

## Terms of Reference for the Study

### Evaluation of Forestry Works under Special Component Plan (SCP) and Tribal Sub-Plan (TSP) for the Period 2013-14 to 2016-17

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**TERMS OF REFERENCE**  
**FOR THE STUDY**

**EVALUATION OF FORESTRY WORKS UNDER SPECIAL COMPONENT PLAN (SCP)**  
**AND TRIBAL SUB-PLAN (TSP) FOR THE PERIOD 2013-14 to 2016-17**

**1. TITLE OF THE STUDY**

Evaluation of Forestry Works under Special Component Plan (SCP) and Tribal Sub Plan (TSP) for the period 2013-14 to 2016-17 in Karnataka Forest Department.

**2. DEPARTMENT IMPLEMENTING THE SCHEMES**

Karnataka Forest Department, Government of Karnataka

**3. BACKGROUND AND CONTEXT**

The Special Component Plan (SCP) (now SCSP) and Tribal Sub Plan (TSP) were introduced during seventies for the upliftment of the marginalized communities and bring them on par with general communities. The focus was on human development sectors mainly- education, health and livelihood and to end the major deprivations in these sectors. The purpose is to ensure adequate funds in various development sectors exclusively for the schemes benefiting these communities. In Karnataka in Forest Department the schemes implemented under SCP & TSP have the following broad objectives.

**3.1 OBJECTIVES:**

- To improve the Economic conditions of SC's and STs.
- To reduce the pressure on forests and achieve the stipulated target of tree cover outside forests (TOF).
- Bring in changes in the life style of the beneficiaries, besides Eco-restoration of areas.
- To reduce the bio-tic pressure on the forests.

**3.2 ACTIVITIES UNDERTAKEN BY THE DEPARTMENT UNDER SCP & TSP:**

**I. Social security plantation:**

To reduce the pressure on forest and facilitate livelihood improvement of the SC & ST beneficiaries by providing seedlings to plant in their lands & near their houses.

**II. Solar lamp:** To help in improving the life style of SC & ST families and to promote green energy.



**III. Sarala- ole, bio gas plant, solar home lighting, solar water heater & LPG gas stove:**

To provide fuel wood saving devices to SC & ST women and help in reducing pressure on the forests and thereby aid eco-restoration of forests and also improve the health of beneficiaries.

**IV. Supply of medri bamboos:**

To support SC & ST beneficiaries for earning their livelihood by preparation of baskets, mats, handicraft articles and agarbatti sticks etc, thereby helping in improving the economic conditions of the SC & ST families.

**V. Creation of fodder plot:**

To cater to the fodder needs of the cattle belonging to SC Families.

**Allocations incurred under SCP and TSP Schemes**

S.No	Scheme	2013-14	2014-15	2015-16	2016-17	Total
1	SCP	4023.35	6561.56	5754.93	8449.30	24789.14
2	TSP	4097.89	5859.00	-	-	9956.89

**4. EVALUATION SCOPE, PURPOSE AND OBJECTIVES:**

4.1 The study covers forest protection, development and conservation through community and individual beneficiary-oriented programs implemented and operated by Karnataka Forest department throughout the state during the period 2013-14 to 2016-17 under the following two schemes:

**i. SPECIAL COMPONENT PLAN (SCP)**

**ii. TRIBAL SUB PLAN (TSP)**

4.2 The Evaluation would be primarily on the list of works and other documents provided by the Additional Principal Chief Conservator of Forests (Development), and implementing Forest Circles, Divisions and Units. The works may be as follows;

- Raising of Social Security plantations (community/individual) in SC/ST colonies,
- Distribution of seedlings to SC/ST beneficiaries,
- Delivering individual/ community benefits to SC/ST beneficiaries

- Supply of Medri Bamboos and Wooden Poles to SC/ST beneficiaries
- Raising of Fodder Plots for SC/ST beneficiary
- Solar Home lighting, Solar water heaters,
- Smokeless Chullah [Saral-ole, Astra-ole], Gobar gas, LPG,
- Bee-hive boxes etc.

The purpose of evaluation is to assess the impact of the scheme on social and economic conditions of the beneficiaries.

