Terms of Reference (TOR) for Evaluation of the Tea Board, Department of Commerce

1. Background

India is the second largest producer and the largest consumer of tea in the world. It has a diversified portfolio of single-origin teas like Darjeeling, Assam, Assam Orthodox, Nilgiri, Nilgiri Orthodox, Dooars-Terai, each of which has distinct aroma & flavour attributable to its geographical origin.

The Tea Board of India was set up as a statutory body on 1st April, 1954 as per Section (4) of the Tea Act, 1953. As an apex body, the Tea Board looks after the overall development of the tea industry. The Board consists of 32 Members, including Chairman and Deputy Chairman appointed by the Government of. The Board's Head Office is situated in Kolkata and there are two Zonal offices-one each in North Eastern Region at Jorhat in Assam and in Southern Region at Coonoor in Tamil Nadu. There also are 18 regional offices spread over in all the major tea growing states and four metros. A Small Grower Development Directorate was set up by Tea Board in 2013 in Dibrugrah, Assam, to support the burgeoning small growers of tea. 11 sub-regional offices were also instituted in regions with high small growers concentration
The functions and responsibilities of Tea Board include:
1. Increasing production and productivity of tea
2. Improving the quality of tea, market promotion,
3. Improving welfare measures for plantation workers
4. Supporting Research and Development. Collection, collation and dissemination of statistical information to all stake holders are yet another important function of the Board.
5. Regulating the producers, manufacturers, exporters, tea brokers, auction organizers and warehouse keepers through various control orders notified under Tea Act.

Keeping in view the major objectives of the Tea Board, one of its important functions decreed under the Tea Act is the formulation and implementation of development schemes. The schemes formulated by the Tea Board have the following aims:
1. Increasing tea production and productivity of plantations
2. Modernization of tea processing, packaging and value addition facilities
3. Encouraging co-operative efforts amongst small tea growers
4. Ensuring and promoting welfare measures for tea garden workers that are supplementary to the provisions of the Plantation Labour Act.
Major Schemes of the Tea Board are as follows:

Tea Plantation Development Scheme (2007-12):
The main objective of the Tea Plantation Development Scheme was to encourage the tea plantations in undertaking various field oriented developmental measures aimed at increasing field productivity and decreasing costs of production. This scheme was active from 1.4.2007 to 31.3 2012. The main components of this scheme were:
- Replantation/Replacement planting and Rejuvenation of old tea areas
- Creation of Irrigation facilities
- Creation of Drainage facilities

- Creation of Transportation facilities

Besides this there were also provisions in the scheme for promoting new planting by individual small growers in the North East region and in hilly areas of other regions with an altitude of above 2500 feet above MSL.

Tea Development and Promotion Scheme (2012-17):

The Government of India approved the formulation of a new scheme called the "Tea Development & Promotion Scheme (TDPS)" during the XII Five Year Plan (2012-2017) in 2014.The scheme has the following seven major components covering the broad areas of Tea Board's operation:
1. Plantation Development
2. Quality Upgradation and Product Diversification including Orthodox Production.
3. Market Promotion – Domestic and International
4. Research and Development
5. Human Resource development
6. Development of Small Growers.
7. National Programme for Tea Regulation.

The TDPS was continued through a Medium Term Framework (MTF) from 2017-18 to 2019-20, and was allocation an outlay of Rs.394.85 crores for the implementation of different scheme components of TDPS.
Detailed financial outlays for the different scheme components and the total number of beneficiaries in the MTF 2017-20 are provided in Appendix-I.

Other Ongoing Initiatives by the Tea Board:

Sector Specific Schemes based for the North East under NITI Forum for the North East:
Tea Board had submitted its final action plan under the Sector Specific Schemes for the NE Region under the NITI Forum for an amount of Rs.994.00 Crores before the Government for consideration. The activities under this would include the (i) Formation of Organic Value Chain (ii) Tea Tourism (iii) Quality enhancement (iv) Brand Building of tea and warehousing support.

