

Guidelines for Evaluation studies to be conducted through the Universities / Research Institutions

1. Introduction

1.1 The General Body of Karnataka Evaluation authority in its meeting held on under the chairmanship of Chief Secretary Govt. of Karnataka, it was resolved that Karnataka Evaluation Authority should engage with State Universities / Research Institutions in Evaluation studies to enhance their capacities in research and evaluation. In turn, KEA and the Government can also expect quality evaluation of the Government schemes and programmes and get a feedback to achieve better outcomes. Out of 50 evaluation studies to be taken up in next two years, 25 may be done through the Universities / Research Institutions.

2. Objectives

2.1 To develop the Universities / Research Institutions as Centers of Research and Policy Analysis and bridge the gap between academicians and policy makers.

2.2 To involve the Universities / Research Institutions in evaluation of Government Programmes and schemes and get suggestions and feedback to redesign the programmes/schemes and improve the implementation of the scheme for enhanced outcomes.

2.2 To promote social accountability among the Universities / Research Institutions through engaging them with the community.

2.3 To encourage Universities / Research Institutions to provide consultancy to the government, and society at large on vital issues of State and National importance.

2.4 To help the Universities / Research Institutions to develop Research and Evaluation capacities that may help them to get higher rating and grade.

3 Eligibility/ Target Group

3.1 All the State Universities / Research Institutions coming under the Karnataka State Universities Act 2000 and governed by Dept. of Higher Education, Govt. Karnataka are eligible for taking up the studies for evaluation. There are 28 State Universities and National Research Institutions in Karnataka. (Annexure-1). The Research institutions will also be allowed to participate in this process.

4 Procedure for selection

4.1 The studies may be taken up through the State Universities / Research Institutions on Quality and Cost Based Selection (QCBS) method as per the KTTP Act 2000 and existing guidelines in KEA. The following procedure shall be adopted to select the University/ Research Institutions to undertake the project as per QCBS method.

4.2 The Universities / Research Institutions will be grouped into specific sectors/ subjects based on the expertise available with them. These sectors are

- Social Sectors (Education, Health and Family Welfare, Women & Child Development, Social Welfare, backward classes and Minorities Welfare Food and Civil Supplies & Youth services).
- Natural Resource Management sectors(Agriculture, Horticulture, Forestry and Environment, Fisheries, Mining, Animal Husbandry & Co-operation).
- Commerce, Industries, and Infrastructure Sectors (Roads, Housing, Transport, Energy, Water Resources, Irrigation etc.)
- Governance sector (DPR, Home, Planning, Finance, e-Governance. IT, BT & Science &Technology, Revenue, Law Labour etc.)
- Language, Art & culture.

The classification of Universities / Research Institutions will be overlapping as Universities / Research Institutions may have technical expertise in more than one category. (Tentative classification is given in Annexure-2).

4.3 The Request for Proposal (RFP) for a project will be floated among the group of eligible Universities / Research Institutions in the category to which the project belongs. The University/ Research Institutions (Consultant Organization) will be selected under Quality-and Cost-Based Selection (QCBS) as per the procedures specified in the RFP.

4.4 The Proposal (Technical Proposal and Financial Proposal; shall be prepared and submitted online in e-Procurement portal. The relevant Forms and the other information shall be signed by the authorized signatory and the scanned copy shall be uploaded in e-Procurement portal (preferably in pdf format).

4.5 A Desk Appraisal of the proposals from different Universities / Research Institutions will be undertaken at KEA to review the proposal with regard to requirements of the study team proposed as per the Terms of Reference (ToR) for the study and other conditions. In exceptional cases, if services of a technical expert are required, the same may be hired by the University/ Research Institutions/ Team depending on the hiring policy of the University/ Research Institutions. The Teams that fulfill the requirements will be shortlisted for presentation of technical proposals.

4.6 The study Team (along with a representative from the University/ Research Institutions administration) of the Universities / Research Institutions will be called for presentation. The Principal Investigator shall present the technical competence and other details of the technical proposal to the tender evaluation committee. If the Principal Investigator is unable to be present physically at the time of the technical proposal presentation, under exceptional circumstances with adequate justification and if the first member is equally competent, the first member will be allowed to make the presentation. The decision of KEA is final in this regard.

4.7 The Tender Evaluation Committee will assess the CV of the Team members and allot the scores based on the criteria given in Part IIA of the technical proposal. The presentation made by PI will also be assessed by the tender Evaluation committee as per the criteria given in Part IIB of the technical proposal

4.8 The Universities / Research Institutions/Teams that score 60% in part IIA and B will be qualified for opening the financial bids.

4.9 The lowest Financial Proposal (Fm) will be given a financial score (Sf) of 100 points. The financial scores (Sf) of the other Financial Proposals will be computed as indicated in the RFP. Proposals will be ranked according to their combined technical (St) and financial (Sf) scores using the weights (T = the weight given to the Technical Proposal; P = the weight given to the Financial Proposal; T + P = 1) indicated in the RFP: $S = St \times T\% + Sf \times P\%$. (The ratio is 80:20).

4.10 The Universities / Research Institutions will be listed based on their combined technical and financial score in descending order. The University/ Research Institutions that has highest score will be invited to take up the project/ study. Negotiations will be conducted if necessary.

5 Process for conducting the study

5.1 A MoU will be signed with the Registrar of the University/ Research Institutions. The University/ Research Institutions will follow the Time schedule for Evaluation as per the MoU and the study will be completed within the time period specified in Terms of reference for the study.