#### **4.3 EVALUATION OBJECTIVES:**

- a) Examine the process of selection of beneficiaries, its appropriateness and transparency.
- b) Assess the coverage of the scheme across the regions, categories and gender.
- c) Examine the identification and planning of the activities and their appropriateness to the local conditions.
- d) Study the implementation process of the scheme across the regions in the State.
- e) Review the efficiency and functioning of monitoring mechanism for the schemes.
- f) Assess the impact of the Schemes on economic status of the SC/ST beneficiaries.
- g) Make a comparative analysis of the impact across all regions.
- h) Note the response from the field level rural people for the works.
- i) Utilization of assets by the beneficiaries.
- j) Get feedback from the micro level and modify the design/ implementation process to maximize the outcomes.

#### **5. EVALUATION ISSUES/ QUESTIONS:**

The Evaluation Study will cover all the works executed by the Territorial and Wildlife divisions of the Forests Department under the two schemes listed above. The basic evaluation issues are;



### **Beneficiaries and impact**

1. Examine efficiency and effectiveness of the implementation schemes to find out :
  - Whether the existing arrangements of selection of beneficiary are appropriate and transparent? Whether the beneficiaries belong to BPL & or APL?
  - What is the time taken for identification of beneficiaries? What is the procedure adopted across the regions for the selection of beneficiaries?
2. Whether the activities taken up under the scheme are as per guidelines and as per local requirements? Whether any effort is made to estimate local requirements?
3. Assess the livestock ownership of the SC/ST communities and examine to what extent the demand for fodder is met by the Fodder Plots activity?
4. Examine how far the Smokeless Chullah [Saral-ole, Astra-ole], and Gobar gas have helped women in making cooking safe for women, assess their functional status and whether the design is appropriate and suitable for women. Find out to what extent the requirement is met across the two communities.
5. How many LPG connections are given? Are there any variations across the circles/divisions and districts? Whether there are any problems in supply of Gas cylinders? What is the opinion of women about the scheme?
6. What types of seedlings are distributed to the communities? Find the survival rate of seedlings and estimate the flow of benefits from them.
7. What is the success rate of Social Security plantations under SCP/TSP schemes in terms of the following?
  - a. Whether seedlings have been planted as per the choice and requirement of beneficiary?
  - b. Overall and Species-wise survival rates with progressing age?
  - c. Species-wise performance in terms of girth, height and vigor?
  - d. What type of species is planted? Whether the species planted have got economical value and if yes what returns are expected by the beneficiary in the long run?
  - v. What factors contribute to mortality of seedlings in above plantations? How can they be addressed and mortality reduced?

8. What measures/interventions have been made to improve the survival percentage of Social Security plantations taken up under SCP/TSP schemes over the years? What has been the actual impact of raising plantations for the beneficiaries?
9. One of the basic objectives of the scheme is to improve the economic conditions of SCs and STs, to what extent it is achieved across the regions and groups. What is the impact of the income generating activities on the level of income of the households across the regions? Examine the sustainability of income flow in future.
10. Assess to what extent the pressure on forests is reduced by social security plantation and its contribution to achieve the stipulated target of tree cover outside forests (TOF).
11. Medri Bamboos and Wooden Poles are given to support SC & ST beneficiaries for earning their livelihood by preparation of baskets, mats, handicraft articles and agarbatti sticks etc, to what extent it has brought a change. What is the volume of production and business in sample households?
12. To what extent Solar lighting and solar water heaters have improved the quality of life of the communities across the regions. How the system is functioning?
13. What is the overall opinion of the beneficiaries about the schemes? Whether it has improved their social status?

#### **Scheme implementation**

14. Whether the schemes are implemented as per the guidelines and are there any deviations in the field?
  - Whether the grants under the scheme were utilized for the intended objectives/purposes. Whether funds are utilized fully and the targets are achieved?
  - Whether the quality of works is monitored effectively? How the certification is done?
15. Assess the functioning of monitoring mechanism under the two schemes. Examine its adequacy and efficiency.
16. Do the works pertaining to the evaluation period collectively contribute to the objectives of policy?



17. To what extent the works undertaken under these schemes serve the objectives of respective schemes? Which objectives have been fully addressed, which partly and which not at all?
18. Whether the schemes are saturated or what is the extent of requirement? What changes can be proposed in identification and implementation of the Schemes.
19. What schemes are undertaken under the program in other States, especially the neighboring States? Make a literature review. Whether any models can be applied in Karnataka with suitable modifications?
20. Whether the existing schemes to be continued? What are the suggestions to make the schemes more effective in future?