Agriculture Export Policy: This policy targets the creation infrastructure for export by cluster formation in the Districts of Tinsukia, Dibrugarh and Sivasagar of Assam in order to increase the share of export of tea from the NE region with the total proposal of Rs.52.92 Crores. The proposal includes activities such as (i) Post - Harvest Infrastructure in Clusters (ii) Capacity Building (iii) New Technology/New Machinery Introduction (iv) GAP Implementation (v) Assistance for Product Development (vi) Assistance for Marketing (vii) Assistance for Research & Development.

PMKVY-RPL Program: Tea Board has taken initiative to provide training and skill recognition of about 14,700 tea garden workers through National Skill Development Council (NSDC) under the PMKVY. The progress made in this regard is presented in the following table:

S No.	State/UT	Targets Approved	Candidates Enrolled	Candidate Trained
1	Assam	6780	2162	
2	Kerala	979	477	
3	Tamil Nadu	2675	570	

S No.	State/UT	Targets Approved	Candidates Enrolled	Candidate Trained
4	Tripura	363	380	
5	West Bengal	3903	2972	
	Total	14700	6561	4971

Source: Annual Report 2019-20, Tea Board of India

India ranks second only to China in tea production. It also is the fourth highest exporter of tea. Tea industry is one of the biggest industries in India employing nearly 2.8 million workers[1]. There were 1,569 big growers and 2,10,552 small growers as assessed by Tea Board's baseline survey in 2018. There are many stakeholders in the tea industry who stand to benefit from the different scheme components of the TDPS. However, despite the interventions to augment production and improve workers' welfare through the scheme components of TDPS and its MTF, the achievements have been sub-optimal. Thus, it is imperative to evaluate the achievements of the schemes implemented by Tea Board with a parallel endeavour to assess the requirements for the future.

Geographical coverage

Major tea producing states are Arunachal Pradesh, Assam, Bihar, Himachal Pradesh, Karnataka, Kerala, Meghalaya, Mizoram, Nagaland, Sikkim, Tamil Nadu, Tripura, Uttarakhand and West Bengal. Assam and West Bengal are the traditional states where most big and small growers have been concentrated.

However, under the patronage of the tea board small growers have burgeoned in the remaining non-traditional states. For example some districts from Arunachal Pradesh, Bihar, Kerala and Tamil Nadu along with the traditional state of Assam and Bihar clearly show significant contributions to tea production by small growers.

2. Objectives of the Evaluation Study

a. Organisational Assessment of the Board

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

a) 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;
b) To study the organisational policies of the Board;
c) 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
d) To assess the adequacy, quality and utilization of the infrastructure, other physical assets and related facilities of the Tea Board offices and institutional units;
e) To assess the adequacy, qualification, capacities and salaries of the Tea Board staff (management, technical and administrative) and the processes employed to monitor and evaluate their performance;

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[1] ILO estimate - https://www.ilo.org/wcmsp5/groups/public/---ed_protect/---protrav/---travail/documents/projectdocumentation/wcms_765135.pdf

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. <u>Assess Relevance, Coherence, Effectiveness, Efficiency, Sustainability, Impact and Equity of the Board's Scheme(s)</u>

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,[2] 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.

RCEESI+E	Proposed Sub-Objectives of the Evaluation Study
Relevance	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. 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

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[2] 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)

