

Terms of Reference (ToR) For Consultancy for Evaluation of Central Sector Schemes of MSME: Scheme of Fund for Regeneration of Traditional Industries (SFURTI)

1. Background

With a view of making the traditional industries more productive, competitive and facilitating their sustainable development, the Government of India announced setting up of a fund for regeneration of traditional industries, with an initial allocation of Rs 100 crore. Pursuant to this announcement, a Central Sector Scheme titled the “Scheme of Fund for Regeneration of Traditional Industries (SFURTI)” was approved at a total cost of Rs 97.25 crore. The Scheme was implemented by the Ministry of Micro, Small and Medium Enterprises (MSME) and its organizations (Khadi and Village Industries Commission-KVIC and Coir Board), in collaboration with State Governments, their organizations and non-governmental organizations.¹ The objectives of the scheme is to organize traditional industries and artisans into clusters to make them competitive and provide support for their long term sustainability, sustained employment, to enhance marketability of products of such clusters, to equip traditional artisans of the associated clusters with the improved skills, to make provision for common facilities and improved tools and equipment for artisans, to strengthen the cluster governance systems with the active participation of the stakeholders, and to build up innovative products, improved technologies, advanced processes, market intelligence and new models of public-private partnerships.

2. Objectives of the scheme²

- i. To organize the traditional industries and artisans into clusters to make them competitive and provide support for their long-term sustainability and economy of scale;³
- ii. To provide sustained employment for traditional industry artisans and rural entrepreneurs;
- iii. To enhance marketability of products of such clusters by providing support for new products, design intervention and improved packaging and also the improvement of marketing infrastructure;
- iv. To equip traditional artisans of the associated clusters with the improved skills and capabilities through training and exposure visits;
- v. To make provision for common facilities and improved tools and equipment for artisans to promote optimum utilization of infrastructure facilities;
- vi. To strengthen the cluster governance systems with the active participation of the stakeholders, so that they are able to gauge the emerging challenges and opportunities and respond to them in a coherent manner;

¹ https://msme.gov.in/sites/default/files/SFURTI_GUIDELINES_REVISED.pdf

² https://sfurti.msme.gov.in/WriteReadData/Circular/SFURTI_NEW.pdf

³ *Ibid*

- vii. To build up innovated and traditional skills, improved technologies, advanced processes, market intelligence and new models of public- private partnerships, so as to gradually replicate similar models of cluster-based regenerated traditional industries;
- viii. To look for setting up of multi-product cluster with integrated value chain and a strong market driven approach for viability and long-term sustainability of the cluster;
- ix. To ensure convergence from the design stage with each activity of the cluster formation and operations thereof;
- x. To identify and understand cluster's target customers, understand their needs and aspirations and develop and present product lines to meet the requirement. Substantial focus should be on the buyer segment that places a premium on natural, eco-friendly, ethically sourced and the uniqueness of the Khadi and Village and Industries products;
- xi. To develop specific product lines out of the currently offered diversified basket of heterogeneous products based on the understanding of the target consumer segment. A brand unification exercise also needs to be done to maximize the value;
- xii. To make a paradigm shift from a supply driven selling model to a market driven model with the right branding, focus product mix and correct positioning and right pricing to make the offering holistic and optimal for each of the focus categories;
- xiii. To tap the E-Commerce as a major marketing channel given the outreach and the growing market penetration of E-Commerce, there is a need to devise a quick strategy to make its presence felt in the E-Retail space; and
- xiv. To make substantial investment in the area of product design and quality improvement. There is a need to standardize the quality of inputs and processes so that the products meet the quality benchmarks. Research needs to be done to develop new textures and finishes to cater to the prevailing market trends.

3. Components of the scheme

- i) Soft interventions consist of activities such as:
 - i. General awareness, counselling, motivation and trust building;
 - ii. Skill development and capacity building for the entire value chain different skills need to be imparted;
 - iii. Institution development;
 - iv. Exposure visits;
 - v. Market promotion initiatives;
 - vi. Design and product development;
 - vii. Participation in seminars, workshops and training programmes on technology up-gradation, etc.
- ii) Hard interventions include creation of following facilities:
 - i. Multiple facilities for multiple products and packaging wherever needed;
 - ii. Common facility centres (CFCs);
 - iii. Raw material banks (RMBs);
 - iv. Up-gradation of production infrastructure;
 - v. Tools and technological up-gradation such as charkha up-gradation, tool-kit distribution, etc.
 - vi. Warehousing facility;

- vii. Training center;
- viii. Value addition and processing center/multi-products.