## 6. EVALUATION METHODOLOGY:

Type of data	Method of data collection	Source of information	Method and Tools
Primary data	1. Quantitative data	Beneficiaries	Survey, Observations
	2. Qualitative data	Beneficiaries,	FGD
		State level, district level, taluk level, GP level, officials & representatives	IDI-interview schedules
Secondary data	Data from the department, annual Reports, literature review	Department levels district and taluka levels.	On selected indicators relevant for the evaluation

### 6.1 SAMPLING DESIGN

The methodology includes preparing a list of all beneficiary-oriented works for each Division separately under both SCP and TSP schemes for the whole State.

- Sampling shall be done separately for SCP and TSP Scheme beneficiaries.
- Village shall be the unit of evaluation under both the schemes.
- Division wise/Village wise list of beneficiaries under different components of works like seedlings, distribution of LPG, Solar lighting, Bee box, Bamboos, Wooden Poles, Bio-gas etc shall be prepared.
- Now from the total number of villages from each division, of Villages shall be randomly selected for evaluation, separately for SCP and TSP schemes which is as follows;



### Sample for SCP Schemes

Sl. No	Benefit	Total No. of Villages	Villages sampled	%	Total No. of Beneficiaries	Beneficiaries sampled	%
1	LPG	11717	120	1.02	105748	1058	1.00
2	Solar Lamp	7089	75	1.05	40590	600	1.48
3	Poles	140	3	2.14	568	30	5.28
4	Sarala ole	900	60	6.67	9514	565	5.94
5	SWH	1350	24	1.78	4892	245	5.01
6	Fodder plot	63	3	4.76	103	30	29.13
7	Bio gas	322	4	1.24	601	30	4.99
8	Astra ole	179	8	4.47	1495	75	5.02
9	Bee Box	408	14	3.43	2681	135	5.04
10	SSP	88	4	4.55	183	30	16.39
11	FOP	164	4	2.44	356	30	8.43
<b>Total</b>		<b>22420</b>	<b>319</b>	<b>1.42%</b>	<b>166731</b>	<b>2828</b>	<b>1.70%</b>

Source: Estimated on the basis of data given by Forest Dept. GoK.

- Total sample of beneficiaries=2828 estimated at 95% confidence interval with 4% ME for major activities 5% for others & min. 30 for very small coverage activities
- 10 beneficiaries from each village, if not available to be taken from sample villages in other activities.
- Sample villages to be proportionately distributed across the forest circles.
- Minimum 30 samples of all components of beneficiary-oriented works.

### Sample villages for TSP activities

Sl. No	Name of Benefit	Total No. of Villages	Villages sampled	%	Total No. of Beneficiaries	Beneficiaries sampled	%
1	LPG	5653	60	1.06	45922	600	1.30
2	Solar Lamp	2764	60	2.17	13496	575	4.26
3	Poles	109	3	2.75	477	30	6.29
4	Sarala ole	359	17	4.75	3231	165	5.11
5	SWH	442	12	2.71	1211	120	9.91
6	Fodder plot	28	3	10.71	58	30	51.72
7	Bio gas	135	3	2.22	268	30	11.19
8	Astra ole	86	3	3.48	351	30	8.55
9	Bee Box	268	8	2.98	740	75	10.14
10	FOP	68	3	4.41	110	30	27.27
11	SSP	36	3	8.33	57	30	52.63
<b>Total</b>		<b>9948</b>	<b>175</b>	<b>1.76%</b>	<b>65921</b>	<b>1715</b>	<b>2.60%</b>

Source: Estimated on the basis of data given by Forest Dept. GoK



- Total sample of beneficiaries=1715 estimated at 95% confidence interval with 4% ME for major activities. Min. 30 for small activities.
- 10 beneficiaries from each village, if not available to be taken from sample villages in other activities.
- Sample villages to be proportionately distributed across the forest circles.
- Minimum 30 samples of all components of beneficiary-oriented works.
- **Focus Group Discussions one minimum at the division level where the sample activities are undertaken.**
- **Random sampling across the circles and divisions will be done at KEA**
- Some case studies and focus group discussions at village level for collection of qualitative data to understand and analyze the processes shall be collected and documented.
- In depth interviews with Department officials and local representatives to get the necessary information and feedback needs to be done.