5.2 The University/ Research Institutions is not to change key personnel listed in the ToR and associated with the evaluation study till the final evaluation report is submitted. If for reasons beyond the control of the University/ Research Institutions, it becomes necessary to replace the key personnel, the University/ Research Institutions shall forthwith provide a replacement with a person of equivalent or better qualification acceptable to KEA.

5.3 The PI will submit a progress report about the work done for every two months. The PI will attend the review meetings conducted by KEA and report about the progress of work and seek any clarifications required.

5.3 The evaluation report should generally confirm to the United Nations Evaluation Guidelines (UNEG) “Standards for Evaluation in the UN System” and “Ethical Standards for Evaluations’. The report should be complete and logically organized in a clear but simple language, besides conforming to the issues covered in the Terms of Reference.

5.4 The Draft Evaluation Report received will be reviewed by KEA and will be sent to the Department and Independent Assessor /Subject Expert of KEA for comments. The report will be revised accordingly by the Principal Investigator. The PI is expected to make a comprehensive presentation of the draft report to the Technical Committee of KEA on the time, date and venue fixed for the purpose. The Committee, after examining the report in detail and taking note of the details as elaborated in the presentation, can either accept or express the need for modifications and / or supplementary work. After making the necessary corrections, the final draft report will be submitted for approval by KEA. The necessary approval is given by KEA after ensuring that all the revisions are carried out by the PI as suggested by KEA, Department, Independent assessor and Technical Committee of KEA.

6. Procedure for the Release of the grants

- a. The **first installment** of Consultancy fee amounting to 30% of the total fee will be payable **as advance** to the University/ Research Institutions after the approval of the inception report.
- b. The **second installment** of Consultancy fee amounting to 50% of the total fee will be payable to the University/ Research Institutions after the approval of the Draft Evaluation report by Technical Committee.
The Second Party can claim first and second installment of consultation fees together on approval of the draft report by KEA.
- c. The **third and final installment** of Consultancy fee amounting to 20% of the total fee will be payable to the Consultant after the receipt of the hard and soft copies of the final report in such format and number as prescribed in this agreement, both in Kannada and English versions along with all original documents containing primary and secondary data, processed data outputs, study report and soft copies of all literature used to the final report.
- d. The Registrar/ Finance officer of the University/ Research Institutions who will take full responsibility for making payment to PI and the project staff so engaged for this study promptly and fairly and will not create any obligations to KEA to clear any pending payments.

7 Penalties

A penalty is levied if it is found any time that the University/ Research Institutions/ PI:

- i) Has secured this evaluation work by misrepresentation of facts or by deceit; or
- ii) has engaged in corrupt, fraudulent, collusive, coercive or obstructive practices at any time; or
- iii) has indulged in malpractices such as plagiarism; or
- iv) committed any illegalities which may attract criminal liability;

The agreement shall be cancelled forthwith after giving a notice in writing and giving an opportunity of being heard. If the charge is proved, all payments due to the Consultant shall be kept on hold.

8 Miscellaneous

- a. That the University/ Research Institutions will maintain total confidentiality of the data, facts, findings and recommendations of the study. It shall not disclose any confidential information acquired in the course of the study to any person / entity without the prior written consent of KEA till there port is approved by the concerned Department and KEA.
- b. That the role conflict faced by the University/ Research Institutions, if any, perceived at any time of the study, shall be fully and properly disclosed to KEA without any loss of time.
- c. That after completing the study, the University/ Research Institutions will submit all original documents containing primary and secondary data, processed data outputs, study report and soft copies of all the literature cited in the final report to KEA along with the final reports. The University/ Research Institutions, & the staff or agents shall NOT involve in any unauthorized use of the data or information.
- d. That the University/ Research Institutions will not disclose any information regarding the project in media, press, blog and other types of social media till the report is approved by KEA.
- e. The Principal Investigator may publish papers out of the project under second / third authorship to KEA.
- f. KEA will facilitate the evaluation study in all possible and tenable ways. It agrees to issue a letter of authorization to the Consultant to access the available official records, documents, data and reports, etc., connected with the study and also for seeking interviews with key personnel connected with the execution of the programme and policies relevant to the study.
- g. Copy right of the data and reports shall vest with KEA. Data, information and reports generated during the evaluation study shall be the property of KEA. Copy right of the survey formats, raw data, pictures, maps, reports and any other documents generated during the study shall vest with KEA. The University/ Research Institutions cannot make use of such materials or ideas for any other purpose or transfer it to a third party without the prior written permission of KEA.
- h. KEA has a right for periodic spot check and /or verification of data collected, either directly, or through their subordinate officers to ascertain the rigor and quality of field work. The PI agrees to make good the defects, if any, observed during such checks / verifications.

9 Grievance Redressal Mechanisms

If any party is aggrieved by any direction or order of KEA, he / she/they shall try and sort out the matter amicably by mutual consultation. If the matter could not be resolved, then the same shall be submitted in writing and a notice to this effect shall be served on the other parties as soon as possible. The other parties shall consider such a notice and make every effort for removing the difficulties. If it could not be so resolved, then the aggrieved party may appeal to the Additional Chief Secretary/Principal Secretary/Secretary, Planning, Programme Monitoring and Statistics Department, Government of Karnataka, whose decision in the matter will be final and binding on both parties.