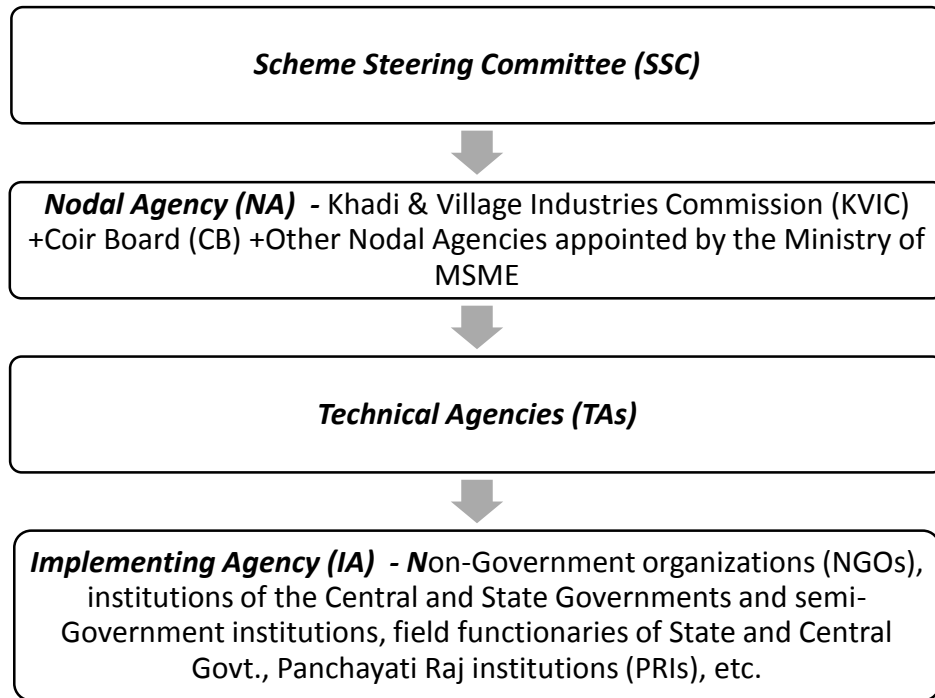
Note: The assistance for raw material bank (RMB) shall be leveraged with financial institution for enhanced credit.

iii) Thematic interventions- The scheme also supports cross-cutting thematic interventions at the sector level including several clusters in the same sector with emphasis on both domestic and international markets. These will primarily include:

- i. Brand building and promotion campaign;
- ii. New media marketing;
- iii. e-Commerce initiatives;
- iv. Innovation;
- v. Research & development initiatives; and
- vi. Developing institutional linkages with the existing & proposed clusters

Note: These interventions are illustrative in nature and the project may cover any of the other felt needs of the cluster (as detailed in the DPR and approved by SSC), that will enable the cluster enterprises in improving their competitiveness.

4. Scheme implementing structure⁴



The Ministry of Micro, Small and Medium Enterprises (MSME) is the coordinating Ministry providing overall policy, coordination and management support to the Scheme. The Scheme Steering Committee (SSC) is constituted under the chairpersonship of

⁴ Project Screening Committee (PSC) shall be constituted under each of the NAs, chaired by the Chief Executive of the NA for the management and implementation of the Scheme

Secretary (MSME). The SSC can co-opt representatives of industry associations, R&D institutions and other private sector expert organizations as members/ special invitees, depending on functional needs. The SSC considers the proposals of clusters and the Implementing Agencies (IAs) submitted by Nodal Agencies (NAs) and shall extend approval to the cluster proposals. The cluster proposals will include the details of Technical agency (TA) and Implementing Agencies (IAs) submitted by Nodal Agencies (NAs). The SSC can make intra-sectoral adjustments of activities and corresponding funds without affecting the basic objectives and thrust of the Scheme

5. Eligibility for the Scheme benefits

The selection of clusters is based on their geographical concentration which should be around 500 beneficiary families of artisans/micro enterprises, suppliers of raw materials, traders, service providers etc., located within one or two revenue subdivisions in a District (or in contiguous Districts.) The potential for growth in production and generation of employment opportunities will also be considered in selecting clusters under SFURTI. The geographical distribution of the clusters throughout the country, with at least 10 percent located in the North Eastern region will also be kept in view while selecting clusters⁵

6. Geographical spread of the scheme

S. No	State Name	No of Clusters	No. Of Artisans	Approval Cost (in Rs. Lakh)	% OF CLUSTERS	% OF ARTISANS	% APPROVAL OF COST
1	Andaman and Nicobar Islands	1	400	249.28	0.23%	0.15%	0.23%
2	Andhra Pradesh	12	8946	3168.64	2.77%	3.45%	2.88%
3	Arunachal Pradesh	4	2032	1012.71	0.92%	0.78%	0.92%
4	Assam	32	16383	6615.73	7.39%	6.32%	6.00%
5	Bihar	9	5347	2599.12	2.08%	2.06%	2.36%
6	Chhattisgarh	4	2542	732	0.92%	0.98%	0.66%
7	Gujarat	13	6083	2780.18	3.00%	2.35%	2.52%
8	Haryana	5	2928	1569.92	1.15%	1.13%	1.42%
9	Himachal Pradesh	4	851	759.76	0.92%	0.33%	0.69%
10	Jammu and Kashmir	10	12961	2445.98	2.31%	5.00%	2.22%
11	Jharkhand	12	5634	3131.57	2.77%	2.17%	2.84%
12	Karnataka	26	16045	7094.44	6.00%	6.19%	6.44%
13	Kerala	9	8267	1631.12	2.08%	3.19%	1.48%
14	Madhya Pradesh	38	20995	9807.34	8.78%	8.09%	8.90%
15	Maharashtra	25	13852	5592.44	5.77%	5.34%	5.08%
16	Manipur	23	11562	6404.04	5.31%	4.46%	5.81%