## 6.2 PRIMARY DATA COLLECTION

The Consultant is expected to visit the work spots/ villages randomly selected and provided to them by Karnataka Evaluation Authority as per the above mentioned sampling method. They are required to evaluate the quality of the Works/Assets given, the impact/ benefits received by the people, utility, functionality, usage, usefulness and appropriateness etc. the unit once selected for sampling shall not be changed. Evaluation should be initiated under prior intimation to the local jurisdictional staff.

- 6.3 The Consultants are required to collect the field data on the Android App developed by ICT wing of Karnataka Forest Department for Third Party Evaluation (TPE). A training shall be provided to the successful consultant about the use of app. The consultant is expected to use the mobile app and capture the evaluation data through devices (tabs/ smart phone with additional battery backup) on the spot along with geo-referenced and annotated photos of the works and upload them to the departmental website as soon as the internet connectivity is available. The Client may

suggest common configuration to all the Consultants for compatibility purpose which the Consultants must reckon. The backend application software, evaluation formats etc., will be hosted on the departmental website. Consultants will be given privileged access to the sample data relevant to their Evaluation Unit on the website. Client will not supply the android equipment. Consultants must procure the same.

6.4 **SECONDARY DATA COLLECTION:**

The Consultant should examine relevant expenditure related documents in office, visit the work spots, examine the overall impact, interact with the beneficiaries and record their satisfaction level about the scheme implementation.

6.5 Sample data shall be collected in quantitative form generally. Where appropriate, it may be qualitative or mixed. No field in the mobile format should be left vacant while uploading the data.

6.6 Documentation of success stories shall be also done in print and audio/video format (CDs).

7. **Deliverables and time schedule**

The whole study is to be completed within 6 months from date of getting confirmed evaluation assignment. The evaluating agency is expected to adhere to the following time lines and deliverables

**Deliverables and time schedule**

1. Work plan submission/Inception report	:One month after signing the agreement
2. Field Data Collection	: Three months
3. Draft report submission	: one month after Field Data Collection
4. Final report submission	:One month after Draft report submission
5. Total Duration	: 6 Months



## **8. QUALITIES EXPECTED FROM THE REPORT :**

The evaluation report should generally confirm to the United Nations Evaluation Guidelines (UNEG) "Standards for Evaluation in the UN System" and "Ethical Standards of Evaluations".

- a) The results should correspond to the ToR. In the results chapter, each question of the ToR should be answered. The overall results to be analysed in an integrated way to draw the conclusions.
- b) The report should be complete and logically organized in a clear but simple language. Evaluation report should confirm to the standard report writing style and structure.
- c) The report should present a comprehensive review of the Scheme/ programme in terms of the content, implementation process, adequacy, information and access to beneficiaries.
- d) The Report should provide a scientific assessment of the impact of the SCP /TSP works taken up in Forest department on Livelihood and economic conditions of the SC& ST people in Karnataka. The qualitative data should be used in an unbiased manner to support or for further analysis of and reflections from the quantitative data. The analysis should provide adequate space for assessing the variations across the regions and categories. Case studies shall be presented to bring out the realities at the local level.
- e) With regard to recommendations, the number of recommendations is not a measure of the quality of evaluation. The report should come out with specific recommendations based on adequate field evidence for any modifications in the programme design, content, implementing procedures, and any other modifications to improve the access and impact of the Scheme/Programme. The recommendations should be short term to bring in mid course corrections and the long term to bring about modifications/ change in the policy.

## 9. STRUCTURE OF THE REPORT:

The following are the points, only inclusive and not exhaustive, which need to be mandatorily followed in the preparation of evaluation report:

By the very look of the evaluation report it should be evident that the study is that of Forest Department Govt. of Karnataka and Karnataka Evaluation Authority (KEA) which has been done by the Evaluation Consultant Organization. The report should be complete and logically organized in a clear but simple language. Besides conforming to the qualities covered in the Terms of Reference, report should be arranged in the following order:

1. Title and Opening Page
2. Index
3. List of acronyms and abbreviations
4. Executive Summary- A stand alone section that describes the program, purpose and scope of evaluation, research design and methodology, key findings, constraints and recommendations. It should be brief and precise not exceeding 6-7 pages.
5. Background- A section that briefly covers the history or genesis of the sector under which the programme/scheme being evaluated covered. It should give recent fact sheets taken from reliable and published sources.
6. Objectives and performance of the program being evaluated- This section will include the stated objectives of the programs and the physical and financial achievements of the selected program in the period of evaluation. It should cover the description of the target group, aim of the program and method of selection of beneficiaries.
7. Review of literature/past evaluation reports.
8. Evaluation Methodology - This should include research design, sample design and size, questionnaire design and pilot test, data collection and quality assurance plan.



