend and potential analysis of export of Indian rubber. The study would also assess India's performance in export of rubber and examine the effectiveness of Board's activities in optimally tapping the export potential of Indian rubber.</p>
Efficiency	16. To assess the efficiency of the different components and processes involved in the schemes of the Board (including institutional and human resource capacity, monitoring mechanism, degree of adoption of outcome-output framework, political economy constraints and

RCEESI+E	Proposed Sub-Objectives of the Evaluation Study
	<p>program design constraints/provisions, adoption of technology, etc.) including gaps and failures</p> <p>17. To assess whether the use of technology has enhanced efficiency of delivery including reduction in leakages.</p> <p>18. To assess the funding efficiency and fund utilisation of the Board and its schemes</p>
Sustainability	<p>19. To assess the economic, social and environmental sustainability/ viability of various schemes that are implemented by the Board</p> <p>20. To assess whether the assessed impacts of the scheme are sustainable even without the intervention/ after the scheme period.</p> <p>21. To study the sustainability of the monitoring and accountability mechanisms created at the grassroots level.</p> <p>22. To examine the viability of the delivery mechanism (governance, transfer of subsidy, IEC activities, etc.) built under the scheme.</p> <p>23. To assess the level of adoption of climate resilient practices, and other environmentally sustainable practices</p> <p>24. To examine the need for maintenance and related services of the machinery provided under the schemes of the Board (if applicable)</p>
Impact	<p>25. To study the impact of schemes and programmes of Board against its objectives and their role in the development of the Rubber sector in India.</p> <p>26. To assess outcomes achieved against the baseline (if any) and targets</p> <p>27. To identify if any scheme or other initiatives of the Board resulted in unintended adverse consequences.</p>
Equity	<p>28. To examine the accessibility and availability of the schemes to the poorest workers/growers' households and in the poorer regions across the rubber producing states in the country.</p> <p>29. To identify reasons for the regional variations in the Rubber productivity across their geographical locations.</p> <p>30. 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.</p>

### c. Value Chain Analysis

This component of the evaluation study requires a detailed assessment of the Rubber Value Chain to understand the different stages of the value chain, the stakeholders involved, activities and value addition at each stage, the gaps and challenges at each stage of the value chain and the contribution of the Board in addressing these challenges along the Value Chain. The objectives of the Value Chain assessment are listed below:

- a) Study of complete ecosystem of the Rubber Value Chain in India
- b) Identification of key players in the different stages of the value chain
- c) Value Chain mapping as per key players, commodity flow, information flow and movement of value to identify the roles and powers of key players in the value chain

- d) Analysis of dynamics of processing and value creation, reward distribution, value chain governance and power relation structures, knowledge transfer and degree of integration among different players
- e) Assessment of existing market infrastructure, market situations, economies of risk and value creation at each level
- f) Assessment of support from Government available at each level in terms of institutions, technology, services, inputs, policies, and other production conditions.
- g) Identification of gaps/ challenges at each stage of the value chain
- h) Assessment of whether the schemes/ activities of the Board are addressing the gaps/ challenges at each stage of the value chain and evaluate the extent to which they are addressing these gaps/ challenges
- i) To provide recommendations to maximize the impacts of the schemes/ activities of the Board to address the gaps/ challenges across the value chain

The value chain analysis would be based on secondary analysis and field visits conducted during FGDs and KIIs in the major rubber producing states (the states have been identified in the Sampling section of the TOR). The states to be covered are Kerala, Tripura and Karnataka.

d. Rationalization/ Need for Restructuring

Based on the above, analyse the need to continue the Board's programmes/ schemes in their existing forms, modify, scale-up or scale-down. In case if they need to be modified, suggest revisions in the Board and its programmes/ schemes design for the effective implementation in future.

### 3. Scope of Services

- a. Reference period of the study: The evaluation will be for the period from 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. JRM reports, Standing Committee reports, PAB minutes;
  - viii. Evaluations done by non-government agencies.
- c. **The field study** would also include the following:
  - i. Finalization of the discussion guides for focus group discussions and interview guides for in-depth interviews. The drafts of the survey instruments (Questionnaires and discussion guides) would be provided by DMEO.
  - ii. Preparation of the analysis plan
  - 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

#### 4. 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 FGDs should have data points including but not limited to NITI Aayog's Output-Outcome Monitoring Framework for corresponding scheme as given in Appendix-I.
- b. **Sampling-** The sample for the Key Informant Interviews (KIIs) and Focused Group Discussions (FDGs) must be designed in such a way that the sample is spread over geographic sub-areas and population sub-groups properly. The size of the sample must take account of competing needs so that costs and precision are optimally balanced. Considering the limited time, survey in different identified states should be conducted simultaneously.