⁵ http://coirboard.gov.in/?page_id=3114

17	Meghalaya	6	1763	1143.45	1.39%	0.68%	1.04%
18	Mizoram	1	304	90.7	0.23%	0.12%	0.08%
19	Nagaland	6	2180	1420.74	1.39%	0.84%	1.29%
20	Odisha	60	40542	17700.98	13.86%	15.63%	16.07%
21	Punjab	2	1708	515.99	0.46%	0.66%	0.47%
22	Rajasthan	27	15317	7521	6.24%	5.91%	6.83%
23	Sikkim	4	950	901.02	0.92%	0.37%	0.82%
24	Tamilnadu	23	21542	6692.73	5.31%	8.31%	6.07%
25	Telangana	14	8139	2971.19	3.23%	3.14%	2.70%
26	Tripura	2	650	350.08	0.46%	0.25%	0.32%
27	Uttar Pradesh	40	21516	10365.39	9.24%	8.30%	9.41%
28	West Bengal	16	7428	3606.74	3.70%	2.86%	3.27%
29	Uttarakhand	5	2511	1303.18	1.15%	0.97%	1.18%
30	Total	433	259378	110177.46	100%	100.00%	100.00%

(Note: Data is cumulative: up to 28 May 2021)

Source: DPR data as per (<https://sfurti.msme.gov.in/SFURTI/Reports/DPR.aspx>)

7. Scheme Expenditure:

(In Rs. Crores)

Year	2016-17	2017-18	2018-19	2019-20	2020-21
Actual Expenditure	66.80	9.76	86.03	181.81	300 (Revised Estimate)

Source: MSME ministry budget allocation

8. Objectives of the evaluation study

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

Based on the Evaluation Cooperation Group's (ECG's) Good Practice Standards for evaluation of public sector operations,⁶ the assessment of the scheme 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 **impacts** assessment of a programme is focused on long-term, far-reaching changes to which the scheme has plausibly contributed and to assess the extent to which the intervention has generated or is expected to generate significant positive or negative,

⁶ Evaluation Cooperation Group: *Big Book on Evaluation Good Practice Standards, 2012* (<https://www.ecgnet.org/document/ecg-big-book-good-practice-standards>)

intended or unintended, higher-level effects. And, *sustainability* assessment focuses on the likelihood that programme outcomes and outputs will be maintained over a meaningful timeframe, demonstrating the persistence of results from the programme implementation. This should cover all the three dimensions of sustainability i.e., economic, environmental and social. Additionally, given the largely beneficiary and cluster-oriented nature of scheme/s, it is important to add the principle of *Equity*, to assess if inclusion across dimensions is being ensured as a part of scheme coverage. The Organisation for Economic Co-operation and Development (OECD), in its recent publication,⁷ has also added “Coherence: How well does the intervention fit?” *Coherence* principle measures extent to which other interventions (particularly policies) support or undermine the intervention and vice versa. Given various schemes which also aims to enhance productivity and skill levels of MSME, evaluating SFURTI on this principle becomes crucial for future scheme- rationalization efforts of the government.

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

REESI+E	Indicative objective focus question
Relevance	<ol style="list-style-type: none"> 1. To assess the relevance and rationale of scheme design and its components and the mechanisms/ modalities in place, in realizing the scheme objectives. 2. To assess the conformity of the scheme with the best practices in vogue to address its objectives
Effectiveness	<ol style="list-style-type: none"> 1. To assess the outputs achieved against the targets and inputs, and, to identify scheme processes leading to successes and failures. 2. To review the performance of relevant units that carry out the various activities under the scheme (NA, TA, IA,SPVetc.) 3. To document replicable practices and innovative and effective processes built under the scheme.
Efficiency	<ol style="list-style-type: none"> 1. To assess the efficiency in utilisation of resources and identify if there is a need for reorientation of expenditures 2. To assess whether the use of technology has enhanced efficiency of delivery including reduction in leakages 3. To evaluate the efficiency of the different entities and processes involved in the scheme (including CFCs, RMBs etc.) 4. To assess the processes and intervention that help clusters in adopting cost effective methods of production 5. To analyse successes and challenges of the clusters in monitoring, adoption of best practices, activity planning, accountability and transparency measures.