RCEESI+E	Proposed Sub-Objectives of the Evaluation Study
	3. To assess the relevance of the implementation mechanisms/ modalities in place to identify leakages
Coherence	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.) 5. To assess if there are any conflict/ trade-offs with other programmes/ schemes 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.
Effectiveness	7. To assess the outputs achieved against the targets and inputs, and to identify scheme processes leading to successes and failures. 8. To identify the gaps and challenges in achieving the targets and implementation of the schemes 9. To analyse successes and challenges of the Board in monitoring, adoption of best practices, activity planning, accountability and transparency measures etc. 10. To examine the use of technology, monitoring and evaluation, and transparency and accountability measures to avoid leakages in the implementation of schemes. 11. To review the performance of relevant units that carry out the Board's activities (R&D, production, transfer of technology, quality labs etc.) and identify challenges leading to sub-optimal performance. 12. To document scalable/ replicable practices and innovative processes built by the Board. 13. To assess the effectiveness of the market development and quality assurance activities undertaken by the Board. 14. To assess the effectiveness of branding and other related initiatives undertaken by the board to increase the visibility and sales of Indian tea in international markets 15. To conduct a trend and potential analysis of exports of different Indian tea. The study would also assess India's performance in exports of tea and examine the effectiveness of Board's activities in optimally tapping the export potential of Indian tea
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
	program design constraints/provisions, adoption of technology, etc.) including gaps and failures 17. To assess whether the use of technology has enhanced efficiency of delivery including reduction in leakages. 18. To assess the funding efficiency and fund utilisation of the Board and its schemes
Sustainability	19. To assess the economic, social and environmental sustainability/ viability of various schemes that are implemented by the Board 20. To assess whether the assessed impacts of the scheme are sustainable even without the intervention/ after the scheme period. 21. To study the sustainability of the monitoring and accountability mechanisms created at the grassroots level. 22. To examine the viability of the delivery mechanism (governance, transfer of subsidy, IEC activities, etc.) built under the scheme. 23. To assess the level of adoption of climate resilient practices, and other environmentally sustainable practices 24. To examine the need for maintenance and related services of the machinery provided under the schemes of the Board (if applicable)
Impact	25. To study the impact of schemes and programmes of Board against its objectives and their role in the development of the tea sector in India. 26. To assess outcomes achieved against the baseline (if any) and targets 27. To identify if any scheme or other initiatives of the Board resulted in unintended adverse consequences.
Equity	28. To examine the accessibility and availability of the schemes to the poorest workers/growers' households and in the poorer regions across the tea producing states in the country. 29. To identify reasons for the regional variations in the tea productivity across their geographical locations. 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.

c. Value Chain Analysis

This component of the evaluation study requires a detailed assessment of the Tea 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 Tea 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 tea producing states (the states have been identified in the Sampling section of the TOR). The states to be covered are West Bengal, Assam, Tamil Nadu and Kerala.

d. <u>Rationalization/ Need for Restructuring</u>

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. <u>Key Informant Interviews & Focus Group Discussions</u> - 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 **113 KIIs** and **100 FGDs** are proposed to be conducted with the relevant stakeholders for the evaluation of the Tea 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

Data collection through FGDs and KIIs for the evaluation of Tea Board will be conducted in major tea producing states such as West Bengal, Assam, Tamil Nadu and Kerala. Besides this, KIIs will also be conducted in non-traditional tea growing states such as Bihar and Himachal Pradesh where tea production is low. The background data used for sample selection is placed in Appendix I.

A minimum of 113 KIIs should be conducted for the Tea 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 four major tea producing states in proportion to their production. Additionally, KIIs (virtual/ telephonic only) will also be conducted in the states of Bihar and Himachal Pradesh in order to ensure coverage of non-traditional tea growing states 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.

A minimum of 100 FGDs are to be conducted with plantation owners, tea pickers, other workers, beneficiaries etc. in the identified locations. The identification of the locations for the FGDs has been done based on district wise tea production data from 2017-18. The FGDs have been allocated to the districts commensurate to the total production (from the organised sectors or big growers and the small growers) in percentage terms out of total tea production in India. A total of 11 districts have been selected - 3 districts from West Bengal, 6 districts from Assam (4 of which have been identified and specified in table below and two other districts are to be identified based on agro-climatic similarity and potential for higher production. These two districts would be identified in consultation with DMEO) and 1 district each from Tamil Nadu and Kerala. Collectively, these 11 districts accounted for more than 70 per cent of total tea production in India. The following table provides an indicative distribution of the FGDs and KIIs.

| State | KIIs | FGDs | |
	Indicative no. of KIIs	District	Minimum no. of FGDs
West Bengal	26	Darjeeling	17
		Jalpaiguri	10
		Uttar Dinajpur	5
Tamil Nadu	11	Nilgiris	12
Assam	44	Tinsukia	14
		Dibrugarh	12
		Sonitpur	8
		Sivasagar	7
		District 5	6
		District 6	5
Kerala	4	Idukki	4
Bihar	4*	NA	NA
Himachal Pradesh	4*	NA	NA

