



**Government of Karnataka
Karnataka Evaluation Authority**

542, 5th Floor, 2nd Stage, MS Building,
Dr Ambedkar Veedhi, Bangalore - 560 001
Phone No: 080 - 22353938, 22032561, 22283541
E-mail: keapd2011@gmail.com



No. KEA 153 EVN 2014

Date: 14.11.2014

Sir,

Sub: ToR for Evaluation of Forestry Works of
2009-10 to 2013-14.

Ref: This office ltr of even No dated: 20-10-2014.

Please find enclosed here with the approved Terms of Reference for the evaluation study of Forestry Works of 2009-10 to 2013-14. This ToR was approved in the Technical Committee Meeting held under the chairpersonship of the principal secretary to government planning department on 05.11.2014 at 11.00 A.M. A copy of the approved ToR is sent here with for further necessary action.

Thanking You,

Yours Faithfully

(S.A.Katarki)

Consultant, (Evaluation)

Karnataka Evaluation Authority

To,
Sri. Ashok Basargod IFS,
CCF Evaluation, Forest Dept.
Aranya Bhavan,
Malleshwaram,
Bangalore.

Terms of Reference
for the Internal evaluation of forestry works carried out
during 2009-14

1. Title: The study is titled as '*Evaluation of Forestry Works of 2009-10 to 2013-14*'.

2. Background and the context: Forests have a significant role to play in mitigating climate change, conserving natural biodiversity and preserving the watershed functions of the region besides meeting the consumptive needs of human beings. Sustainable development and management of forests have intergenerational implications. In recognition of this, the National Forest Policy (1988) set an objective of increasing the tree cover to 33% in the country as a whole. Karnataka state has 22% of green cover as of now and has been making sincere efforts to meet the national forest policy objectives Existing forests are conserved and green cover is sought to be extended to other government lands and also to private lands through as many as 50 different schemes/programs at an average annual cost of Rs.440 crore. Forest Department intends to appraise itself of the outcome of efforts being made in the last five years (2009-10 to 2013-14). Consistent with the state government policy on evaluations (2011), it is proposed to offer these evaluations to competent external consultants get the studies completed during the current financial year and use the findings for making further improvement to the processes and activities being pursued. Findings will be submitted to the state and central governments. They will also be placed in the public domain. Hence the studies should be professional and unbiased.

3. Evaluation scope, purpose and objectives: The study covers evaluation of forest protection, development, conservation and associated works implemented

by the department during the financial years 2009-10, 2010-11, 2011-12, 2012-13 and 2013-14 under various schemes implemented throughout the State of Karnataka. However, it excludes works carried out under six schemes namely CAMPA, FDA, Thirteenth Finance Commission, National Bamboo Mission, SCP and TSP carried out during the years 2009-10 to 2012-13, which were evaluated in 2013-14. Works under these six schemes executed during 2013-14 will be included in the study.

Works are executed by five different wings in the Forest Department namely Territorial, Wildlife, Research, Working Plan and Social Forestry. Sometimes works are also carried out through community based organizations like Village Forest Committees (VFC). The proposed evaluation study will cover works executed by all these wings and organizations in the last five years. There are thirteen territorial forest circles with clear non-overlapping jurisdiction in the State. Works will be evaluated circle-wise, irrespective of the independent jurisdiction of some wings. Project Tiger areas in Mysore district will however be considered as an independent circle as it covers major part of the forest reserves in the region. Even the nature of works carried out are distinct and different. Each circle will be considered as one unit for the purpose of evaluation. Thus there will be thirteen territorial forest circles plus one wildlife circle, total of 14 evaluation units. Studies should focus on efficiency and effectiveness of the schemes in advancing the objectives of forest policy in general and that of the scheme in particular.

4. Evaluation Questions: Proposed evaluations have multiple objectives. Inter alia, the studies are expected to examine the following questions and file their succinct findings and conclusions:

- i. What is the success rate of departmental plantations done during 2009-14 in terms of:
 - a) Overall and Species-wise survival rates with progressing age?
 - b) Species-wise performance in terms of girth, height and vigor?
 - c) Compatibility of planted species with the local biodiversity?