A minimum of **60 KIIs** and **50 FGDs** are proposed to be conducted with the relevant stakeholders for the evaluation of the rubber board. The indicative sampling frame for the KIIs and the FGDs are given below. However, it is important to note that these numbers are indicative and the Consultant may suggest their methodology best suited to meet the objectives of the evaluation. Final methodology will be based on the approval of DMEO. The background data used for sample selection is placed in Appendix I.



### *Sampling Frame*

The states that have been identified for conducting FGDs and KIIs for assessment of rubber board are Kerala, Tripura and Karnataka. Of these states Kerala is the only traditional state for rubber cultivation and the other two states are non-traditional states. Collectively, these states account for 90 per cent of total natural rubber produced in India. Additionally, virtual/ telephonic KIIs are to be conducted in the states of Assam and Maharashtra (along with secondary research) which are two additional non-traditional rubber producing states with low production and from different geographical regions. The background data used for sample selection has been provided in Appendix-I.

A minimum of 60 KIIs should be conducted for the evaluation of the Rubber Board. Around 15-20 percent of the KIIs will be conducted with the respondents at the national level while the rest of the KIIs will be distributed across the states in proportion to the rubber production. Additionally, KIIs (virtually/ telephonic only) will also be conducted in the states of Assam and Maharashtra along with secondary research. An indicative state-wise distribution of KIIs has been provided in the table below. Additionally, an indicative list of Key Informants 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.

The number of FGDs have also been allocated proportionately based on the total production of natural rubber in these states. A minimum of 50 FGDs are to be conducted. The table below gives the distribution of FGDs, along with the minimum no. of districts to be covered in each state.

State	KIIs	FGDs	
	Indicative no. of KIIs	Minimum Number of FGDs	Indicative no. of Districts**
<b>Kerala</b>	35	35	6
<b>Tripura</b>	4	8	2
<b>Karnataka</b>	3	7	2
<b>Assam</b>	3*	NA	NA
<b>Maharashtra</b>	3*	NA	NA
<b>National Level</b>	<b>12</b>	NA	NA
<b>Total</b>	<b>60</b>	<b>50</b>	<b>10</b>
<p><i>*Virtual/ telephonic interviews only and secondary research</i>  <i>** These numbers are indicative and may be modified based on discussions and approval from DMEO to ensure study sample is representative of the population.</i></p>			

In each state, selection of districts and villages in general be based on higher number of beneficiaries. In case of constraints in obtaining quantitative information on the sub-state level beneficiary numbers, the selection may be based on discussions with relevant state and district authorities to this effect (and in consultation with DMEO). In any selected district, effort will be made to select about 4-6 villages. In each of the identified villages, no more than one FGD should be conducted. The respondents should include women, SC, ST, other disadvantaged groups, Self Help Group members, wherever applicable. The indicative size of a focus group will be around 10-15 participants. Overall, a minimum of 80% of the participants of the FGDs should be beneficiaries of different schemes and activities of the Board. The drafts of the discussion guides for the FGDs would be provided by DMEO which the Consultant has to finalise. Additionally, during the FGDs, the Consultant may have to administer a short data-oriented questionnaire (provided by DMEO) to the participants of the FGD. This short questionnaire needs to be administered through CAPI.

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

**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 key informant interviews and FGDs should have at least 3 years of experience in conducting similar surveys/interviews. A 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 FGDs to fine tune the inquiry tools. A brief on the learnings from such a pilot exercise and subsequent improvements in the tools/questionnaires should also be shared with NITI Aayog.
- iii. 100% data collected should be validated using a validation checklist. Missing data points should be recollected.
- iv. In case of FGDs, at least 50% data should also be telephonically verified and if not verified via phone, back checks should be undertaken to ensure at least 50% data verification.
- v. Use of mobile-based, near real-time and geo-tagged data collection and validation tools should be done to ensure efficiency and accuracy in data collection. Access to tools and data should be provided to the Authority.

## **5. Indicative list of stakeholders to be consulted**

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

## 6. Deliverables & Timelines

- 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.