National Level	20	NA	NA
Total	**113**		**100**
Virtual/ telephonic interviews only and secondary research			

In each district, selection of villages in general will be based on higher number of beneficiaries. In case of constraints in obtaining quantitative information on the village-wise beneficiary numbers, the selection may be based on discussions with relevance state and district authorities to this effect. 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 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:

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

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

8. Indicative Report Structure [4]

   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 Sector
      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

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[3] Available at https://dmeo.gov.in/sites/default/files/2021-08/MESD_2021_0.pdf
[4] This is an indicative report structure. This may change based on requirement and upon approval of DMEO.

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.   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. [5]

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[6]	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.	Tea Sector 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/	1 year

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[5] 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/*)
[6] For degrees obtained from the accredited foreign Boards/universities, the applicant shall furnish a self-declaration on the academic equivalence to the 'Minimum Educational Qualifications' as defined in Clause 2.2.2 (D).

S No	Key Personnel	Minimum Educational Qualifications[6]	Length of Relevant Professional Experience
		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 Receipts during the year 2019-20 under different Plan Schemes of TDPS

Scheme	Receipt for Plan Schemes 2019-20 (in Rs. Lakh)
Tea Plantation Development Subsidy Scheme	3531.12
Schedule Caste Sub Plan	542
Quality Upgradation & Product Diversification Scheme	109.03
Human Resource Development Scheme	339.64
Orthodox Tea Production Subsidy Scheme	2184.13
Market Promotion Scheme	812.71
National Programme for Tea Regulation	200
Research & Development Scheme	1901
Tribal Area Sub Plan	623.5
Total	10243.13

Source: Annual Report 2019-20, Tea Board of India

A.2 Subsidy Components under TDPS in 2019-20

Scheme Component	Allocation in Rs. Lakh
Plantation Subsidy Scheme	3736.2
Quality Up-gradation & product Diversification Scheme	108.97
Human Resource Development Scheme	339.46
Orthodox Tea Production Subsidy Scheme	2263.82
Market Promotion Scheme	816.04
Scheduled Caste Sub Plan	545.67
National Programme for Tea Regulation	254.22
Tribal Area Sub Plan	621.34
TOTAL	8685.72

Source: Annual Report 2019-20, Tea Board of India

A.3 Tea Production Data

State	Revenue District	Total Quantity in M Kgs in 2017-18		
		Organised Sector	**Small Growers**	**Total**
Arunachal Pradesh	Changlang	0.84	1.44	2.28
	Dibang Valley	0.26	0	0.26
	East Siang	0.79	0.39	1.18
	Lohit	1.19	4.84	6.03
	Longding	0.01	0	0.01
	Lower Dibang Valley	0.33	0.2	0.53
	Papum Pare	0	0.7	0.7
	Tirap	0	0.06	0.06
	Upper Siang	0.02	0	0.02
	West Siang	0.09	0	0.09
	Total	**3.53**	**7.63**	**11.16**