⁷ OECD (2021), *Applying Evaluation Criteria Thoughtfully*, OECD Publishing, Paris, (<https://doi.org/10.1787/543e84ed-en>)

	6. To conduct a cost-benefit study of the interventions under the scheme.
Sustainability	<ol style="list-style-type: none"> 1. To assess the financial and environmental sustainability of various components under the scheme. 2. To study the sustainability of the monitoring and accountability mechanisms created at the grassroots level. 3. To examine the viability of the delivery mechanism (governance, transfer of subsidy, procurement, IEC activities, etc.) built under the scheme. 4. To assess whether the assessed impacts of the scheme are sustainable even without the intervention/ after the scheme period.
Impact	<ol style="list-style-type: none"> 1. To study the impact of scheme against its objectives and its role in the development of traditional industry in India. 2. Assessment of outcome achieved against the baseline (if any) and targets 3. To study if the scheme has resulted in any unintended outcomes.
Equity	<ol style="list-style-type: none"> 1. To examine the accessibility and availability of the scheme to the poorest artisans and the poorest regions in the country 2. To assess the coverage of beneficiaries belonging to vulnerable and disadvantaged sections including women, SC, ST and other disadvantaged groups and the impact on them. 3. To identify regional variations in development of traditional industry clusters.
Coherence	<ol style="list-style-type: none"> 1. To assess the extent to which MSME schemes and other Government of India schemes support or undermine the scheme/component intervention.

b) Cross-sectional Thematic Assessment

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

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

c) Process Evaluation

This component of the evaluation study requires a detailed assessment of the implementation process of the scheme. This would evaluate whether the intended benefits of the scheme are reaching the beneficiary. This will assess the mechanism and time taken for availing benefits, documentation, clearance process and other processes involved in the scheme implementation. Also, suggest measures to make the implementation processes robust enabling beneficiary of the program to receive the benefits of the scheme in an efficient and timely manner.

d) Programme Rationalization

Based on the above, analyse the need to continue the scheme 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.

9. Scope of Services

- a. Reference period of the study: The scheme evaluation based on primary data collection will be for the period from 2018-19 to 2020-21 and secondary data assessment for the scheme will be done for the period 2014-15 to 2020-21.
- b. Based on meta-analysis and key informant interviews, and focus group discussions, the evaluation study will provide insights into reasons for success and failure of program design, institutional arrangements, human resources, political economy considerations, among others. The study will also provide strategic insights into:
 - i. Scheme gaps both due to lack of specific interventions and failure or poor outcomes of existing components of the schemes;
 - ii. Institutional and human resource failures and best practices;
 - iii. Institutional provisions for monitoring and evaluation;
 - iv. Degree of adoption of outcome-output framework;
 - v. Adoption of technology for effective program implementation;
 - vi. Political economy constraints and program design constraints/provisions; among others.
- c. Secondary research: The data and methods will involve review of:
 - i. National and International development goals and sector documents;
 - ii. Financial data on allocation and expenditures of the schemes;
 - iii. Annual reports of the ministries for output and outcome assessment;
 - iv. Available evaluation reports for output and outcomes assessment;
 - v. Annual progress reports and implementation documents to assess the institutional arrangements;
 - vi. Available evaluation reports done at the district and state level, for the states/districts covered under field study, if applicable;
 - vii. Evaluations done by non-government agencies.
 - viii. Research paper/articles published in peer reviewed journals.

- ix. Analysis of administrative data collected under the scheme like “preliminary project reports” and “detailed project reports” or any other reports of the clusters (Detailed project report, cluster progress report etc.)⁸
 - x. Also, MIS/Dashboards/Admin Data/ Evaluation reports of any other cluster development scheme/Tool Rooms/Technology Centres operated either by Ministry of MSME or other ministries. These might be required to estimate the contribution of SFURTI towards intended/unintended outcomes.
- d. The field study would also include the following:
- i. Finalization of the discussion guides for focus group discussions, interview guides for in-depth interviews and structured questionnaires/schedules. The drafts of the survey instruments (Questionnaires and discussion guides) would be provided by DMEO.
 - ii. Preparation of the analysis plan shall describe the analysis framework and tools that will be used for evaluation before the commencement of the field survey. Also, the FGDs should have questions that elicits quantitative responses and the empirical analysis in the report should include analysis based on these quantitative data collected. These tools and analysis plan shall be finalized in consultation with the DMEO
 - iii. Pre-testing and finalising 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

10. Primary Data Collection Methodology

- a) A quantitative and qualitative study backed with extensive meta-analysis will be conducted. 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

⁸ <https://sfurti.msme.gov.in/SFURTI/Home.aspx>

informants should also include national level think tanks, institutions, prominent non-profit organizations, government officials

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

b) **Sampling:** The sample design for the evaluation study will be two stage sampling. The first stage of sampling will be the selection of the sample states for the study and the next stage will be the selection of districts and clusters for the field study.