9. Findings of the evaluation study.
10. Case Studies, Best Practices
11. Limitations/constraints in the evaluation study.
12. Recommendations that flow from the evaluation.

**ANNEXURES:**

1. Sanctioned Terms of Reference of the study.
2. Survey tools and questionnaires
3. List of persons interviewed.
4. Place, date and number of persons covered by Focus Group Discussion.
5. Additional documents

**10. ADMINISTRATIVE ARRANGEMENTS:**

The Forest Department and KEA will provide the necessary information pertaining to the study and also co-operate with the consultant organization in completing the assignment task within the stipulated time period. The forest department will provide all the details of the works undertaken at various levels till the village level and the list of beneficiaries. The concerned district and taluk officials will be instructed by the Forest Department for providing the required information/data at the taluk and GP levels.

It is expected to complete the present study in 7 months time line, excluding the time taken for approvals at KEA.

**11. QUALIFICATION OF THE CONSULTANTS:**

Consultants are expected to have at least minimum 5 years of experience in undertaking evaluation studies in Forest/Natural Resource management area. They should have the following key professional staff in their team:

S.No	Subject Experts Requirement	Qualification
1.	Principal Investigator: Retired Forest official (not below the rank of Chief Conservator of Forests)/ Social Welfare Officer (not below the rank of Joint Director / First class MSc in Life Sciences/ Forestry. Ph. D is preferable.	With at least 05 years of experience in relevant field.
2.	1 <sup>st</sup> Core Team Member: Post graduate in sociology/ Social Work/ Women's Studies preferably a woman	With at least 3 years of experience in relevant field.
3.	2 <sup>nd</sup> Core Team Member: Data Analyst Post Graduate in Applied Statistics/ Computer Science/ MCA	With at least 3 years of experience in data analysis.

**12. COST SCHEDULE OF BUDGET RELEASE:**

Output based budget release will be as follows

1. The first instalment of consultation fee amounting to 30% of the total fee shall be payable as advance to the consultant after the approval of the inception report, but only on execution of a bank guarantee of a scheduled nationalised bank, valid for a period of atleast 12 months from the date of issuance of advance
2. The second instalment of consultation fee amounting to 50% of the total fee shall be payable to the consultant after approval of the draft report.
3. The third and final instalment of consultation fee amounting to 20% of the total fee shall be payable to the consultant after the receipt of the hard and soft copies of the final report in such format and no prescribed in the agreement along with all original documents containing pay and secondary data, processed data outputs study report and soft copies of all literature used in the final report.
4. Taxes will be deducted from each payment as per rates in force. In addition, the evaluating agency/ consultant expected to pay service tax as their end.



13. **SELECTION OF CONSULTANT AGENCY FOR EVALUATION:**

The selection of evaluation agency should be finalized as per provisions of KTPP Act and rules without compromising on the quality.

14. Contact person for further details:

- Nodal Officer, Karnataka Forest Department Government of Karnataka.
- Consultant (Evaluation) KEA

-Sd-

**Chief Evaluation Officer  
Karnataka Evaluation Authority**

*Chaya*  
ToR Prepared by  
(Dr. Chaya Degaonkar)



## ANNEXURE-1

### Scheme 1: SPECIAL COMPONENT PLAN (SCP)

### Scheme 2: TRIBAL SUB PLAN (TSP)

Both SCP and TSP are beneficiary oriented schemes. Generally, the main objectives, purpose and attributes of both the above schemes are as follows;

#### I. Activities:

##### 1. Social Security Plantation:

i. To reduce the pressure on forest and facilitate livelihood improvement of the SC & ST beneficiaries by providing seedlings to plant near their houses.

ii. Solar lamp: To help in improving the life style of SC & ST families and to promote green energy.

##### 2. Sarala- ole, Bio Gas Plant, Solar Home lighting, SolarWater Heater & LPG gas Stove:

To provide fuel wood saving devices to SC & ST women and help in reducing pressure on the forests and thereby aid eco-restoration of forests and also improve the health of beneficiaries.

##### 3. Supply of Medri bamboos:

To support SC & ST beneficiaries for earning their livelihood by preparation of baskets, mats, handicraft articles and agarbatti sticks etc, thereby helping in improving the economic condition of the SC & ST families.