State	Revenue District	Total Quantity in M Kgs in 2017-18		
		Organised Sector	Small Growers	Total
Assam	Baska	3.08	0.28	3.36
	Bongaigaon	0.79	0.83	1.62
	Cachar	27.61	1.67	29.28
	Champai	0	0	0
	Darrang	2.33	0.43	2.76
	Dhubri	2.65	0	2.65
	Dibrugarh	66.83	54.72	121.55
	Goalpara	0.38	0.69	1.07
	Golaghat	29.79	33.63	63.42
	Hailakandi	10.8	0.44	11.24
	Jorhat	29.17	23.5	52.67
	Kamrup	0.75	0.63	1.38
	Karbi-Anglong	0.91	3.68	4.59
	Karimganj	6.69	0.22	6.91
	Kokrajhar	3.85	0.27	4.12
	Lakhimpur	10.24	2.17	12.41
	Morigaon	0.64	0.26	0.9
	Nagaon	10.83	1.33	12.16
	Sivasagar	37.93	34.68	72.61
	Sonitpur	58.18	26.1	84.28
	Tinsukia	63.69	88.28	151.97
	Udalguri	23.93	11.43	35.36
	Total	**391.07**	**285.24**	**676.31**
BIHAR	**Kishanganj**	**0.81**	**3.84**	**4.65**
Himachal Pradesh	**Kangra**	**0.37**	**0.48**	**0.85**
Karnataka	Chickmagalur	2.99	0.27	3.26
	Hassan	1.19	0	1.19
	Kodagu	0.92	0	0.92
	Total	**5.1**	**0.27**	**5.37**
Kerala	Idukki	39.21	7.7	46.91
	Kollam	0.15	0	0.15
	Palakkadu	2.19	0	2.19
	Thrissur	1.15	0.13	1.28
	Trivandrum	0.07	0	0.07
	Wyanad	9.76	3.52	13.28
	Total	**52.53**	**11.35**	**63.88**
Meghalaya	East Khasi Hills	0	0	0
	Ri-Bhoi	0.09	0.18	0.27
	West Garo Hills	0	0.2	0.2
	Total	**0.09**	**0.38**	**0.47**
Mizoram	**Total**	**0**	**0**	**0**
Nagaland	Mon	0	1.06	1.06
	Mokokchung	0	0.18	0.18
	Total	**0**	**1.24**	**1.24**
Sikkim	**Total**	**0.12**	**0**	**0.12**
Tamil Nadu	Coimbatore	27.52	0.94	28.46
	Kanniyakumari	0	0	0
	Nilgiris	31.45	100.04	131.49

State	Revenue District	Total Quantity in M Kgs in 2017-18		
		Organised Sector	Small Growers	Total
	Theni	3.12	0	3.12
	Tirunelveli	1.33	0	1.33
	Total	**63.42**	**100.98**	**164.4**
Tripura	Dhalai	0.5	0.56	1.06
	North Tripura	1.45	0.03	1.48
	Sipahijola	0.39	0.01	0.4
	South Tripura	0.21	0.06	0.27
	Unakoti	2.45	0.92	3.37
	West Tripura	1.64	0.5	2.14
	Total	**6.64**	**2.08**	**8.72**
Uttarakhand	Almora	0.02	0	0.02
West Bengal	Alipurduar	40.32	3.5	43.82
	Coochbehar	2.55	1.14	3.69
	Darjeeling	48.92	133.69	182.61
	Jaliapguri	74.93	28.07	103
	Uttar Dinajpur	13.02	41.72	54.74
	Total	**179.74**	**208.12**	**387.86**
ALL INDIA	**TOTAL**	**703.44**	**621.61**	**1325.05**

Source: Tea Board

A.4 No. of Tea Board Beneficiaries

State/Region	Small Growers	Big Growers	Total
North India (Himachal Pradesh, Uttarakhand and Bihar)	8856	170	9026
South India (Karnataka, Kerala and Tamil Nadu)	12988	12938	25926
North Eastern States (largest share by Assam)	65801	6232	72033
West Bengal	16459	9357	25816

Source: Tea Board

A.5. State-wise No. of Big Growers and Smaller Growers

S.No.	State	Big Growers*		Small Growers#		Total@	
		No.	Area (Hectare)	No.	Area (Hectare)	No.	Area (Hectare)
1	Assam	765	232399.35	101085	105291	101850	337690.35
2	West Bengal	451	114410.47	37365	33711.27	37816	148121.74
3	Others North India	111	11785.09	17513	38031.86	17624	49816.95

S.No.	State	Big Growers*		Small Growers#		Total@	
		No.	Area (Hectare)	No.	Area (Hectare)	No.	Area (Hectare)
4	**North India**	**1327**	**358594.91**	**155963**	**177034.13**	**157290**	**535629.04**
5	Tamil Nadu	133	29600.56	45765	33284.57	45898	62885.13
6	Kerala	93	30303.42	8497	5567.74	8590	35871.16
7	Karnataka	16	2171.74	0	0	16	2171.74
8	**South India**	**242**	**62075.72**	**54262**	**38852.31**	**54504**	**100928.03**
9	**All India**	**1569**	**420670.63**	**210225**	**215886.44**	**211794**	**636557.07**

*Big Growers, based on Baseline Survey, 2018
SG is based on assessment.
@Area, provisional, subject to revision.