First stage: The sample states are selected based on the average of percentage of approved cost of clusters, number of clusters and beneficiary artisans covered under the scheme for each state. The states chosen represent highest average percentage of the above mentioned indicators. These states are Uttar Pradesh, Madhya Pradesh, Odisha, Assam and Tamil Nadu. Further, for geographic/regional representation some states have also been included from the zones that did not get representation only on the criteria of all India average of approved cost, clusters and beneficiary. The states are Gujarat (West Zone), Bihar (East zone) and Tripura (North East).

The states selected are the states where new clusters have formed recently. Bihar and Tripura are selected for scheme assessment as the two states have a small number of clusters and new clusters have come up only in the last year (2020-21). Finally, Gujarat is selected as representative state from the Western Zone which also shows an incremental progress in cluster formation.

The selected states from the regions are:

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

States	Total no. of Clusters	Total No. of Artisans	Approved project Cost (in Rs Lakhs)	% of Clusters(A)	% of Artisans(B)	% of Approved Cost (C)	Average of A,B and C
Odisha	60	40542	17700.98	14	16	16	15

Uttar Pradesh	40	21516	10365.39	9	8	9	9
Madhya Pradesh	38	20995	9807.34	9	8	9	9
Assam	32	16383	6615.73	7	6	6	7
Tamilnadu	23	21542	6692.73	5	8	6	7
Gujarat	13	6083	2780.18	3	2	3	3
Bihar	9	5347	2599.12	2	2	2	2
Tripura	2	650	350.08	0	0	0	0
Total of the above	217	133058	56911.55	50	51	52	

(Note: These are the cumulative approved cost up to May 2021. The number of artisans and clusters is as on 28th May 2021.)

The sampled states taken together account for around about 50% of the total clusters and 51% of the artisans under the SFURTI scheme and 52% of the total approved cost across all states.

Efforts shall be made to understand the reasons for limited number of clusters in areas that have potential for cluster development but are not covered under the scheme. This may be done using KIIs with related government agencies, NAs, TAs and IAs, SPV, etc. that are responsible for development of new cluster in a specific area/State.

S.No.	States	Total Number of districts	Total no. of Clusters	Total No. of Artisans
1	Odisha	21	60	40542
2	Assam	21	32	16383
3	Madhya Pradesh	25	38	20995
4	Tamil Nadu	16	23	21542
5	Uttar Pradesh	30	40	21516
6	Bihar	8	9	5347
7	Tripura	2	2	650
8	Gujarat	11	13	6083
	Total of the above	134	217	133058

Second stage: The 8 selected states for the assessment of the scheme contain 134 districts and 217 clusters. It shall be noted that for Tripura and Gujarat, scheme evaluation will be done through secondary data analysis and Key informant interviews, whereas, for the rest of the states the assessment will be done using both Key informant interviews and Focussed group discussions.

Cluster selection from the states shall be done with the idea of conducting 50 focused group discussions (FGDs) across the country. Effort should be made to ensure that one FGD shall be conducted in each selected cluster. This implies that a sample of 50 clusters should be selected from the six states, which represents 24% (approx.) of the

total clusters of the sample states (202 clusters in total).⁹ The clusters shall be selected in the sample proportionally to the population clusters (i.e., sample clusters from each state accounts for 24% of the total population cluster of the respective state).¹⁰ Efforts shall be made to ensure that there are 10-15 participants in each FGD, this implies that a sample of 500-750 beneficiaries will be covered under the study. Efforts shall be made to conduct FGDs in newly formed clusters, to understand the impact of cluster formation on the beneficiaries in terms of intended scheme outcomes.

Based on the number of FGDs and clusters that shall be covered under the study from each state, the district selection shall be done based on the cost per artisan, number of clusters in the district and distance of cost per artisan of the district from the average cost per artisan of the state. An indicative list of districts for each state is placed at Appendix I.

The number of Key Informant Interviews to be conducted in each selected State, shall be at least 1.2 times the number of FGDs being conducted in each selected state, because key informant interviews will not only be done at cluster level but also at higher level that is at district and State level.

This gives the following sampling frame for districts and clusters that shall be covered in each state and the FGDs and KII that needs to be conducted for each state.

Table 1: Sampling framework for states where both FGDs and KIIs shall be done

S.No.	States	Total Number of districts	Total no. of Clusters(N)	Sample no. of Clusters (n= N*0.24)	Minimum Number of FGDs(n)	Sample number of Districts	Minimum Number of KIIs (k= n *1.2)
1	Odisha	21	60	14	14	4	17
2	Assam	21	32	8	8	3	10
3	Madhya Pradesh	25	38	9	9	4	11
4	Tamil Nadu	16	23	6	6	3	7
5	Uttar Pradesh	30	40	10	10	4	12
6	Bihar	8	9	3	3	2	4
	Total of the above	121	202	50	50	20	60(+1)

Table 2: States where only telephonic KIIs shall be done

S.No.	States	Total Number of districts	Total no. of Clusters	Minimum Number of KIIs
1	Tripura	2	2	5
2.	Gujarat	11	13	10
	Total of the above	13	15	15

⁹ This is after excluding Tripura and Gujarat.