## 7. Payment Schedule

The sanction orders will be issued for all the instalments 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>4</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)

## 8. Indicative Report Structure<sup>5</sup>

The Final Evaluation Report should cover the following aspects:

- 1) Preface
- 2) Executive Summary
- 3) Sector and Board Overview
  - 3.1. Brief background
  - 3.2. Key Trends/ drivers in the Sectors
  - 3.3. About the Board
  - 3.4. Programmes/ Schemes under the Board
  - 3.5. Objectives of the Programmes/ Schemes
  - 3.6. Implementation mechanisms
  - 3.7. Intended contribution to sectoral outcomes
  - 3.8. Nature of evaluation studies and their key findings - Gaps therein
- 4) Study Objectives

<sup>4</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>5</sup> This is an indicative report structure. This may change based on requirement and upon approval of DMEO.

- 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. Export Analysis
    - iii. Value Chain Analysis
    - iv. Issues & Challenges and their root causes
    - v. Recommendations
  - 6.2. Board level
    - i. Organisational Assessment of the Board
    - ii. Board and Programme/ Scheme level performance - Outputs & Outcomes
    - iii. Actual contribution of Board and specific programme/ scheme to sectoral performance (contrast, if any, with intended contribution)
    - iv. Key issues/challenges & their root causes
    - v. Key recommendations/Way Forward - These should be based on the 7 pillars of Relevance, Coherence, Effectiveness, Efficiency, Impact, Equity and Sustainability at Board level covering following aspects:
      1. Governance
      2. Institutional mechanisms
      3. Convergence
      4. Fund Flow efficiency & Utilization
      5. Capacity Building
      6. M&E systems
      7. Any other relevant aspect
    - vi. 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 and FGDs
    - i. Appendix 1a - 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 under FGDs
- 8.2. Appendix 2 - Format for Scheme/Activity-level Analysis
- i. 8.2.1- Background of the scheme/activity
  - ii. 8.2.2 - Performance of the scheme/activity
  - iii. 8.2.3 - Issues and Challenges
  - iv. 8.2.4 - Recommendations and Solutions

8.3. Appendix 3 - 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>6</sup>

## 9. Key Personnel

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

S No	Key Personnel	Minimum Educational Qualifications <sup>7</sup>	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.	Rubber Sector Specialist	Master’s Degree (or equivalent) in Agriculture/ Forestry 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/	1 year

<sup>6</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/))

<sup>7</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).

<b>S No</b>	<b>Key Personnel</b>	<b>Minimum Educational Qualifications<sup>7</sup></b>	<b>Length of Relevant Professional Experience</b>
		Management/ related subject (s)	

## 10. 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; 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.

## 11. 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.

## 12. 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 duration of the project 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 6). The study outputs shall remain the property of the Authority and shall not be used for any purpose other than that intended under these TOR 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.

### **13. 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:

- (a) the Technical Proposal is received in the form specified at Annexure-II of Guidelines for M&E Studies (MESD-2021);
- (b) it is received by the Proposal Due Date including any extension thereof
- (c) it is signed and numbered
- (d) it contains all the information (complete in all respects) as requested in the TOR and Guidelines for M&E Studies (MESD-2021);
- (e) it does not contain any condition or qualification; and
- (f) it is not non-responsive in terms hereof.

## APPENDIX-I

### A. Scheme Level Details

#### A.1 Budgetary Outlay for Central Sector Schemes for Rubber Board

Actual 2019-2020			Budget 2020-21			Revised 2020-21			Budget 2021-22		
Revenue	Capital	Total	Revenue	Capital	Total	Revenue	Capital	Total	Revenue	Capital	Total
211.2		211.2	221.34		221.34	187.69		187.69	190		190

Source: Annual Reports, Rubber Board of India and Demand for Grants, Ministry of Commerce and Industry, 2021-22

#### A.2 Approved Outlay for MTEF

Rubber Board (Approved outlay), continuation of their 12 <sup>th</sup> Plan Scheme during the Medium-Term Framework (2017-18 to 2019-20) (In Rs. Cr.)					
S. No.	Component	2017-18	2018-19	2019-20	Total
1	Rubber Plantation Development & Extension	25.02	31.27	40.33	96.62
2	Rubber Research	3.00	4.31	6.76	14.07
3	Support for processing & marketing, infrastructure development and specialised services	7.99	9.11	8.35	25.45
4	Human Resources Development	3.00	3.94	4.87	11.81
5	Pending Liability	18.00	0.00	0.00	18.00
6	Sub Total	57.01	48.63	60.31	165.95
7	Salary & Pension	142.67	152.66	163.35	458.68
8	Increase in salary due to 7 <sup>th</sup> CPC	9.43	10.09	10.80	30.32
9	Increase in allowances due to 7 <sup>th</sup> CPC	5.00	5.35	5.72	16.07
10	Arrear of 7 <sup>th</sup> CPC	14.96	0.00	0.00	14.96
11	Establishment Cost (other than salary & Pension)	12.00	12.00	12.00	36.00
	<b>Grand Total (6+7+8+9+10+11) =</b>	<b>241.07</b>	<b>228.73</b>	<b>252.18</b>	<b>721.98</b>