Source: Tea Board

B. Indicative List of Stakeholders to be covered

	Key Informant Interviews	Focus Group Discussions
National*	Relevant officials from Department of Commerce overseeing activities of Tea Board such as Joint Secretary, Deputy Secretary of Plantation (A)-Tea from Export Industries Division, etc.; Relevant officials from Tea Board Head Office in Kolkata; 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.; Exporter Associations; Relevant government departments/authorities related to tea export	NA
State	Officials from two zonal offices in Jorhat and Cunnoor; Relevant officials from Small Grower Development Directorate in Dibrugarh, Assam; State level Tea Board officials (separately based on involvement in disbursing different components of TDPS); Assam – Relevant officers of Directorate of Tea, Industries and Commerce Dept.;	NA

	Key Informant Interviews	Focus Group Discussions
	Tamil Nadu - Relevant officials from Tamil Nadu Tea Plantation Corporation Limited (TANTEA), Forest Department; West Bengal – Relevant officials of Tea Plantation Employees' Welfare Board, Department of Labour; Kerala – Relevant officials from Special Scheme for the Small Tea Growers of Idduki District of Kerala; NE States – Relevant officials from Special Package for NE states under the small grower Development Scheme; State level research institutes, think tanks, civil society organizations, ICAR, etc. Exporters and Processors; Any other relevant organizations; Exporter Associations; Relevant government departments/authorities related to tea export	
District	Officials from regional Tea Board offices; Identified tea plantation; Cooperatives/councils in all prominent regions of tea cultivation; Tea Growers (small/big) traders associations; District/Municipal level community organisers; Officials from district level chamber of commerce, District level Tea growers' association, etc.	NA
Block	Sub Divisional Magistrate/Sub Divisional Officer/Block Development Officer; Cooperatives, Regional chamber of commerce, Block level Tea growers' association, etc.	Group of big growers and small growers, beneficiaries, Self Help Groups; Panchayati Raj Institutions; Tea Growers' Associations/ Cooperative
Village/Town	Gram Panchayat members; Growers' Clusters/Associations/ Cooperatives; Trader Associations/Collectives; Self-Help Groups (SHGs); Common facility centres, etc.; Group of farmers/growers;	Group of big growers and small growers, beneficiaries, Self Help Groups; Panchayati Raj Institutions;

	Key Informant Interviews	Focus Group Discussions
	Local NGOs, Cooperative banks and CHCs, local/regional chamber of commerce, etc.	Tea Growers' Associations/ Cooperative

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

C. Scheme level Output-Outcome framework

OUTPUTS		OUTCOMES	
Output	Indicators	Outcome	Indicators
1. Increase production, encourage small tea growers in collectivization and formation SHGs, providing incentives to exports, supporting welfare measures for the benefit of tea garden workers improve quality and value addition and change the product mix for producing more orthodox tea	1.1. Quantity of tea production (M.Kg)	1. Increase in production & productivity, quality improvement, specialty teas, efforts towards doubling the farmers' income. Bringing Small Tea Growers in value chain by formation of SHGs and FPOs. Upliftment of the weaker section of the society by bringing and adding them in value chain. Welfare of the workers and their dependents by providing assistance under Health, Education and training	1.1. % increase in production & productivity of tea plantation
	1.2. Area provided under replacemet planting/replanting (ha.)	2. Increasing Export Share, identification of potential export market	2.1. % increase in tea exports
	1.3. Number of new factories setup for production of green tea, orthodox tea and specialty tea	3. Development & licensing online solution; 1 Mobile app for Small Growers; 1	3.1. Implementation of eGiCCS – Online solution for Schemes and Licensing
	1.4. No. of SHGs/FPOs formation		
	1.5. No. of Research activities under research & Development		
	1.7. No. of welfare activities		
2. Increase domestic consumption & export of Indian tea	2.1. Quantity of tea exported (M Kg.)		
3. Technological innovation for the ease of doing business	3.1. Technological innovation for ease of doing business		

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.