- d) Consistency in performance across Forest Divisions and Circles in the state?
- e) Potential to contribute to the tree cover in the state in the long run?
- f) How does the overall survival percentage compare with those observed in the evaluation of previous years?
- ii. Previous evaluations have revealed that survival percentage of plantations has never been 100%. It is generally around 65 to 70percent, varying from division to division. Can this survival percentage considered to be the best or ideal? If not, what is the best practically achievable survival percentage figure that one in a division should aim at?
- iii. What factors contribute to mortality of seedlings in plantations? How can they be addressed and mortality reduced?
- iv. What measures/interventions have been made to improve the survival percentage of plantations over the years since evaluation of plantations has commenced? What has been their actual impact in improving survival percentage?
- v. What is the species wise agro-climatic/division/circle wise matrix of survival percentage of plantations that is to be rated as excellent, very good, good and average? If there is no such matrix in place, one may be prepared as a part of this evaluation and used as benchmark for future evaluations.
- vi. Does JFM anyway enhance the quality of plantations or their survival rates? If yes, what is the effect size?
- vii. What is the present condition of soil moisture conservation works carried out in the plantations and forest areas? Are they effective in improving the moisture regimes?
- viii. How can the quality and performance of departmental plantations be enhanced?

- ix. What is the species-wise survival and growth rate of seedlings distributed to the farmers and others for raising on private lands and community/ government lands? What factors influence the success rates? What is the scope for further improvement?
- x. What is the present state of forest protection and conservancy works carried out during 2009-14? Are they effective in conserving the forests and enhancing the productivity?
- xi. What is the present state of forest infrastructure created during 2009-14? Are they being utilized? And if yes, to what extent?
- xii. To what extent the works undertaken during 2009-14 serve the objectives of respective schemes? Which objectives have been fully addressed, which partly and which not at all?
- xiii. Do the works of 2009 -14 collectively contribute to the objectives of forest policy?

5. Evaluation methodology: Forest Divisions are the basic sampling units for this evaluation study. Where the sampling frame itself does not have many units, the Forest Circle concerned may be treated as a sampling unit. The department will collect list of works carried out by different wings, circle-wise, of 2009-14 (five years). They will be grouped into 7-8 broad categories like regeneration of natural forests, plantations, soil moisture conservation (SMC) works, forest protection works, extraction works, infrastructure development, research and planning wings related items. This classification may be changed if necessary later, but the number of groups will broadly remain the same. Samples will be drawn by the department randomly from each category of works across all the five years for evaluation purpose and communicated to the evaluation consultants. The sample size is to be 10% of the total number of works done under each category, subject to a minimum of 30 and maximum of

40 samples for the departmental works in each Forest Division in the Circle. Sampling intensity in sampled plantations and regenerated natural forests is 2% of the area of selected plots for sampling. For the purpose of comparison and to draw inferences, required numbers of counterfactual plots have to be laid down within the vicinity of such plantation or regeneration areas. These will be over and above the prescribed sample for the works. In respect of beneficiary oriented schemes, sample size is 200 beneficiaries in each Forest Division for all the five years for each scheme. Thus there will be a separate list of beneficiaries for distribution of seedlings, Special Component Plan (SCP) for Scheduled Castes and the Tribal Sub-plan (TSP) for the Scheduled Tribes. In respect of all other works (e.g. forest boundary consolidation, SMC, infrastructure development, timber/plantation extraction work etc), the sample size is limited to 5% of the number of works in each Forest Division. Any work selected has to be examined completely. The Consultant Evaluation Organization is expected to visit the selected works and evaluate the quality of the works/assets for their effectiveness, efficiency, appropriateness etc in accordance with the agreed criteria and indicators. Location of each sampled work/beneficiary should be geo-referenced using GPS. Samples selected shall not be changed by the Consultant Evaluation Organization without the prior permission of the department. Exact sampling methodology and the instruments to be used for survey etc., shall be decided by the department and the Consultant Evaluation Organization jointly.

In reporting of population figures worked out from studying samples (like of plantations, Elephant Proof Structures, Water retention structures etc. the standard error and other measures of dispersion should be computed and reported so that the results are statistically reliable and present a complete picture of actuals.

The Consultant Evaluation Organization should be given the maps/GPS readings of the works to be studied with which they should be able to reach the work.

6. Method of selecting Consultant Evaluation Organizations: Suitable consultant organizations will be selected based on competitive two stage (technical and financial) bidding through an e-tender process as prescribed in the Karnataka Transparency in Public Procurements Act, 1999 and the rules framed there under for the award of consultancy works. In the first stage, technical bids will be evaluated, and only those Consultant Evaluation Organization who secure at least 70% of prescribed score will be permitted to participate in the financial bid. There will be a separate score for the financial bids. Consultancy will be finally awarded on the combined score of technical and financial bids. Individual consultants are not permitted to bid. Only organizations can do so.