(Number of Clusters in the sample ÷ Total number of clusters in the states) *100= (50÷202) *100 = 24%

¹⁰ Refer to Table 1: Sampling framework for states where both FGDs and KIIs shall be done

Table 3: Sampling framework of all the states selected for evaluation
(This is inclusive of Table 1 & 2 and includes National level KIIs)

S.No.	States	Total Number of districts	Total no. of Clusters(N)	Sample no. of Clusters (n= N*0.24)	Minimum Number of FGDs(n)	Sample number of Districts	Minimum Number of KIIs
1	Odisha	21	60	14	14	4	17
2	Assam	21	32	8	8	3	10
3	Madhya Pradesh	25	38	9	9	4	11
4	Tamil Nadu	16	23	6	6	3	7
5	Uttar Pradesh	30	40	10	10	4	12
6	Bihar	8	9	3	3	2	4
7	Tripura	2	2	N.A.	N.A.	N.A.	5
8	Gujarat	11	13	N.A.	N.A.	N.A.	10
9	National ¹¹	N.A.	N.A.	N.A.	N.A.	N.A.	20
	Total of the above	134	217(202+15)	50	50	20	95

However, it is important to note that these numbers are indicative and it is requested that the Consultant may suggest their methodology best suited to meet the objectives of the evaluation based on the preliminary analysis done by the consultant, which will need to be finalized after approval from the DMEO. However, the minimum number of FGDs indicated for each sample State should be adhered to. The minimum number of key informant interviews to be conducted in each sample State, indicated in the table, also needs to be adhered to as a part of the field study. The indicative list of KIIs is placed at Appendix I.¹²

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 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 to fine tune the inquiry tools. A brief on the learnings from such a pilot exercise and subsequent

¹¹ At least 1 KII should be conducted for each key informant mentioned in the indicative list in Appendix I.

¹² An indicative list of districts to be covered in each state is attached in Appendix I.

improvements in the tools/questionnaires should also be shared with NITI Aayog.

- iii. Use of mobile-based, near real-time and geo-tagged data collection and validation tools should be done to ensure efficiency and accuracy in data collection. Access to tools and data should be provided to the Authority

11. Indicative of stakeholders to be consulted - KIIs and FGDs, beneficiary surveys (as applicable)

An indicative (not exhaustive) 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.

12. 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.

13. Payment Schedule

The sanction orders will be issued for all the installments 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). ¹³
2nd	30	After submission of 1st Draft Report. Details in Guidelines for M&E Studies (MESD-2021).

¹³ Available at https://dmeo.gov.in/sites/default/files/2021-08/MESD_2021_0.pdf

3rd	30	After acceptance of Project Completion report. Details in Guidelines for M&E Studies (MESD-2021).
TOTAL	100	

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

14. Indicative Report Structure¹⁴

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)
 - 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:
 - a) Governance
 - b) Institutional mechanisms

¹⁴ This is an indicative report structure. This may change based on requirement of the study

- c) Convergence
 - d) Fund Flow efficiency & Utilization
 - e) Capacity Building
 - f) M&E systems
 - v. Process evaluation
 - vi. Interventions in Cross-sectional areas: a) Accountability & 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) Development, Dissemination & Adoption of Innovative Practices, g) Stakeholder & Beneficiary behavioural change, h)Research & Development, i)Unlocking Synergies with other Government Programmes, j)Role of Private Sector, Community & Civil Society/NGOs, i)Social Inclusion
 - 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.¹⁵

15. 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:

¹⁵ 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 Qualifications¹⁶	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.	MSME Specialist	Master's Degree (or equivalent) in Agriculture or related subject (s)	5 years
4.	Economist	Master's Degree (or equivalent) in Economics/ Agricultural Economics	5 years
5.	Junior Researcher	Master's Degree (or equivalent) in Economics/Statistics/ Management/ related subject (s)	1 year

16. 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.

17. Meetings

¹⁶ 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).

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.

18. 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.

19. Responsiveness of Proposal

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

- i. The Technical Proposal is received in the form specified at Annexure-II of Guidelines for M&E Studies (MESD-2021);
- ii. It is received by the Proposal Due Date including any extension thereof
- iii. It is signed and numbered
- iv. It contains all the information (complete in all respects) as requested in the TOR and Guidelines for M&E Studies (MESD-2021);
- v. It does not contain any condition or qualification; and
- vi. It is not non-responsive in terms hereof.