##### 4. Creation of Fodder Plot:

To cater to the fodder needs of the cattle belonging to SC Families.

#### II. Objectives:

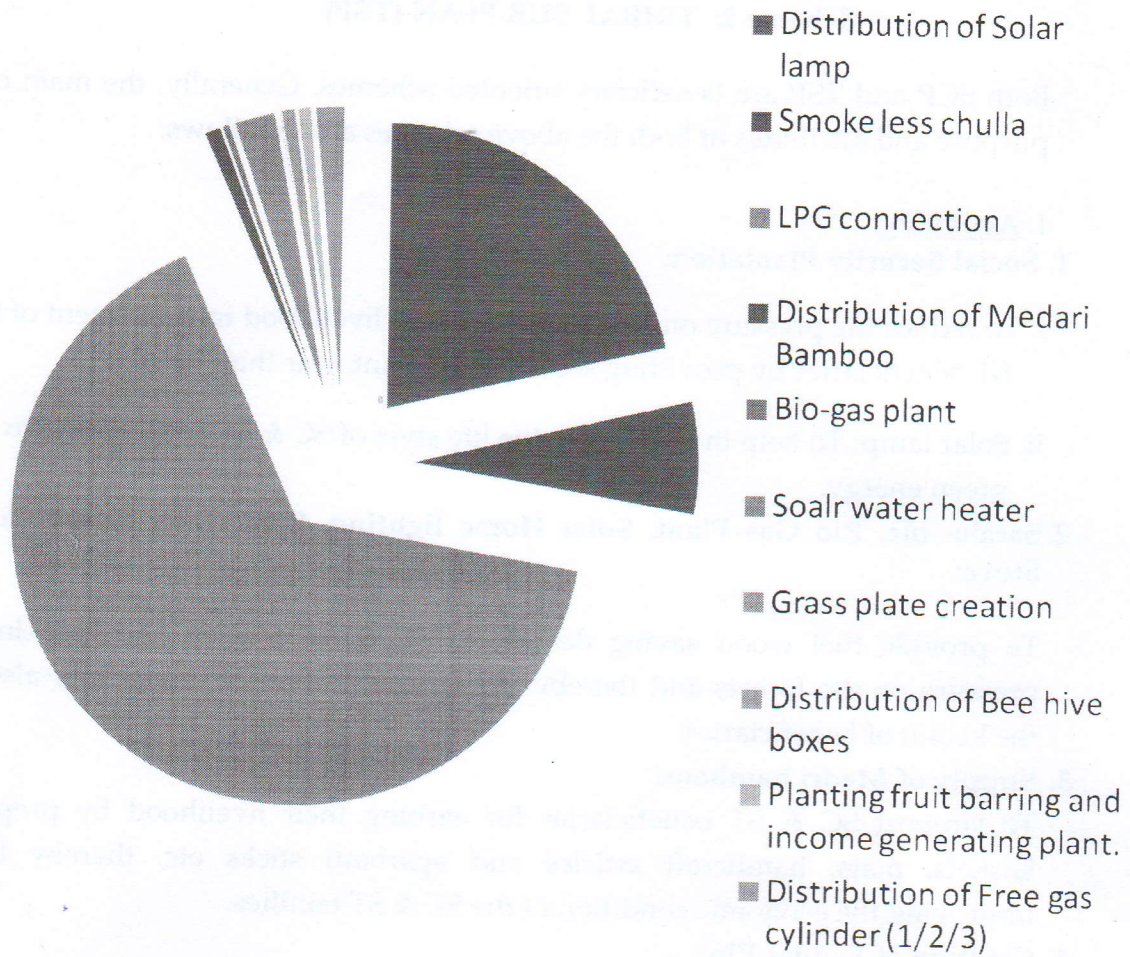
1. To improve the Economic condition of SC's.
2. To reduce the pressure on forests and achieve the stipulated target of tree cover outside forests (TOF)
3. Bring changes in the life style of the beneficiaries, besides Eco-restoration on.
4. Helps in reducing the bio-tic pressure on the forests.

#### III. Purpose:

1. Improve the Economic condition of SC beneficiaries.
  2. Help in reducing the pressure on the forests
- .....



**DISTRIBUTION OF SCHEME ACTIVITIES ACROSS DIFFERENT CATEGORIES**



Source: KFD website