Source: Continuation of 12th Plan Schemes of Tea, Coffee and Rubber Boards during Medium Term Framework (2017-18 to 2019-20) Notification, Department of Commerce

#### A.3 Production of Rubber State-wise

State	Production of Natural Rubber in Tonne (2018-19*)
Kerala	490460
Tamil Nadu	21500
<b>Traditional Total</b>	<b>511960</b>
Tripura	53050
Assam	24300
Meghalaya	9100
Nagaland	4930
Manipur	1850
Mizoram	750
Arunachal Pradesh	450
<b>North East Total</b>	<b>94430</b>



State	Production of Natural Rubber in Tonne (2018-19*)
Karnataka	38200
A&N Islands	275
Goa	625
Maharashtra	1250
Odisha	480
West Bengal	380
Andhra Pradesh	400
<b>Others Total</b>	<b>41610</b>
<b>Non Traditional Total</b>	<b>136040</b>
<b>Total</b>	<b>648000</b>
*Provisional Source: <a href="#">Ministry of Commerce and Industry (PIB)</a>	

## B. Indicative List of Stakeholders to be covered

	Key Informant Interviews	Focus Group Discussions
National*	<p>Officials from Department of Commerce overseeing activities of Rubber Board; Executive Director of Rubber Board, Kottayam, Kerala;</p> <p>Officials from departments/divisions constituted within the Rubber Board: Officials from Rubber Plantation Division and Rubber Industrial Development Division; Relevant verticals of NITI Aayog; Eminent academicians or researchers from think-tanks; Civil Society representatives; Relevant Research institutes include ICAR institutes (if applicable), Exporters and Processors etc.;</p> <p>Exporter Associations; Relevant government departments/authorities related to rubber export</p>	NA
State	<p>Officials from Rubber Board zonal and regional offices (from traditional and non-traditional states); Members of State Task Force on Rubber (STFR) instituted under the NRP, 2019; Officials in charge of implementation of Rubber Production Incentive Scheme (RPIS) in Kerala; State level Rubber Board officials (separately based on involvement in disbursing different components of MTEF); State level research institutes, think tanks, civil society organizations, ICAR, etc.;</p>	NA

	<b>Key Informant Interviews</b>	<b>Focus Group Discussions</b>
	Exporters and Processors; Any other relevant organizations; Exporter Associations; Relevant government departments/authorities related to rubber export	
District	Officials from regional RB offices; Identified rubber plantation cooperatives/ councils in all prominent regions of rubber cultivation (at district level); District level community organisers; Officials from District level chamber of commerce, etc.	NA
Block	Sub Divisional Magistrate/Sub Divisional Officer/Block Development Officer; Cooperatives, Farmer Groups, Trader Associations/Collectives, Local NGO, etc.	Rubber plantation owners; Groups (Unions) of rubber, Rubber Sector Workers including Tappers from organised and unorganised sector (small growers) Beneficiaries, Self Help Groups; Panchayati Raj Institutions; Growers' Associations/ Cooperative, etc.
Village/Town	Gram Panchayat members; Clusters, Growers Associations/ Cooperatives; Trader Associations/Collectives etc. Self-Help Groups (SHGs), Common facility centres, Local NGOs, etc.	Groups (Unions) of rubber, Rubber Sector Workers including Tappers from organised and unorganised sector (small growers). Beneficiaries, Self Help Groups; Panchayati Raj Institutions; Growers' Associations/ Cooperative, etc.

\*includes Government, Academia, Think tanks, Multilaterals, NGOs, Experts, etc.