APPENDIX-I

REFERENCES

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

	Key Informant Interviews	Focus Group Discussions
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National*	Agro and rural industry division, Ministry of Micro, small and medium enterprises, Scheme steering committee, KVIC, Foundation for MSME Clusters (FMC), Council for Handicrafts Development Corporations (COHANDS), Central Tool Room and Training Centre, Bhubaneswar (CTTC), COIRBOARD, IEDO, IIEG, IMEDF, Indo-German Tool Room. J & K KVIB, KVIC, NIMSME, PPDC-Agra, UPKVIB, Other Nodal agencies, policy makers directly engaged in regeneration of traditional industries, traditional industry experts, civil society representatives, Technical agencies, etc.	N.A.
State	Concerned department of state government, State Government agencies like infrastructure/ industrial development corporations, , non-Government organizations (NGOs), institutions of the Central and State Governments and semi-Government institutions, field functionaries of State and Central Govt., (any other offices and officers related to the implementation of Scheme) etc.	
District	District Collector/Deputy Commissioner, Lead Bank/NABARD, NGOs, Cooperative Societies, Private Entrepreneurs (Any other offices and officers related to the implementation of Scheme)	
Cluster/ Village/ Town	Self Help Groups (SHGs), NGO's, Cooperative Societies, Cluster development executives, Panchayati Raj Institutions, IA representatives, SPV , machinery makers, raw material providers, entrepreneurs, institutional and private business development service providers. etc.	

*Includes Government, Academia, Think tanks, Multilaterals, NGOs, Experts, etc.

B. Table 2 Scheme level Output-Outcome framework

The Output- Outcome Framework for Scheme for Fund for Regeneration of Traditional Industries (SFURTI) is given below.

<i>Output</i>	<i>Indicator(s)</i>	<i>Outcome</i>	<i>Indicator(s)</i>
1. Regeneration of traditional industries	1.1 No. of new clusters set up	1 Improvement in the sustainability and	1.1 Branding/quality improvement of

sectors by taking up clusters and development their competitiveness and clusters governance.		competitiveness of clusters.	traditional industry related products.
	1.2 No. of SFURTI clusters made functional	2 Increase in wages of artisans	2.1 1.3. % Increase in average income of artisans in the treated clusters.
		3 Organization of traditional industries and artisans into clusters.	3.1 Percent of the targeted clusters that would be in operation
		4 Sustained employability for traditional Industry artisan and rural entrepreneurs	4.1 No. of Artisans provided with sustainable employment

C. Table 3: Indicative list of districts to be covered in each state:

S.No.	State	Districts
1	Odisha	i. Baleswar ii. Mayurbhanj iii. Rayagada iv. Bhadrak
2	Assam	i. Goalpara ii. Kamrup iii. Tinsukia
3	Madhya Pradesh	i. Betul ii. Balaghat iii. Bhopal iv. Ujjain
4	Tamil Nadu	i. Coimbatore ii. Salem iii. Vellore
5	Uttar Pradesh	i. Allahabad ii. Amethi iii. Lucknow iv. Mirzapur
6	Bihar	i. Madhubani ii. Muzaffarpur

D. Guidelines for Evaluation Methodology

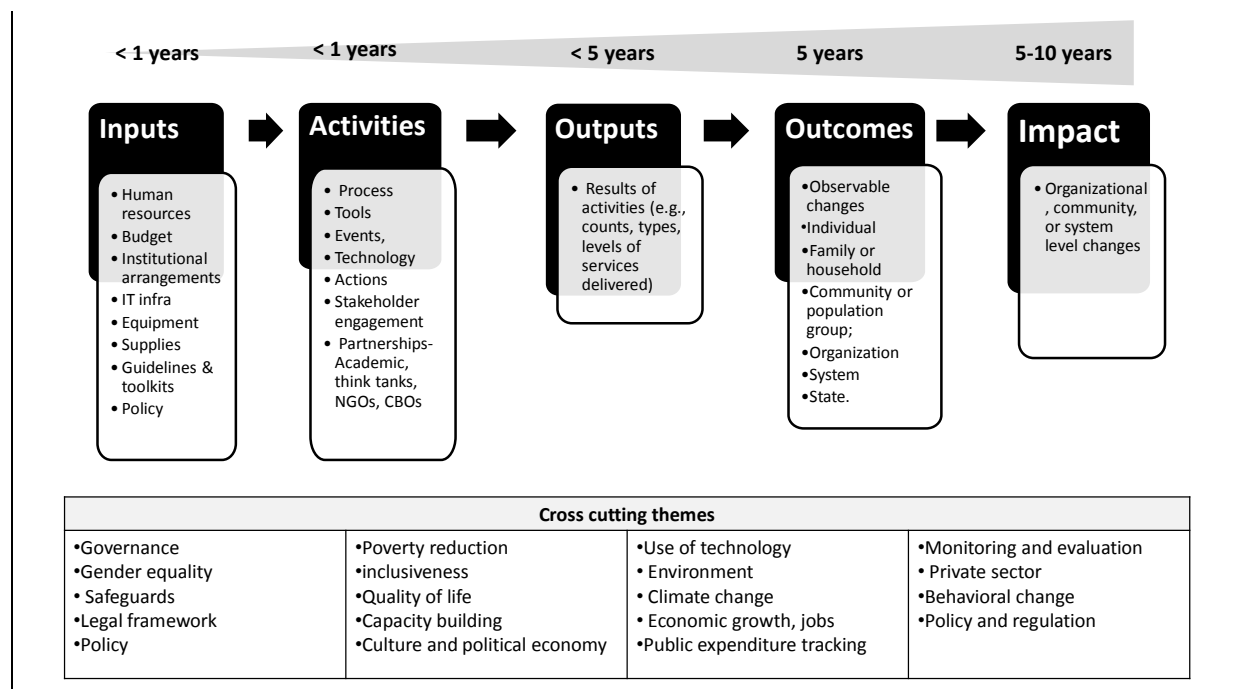
Logical Framework: Inputs, Activities, Outputs, Outcomes, and Impact