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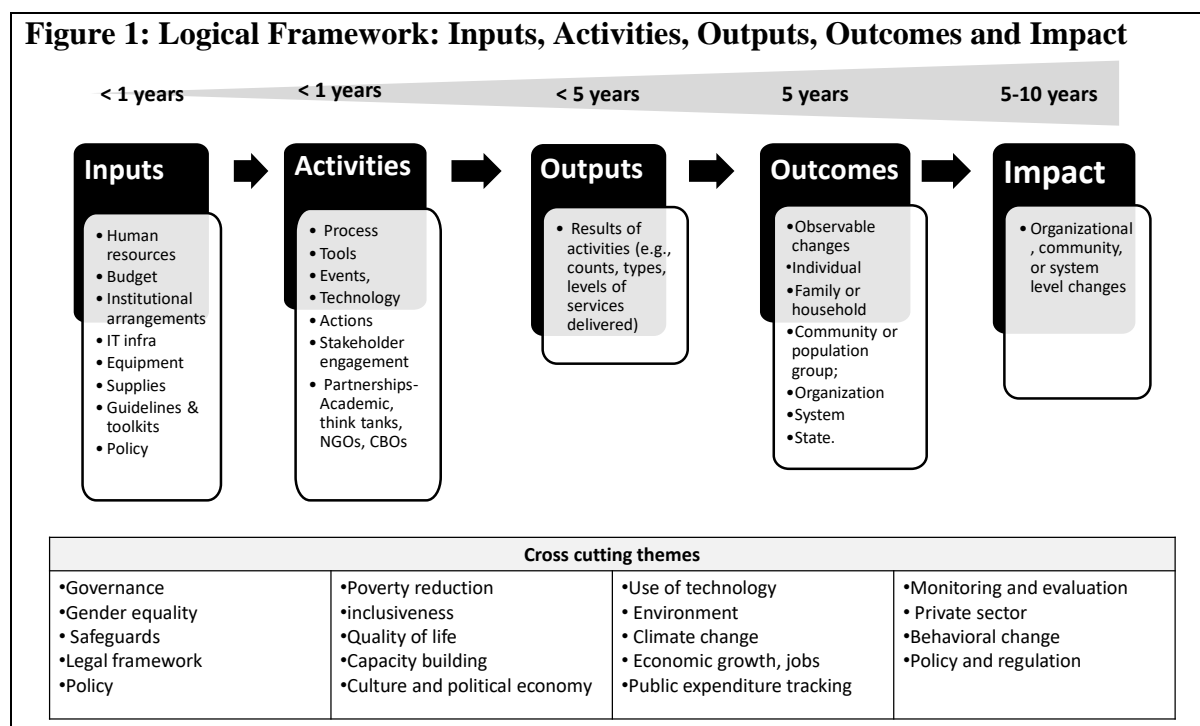
Cross Sectional Themes

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 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)[7], [8] 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.

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[7] ECG. 2011. Good Practice Standards for Public Sector Operations. Washington, DC:
https://www.ecgnet.org/documents/4794/download
[8] 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)

Coherence. This criterion has been added by OECD DAC Network on Development Evaluation in 2018-19.[9] 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 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.

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[9] 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)

Unit cost analysis case 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	Typical Questions
Audience	**Question**	**Information Use**		
For each focus area identified, list the audiences that are most likely to be the most interested in that area	For each focus area and audience identified, list the questions they might have about your program	For each audience and questions identified, list the ways and extent to which you plan to use the evaluation information	Program Management and Staff	• 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	• Did the program help me and people like me? • What would improve the program next time?
			Community Members	• Is the program suited to our community needs? • What is the program really accomplishing?
			Public representatives, NGOs, CBOs	• 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	• Is what was promised being achieved? • Is the program working? • Is the program worth the cost?

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?