### C. Scheme level Output-Outcome framework

OUTPUTS		OUTCOMES	
Output	Indicators	Outcome	Indicators
1. Increase rubber production, productivity enhancement, promotion of extension activities etc.	1.1. Quantity of Rubber Production (Tonne)	1. Enhancement of production and productivity of rubber	1.1. % Increase in production of rubber
	1.2. Newplanting/ replanting (ha)[ with subsidy]		1.2. % increase in productivity of rubber
	1.3. Tribal Rehabilitation Planting (ha) [Maintenance of existing units]		1.3. % Increase in Planted area
	1.4. Production of hybrid seed (No.)		1.4. % Decrease in Rubber Imports
	1.5. Supply of buds of nucleus planting material of new clones (No.)		
	1.6. Farmer Education Programme (No. of Participants)		
	1.7. Training (No. of Participants)		
	1.8. Labour welfare (No. of beneficiaries)		
	1.9. Quantity of rubber imports (Tonne)		

Source: Output-outcome Framework 2020-21

### D. Guidelines for Evaluation Methodology

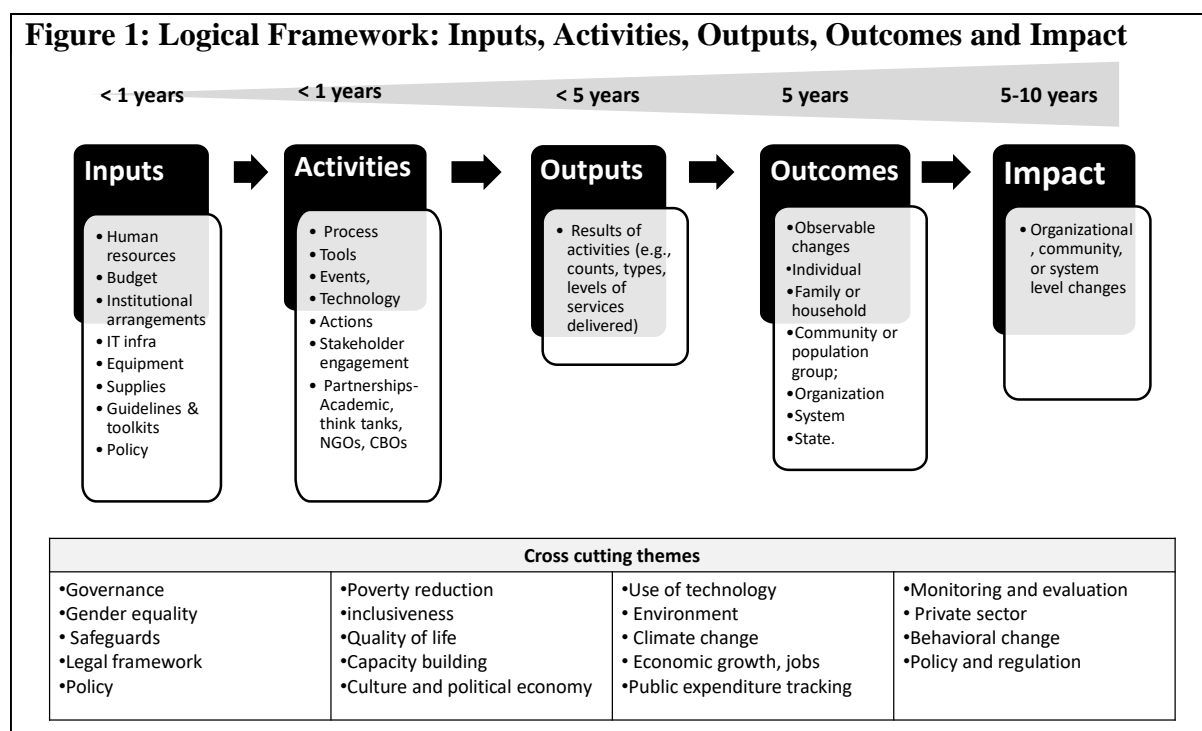
#### Logical Framework: Inputs, Activities, Outputs, Outcomes, and Impact

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 evaluations, 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)<sup>8, 9</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.

**Coherence.** This criterion has been added by OECD DAC Network on Development Evaluation in 2018-19.<sup>10</sup> 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 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

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<sup>8</sup> ECG. 2011. Good Practice Standards for Public Sector Operations. Washington, DC:  
<https://www.ecgnet.org/documents/4794/download>

<sup>9</sup> 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>)

<sup>10</sup> 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>)

monitoring framework indicators provided as part of the TOR 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 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

It is envisaged that there will be limited set of quantitative categorical questions preceding full-fledged discussions during focused group discussions. These responses will help in augmenting, verifying and cementing the indications from the rich qualitative information that the survey will generate.

## 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?