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

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

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

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



Cross Sectional Themes

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

Mixed Methods and Triangulation

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

Assessments using the core criteria of relevance, effectiveness, efficiency, sustainability, impact (REESI)¹⁷ and equity

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

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

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

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

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

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

¹⁷ ECG. 2011. Good Practice Standards for Public Sector Operations. Washington, DC: <https://www.ecgnet.org/documents/4794/download>

economic costs is generally needed to assess efficiency. Scheme economic performance indicators, such as the EIRR, net present value, and the benefit–cost ratio, are often used to determine whether the net gains from investing in a particular scheme will be enjoyed by society following scheme completion. Applying the traditional EIRR approach may not always be feasible, for instance for some social sector schemes, or for other schemes where benefits are not easy to quantify comprehensively. In such cases, alternative analytical methods may have to be used: least cost analysis, among others.

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

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

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

- a) *Sustainability and managing risks.* Assessments of sustainability should consider risks such as political, economic, institutional, technical, social, environmental, and financial events that might limit the extent to which the scheme’s achievements continue to be felt. The assessment should also consider the adequacy of risk mitigation measures.
- b) *Financial sustainability.* This can be assessed on a qualitative or a quantitative basis depending on the feasibility of assessing the scheme’s income (revenue) and expenditure flows. Financial viability for revenue-generating schemes is based on the estimated financial internal rate of return (FIRR) of these incremental cash flows. Key aspects of the financial sustainability of both revenue and non-revenue generating schemes are: the financial capacity of the agency involved, prospects for the demand for services or products, cost recovery mechanisms, and the availability of resources for O&M of the scheme outputs.
- c) *Institutional sustainability.* The assessment of institutional sustainability needs to consider factors such as the ability to ensure adequate levels of qualified human resources, finance, equipment and other inputs, and the suitability of organizational arrangements and

processes, governance structures, and institutional incentives. An institutional assessment may include an analysis of how the ownership, functions, structures, and capacity of scheme-related agencies affected scheme-related inputs and service delivery, including the institution's capacity to assume its identified role or mandate.

- d) *Environmental and social sustainability.* The scheme's likely medium- to long- term effects on natural resource management, pollution, biodiversity, and greenhouse gas emissions should form part of the sustainability assessment, if applicable. Close attention also needs to be paid to the effects of the scheme on social sustainability, for instance how the scheme is accepted by the local communities and stakeholders.

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

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

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

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

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

Tools for evaluation

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

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

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

- *Guide for Review of Documentation and Interviews with Policymakers, Managers, and Other Key Stakeholders:* From your perspective, what is the program trying to accomplish, and what resources does it have? What results have been produced to date? What results are likely in the next year or two? Why would the program produce those results? What are the program's main problems? How long will it take to solve those problems? What kinds of information do you get on the program's performance and results? What kinds of information do you need? How do you (how would you) use this information? What kinds of program performance information are requested by key stakeholders?
- *Guide for Review of Documentation and Interviews with Operating-Level Managers and Staff:* What are your goals for the project or program? What are the major project activities? Why will those activities achieve those goals? What resources are available to the project? Number of staff? Total budget? Sources of funds? What outputs are being delivered by the project? To whom? What evidence is necessary to determine whether goals are met? What happens if goals are met? What happens if they are not met? How is the project related to local priorities? What data or records are maintained? Costs? Services delivered? Service quality? Outcomes? Something else? How often are these data collected? How is this information used? Does anything change based on these data or records? What major problems are you experiencing? How long will it take to solve those problems? What results have been produced to date? What results are likely in the next two to three years?

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

Figure 2: Audience, questions, and information use

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

Quantitative Tools

The survey questionnaires will consist of standardized questionnaires as well as component specific variable questionnaires.

Generalizability of the findings

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

- a) To what groups or sites will generalization be desired?
- b) What is 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?