7. Deliverable and timelines: Following are the time lines for the consultants:

- i. Selected Consultant Evaluation Organizations may be required to go through a brief training session to understand the process involved in evaluating the forestry works. Sampling designs, survey instruments, data collection and processing methodology, format and quality of reporting etc will be explained to them. Following this, they may do a pilot study and then write a detailed Work Plan for the entire study, submit it for the approval of Forest Department and the Karnataka Evaluation Authority. Only after the Work Plan is approved, by both of these, the Consultant Evaluation Organization should proceed with the study. Preparatory phase and Work Plan is expected to take about one month from the award of the tender.
- ii. Sample data should be collected within two months after the work plan is approved by the Forest Department and the Karnataka Evaluation Authority.

- iii. Data should be processed and draft report should be written and submitted within one month after the data collection work is completed. Draft report should be submitted for the approval of Forest Department and the Karnataka Evaluation Authority.
- iv. Final report incorporating the suggestions made on the draft report should be submitted within one month from the date of approval of the draft report.
- v. Five copies of the final evaluation report, raw field data, survey format used, photos etc., shall be deposited with the Karnataka Forest Department and Karnataka Evaluation Authority for archival purpose and dissemination.

The consultant organization will get 24 weeks of time to complete the assignment. Time taken by Forest Department and the Karnataka Evaluation Authority will be extra. Six weeks of extension may be granted on mutual consultation for valid reasons. For undue delays, consultants will be penalized as prescribed in the Contract agreement.

8. Qualifications of the consultants: Consultations are expected to be reputed organizations with at least five years of experience in undertaking evaluation studies in any natural resources management area. They should have the following key professional staff in their team:

- i. One senior forestry professional with at least 15 - 20 years of field experience.
- ii. One senior soil conservation expert with at least 10 years of field experience.
- iii. One sociologist with at least five years of field experience.
- iv. One qualified statistician.

Those Consultant Evaluation Organizations who do not have these members may identify suitable candidates and add their names to the list of experts.

Profile and consent letter from each professional staff prescribed above is to be attached to the technical bid. The department will judge the competence of key professional staff based on the profile furnished and may accept or reject the candidate at its discretion at the time of evaluating the technical bid. Once approved, key professional staff will not be allowed to be changed without prior departmental permission. Substitutes should be acceptable to the department. There should be a separate evaluation team for each unit of study.

9. Cost and schedule of payment: Output based budget release will be as follows:

- i. **First instalment** of consultation fee amounting to 30% of the contract cost shall be payable **as advance** to the Consultant Evaluation Organization after the approval of the Work Plan, but only on execution of a bank guarantee of a scheduled nationalized bank valid for a period of at least 12 months from the date of issuance of advance.
- ii. **Second instalment** of consultation fee amounting to 50% of the contract cost shall be payable to the Consultant Evaluation Organization after the approval of the Draft report.
- iii. **Third and final instalment** of Consultation fee amounting to 20% of the contract cost shall be payable to the Consultant Evaluation Organization after the receipt of the hard and soft copies of the final report in such format and number as prescribed in the agreement, 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.

Income Tax will be deducted from each payment as per rates in force. In addition, the evaluator is expected to pay statutory taxes and levies (e.g. Profession Tax) at their end.

10. Submission of Progress Report: The consultant should submit a report on the progress of evaluation study fortnightly along with the photo copies of the filled in data collection formats.

11. Ensuring Quality: The evaluation report and its findings must demonstrate highest professional standards on par with national and international studies. Finding, conclusion and recommendations should meet the requirements of ToR at the minimum. Recommendations should be relevant, practicable and not be too many. They should aid in making policy changes.

12. Qualities Expected from the Evaluation Report :

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

- a) By the very look of the evaluation report it should be evident that the study is that of Forest Department of the Government of Karnataka, and Karnataka Evaluation Authority (KEA) which has been done by the Consultant. It should not intend to convey that the study was the initiative and work of the Consultant, merely financed by the Forest Department of the Government of Karnataka.
- b) The Terms of Reference (ToR) of the study should form the first Appendix or Addenda of the report.
- c) The results should first correspond to the ToR. In the results chapter, each question of the ToR should be answered. It is only after all questions framed in the ToR that is answered, that results over and above these be detailed.
- d) In the matter of recommendations, the number of recommendations is no measure of the quality of evaluation. Evaluation has to be done with a purpose to be practicable to implement the recommendations. The practicable recommendations should not be lost in the population

maze of general recommendations. It is desirable to make recommendations in the report as follows:-

(A) Short Term practicable recommendations

These may not be more than five in number. These should be such that it can be acted upon without major policy changes and expenditure, and within say a year or so.

(B) Long Term practicable recommendations

There may not be more than ten in number. These should be such that can be implemented in the next four to five financial years, or with sizeable expenditure, or both but does not involve policy changes.

(C) Recommendations requiring change in policy

There are those which will need lot of time, resources and procedure to implement.

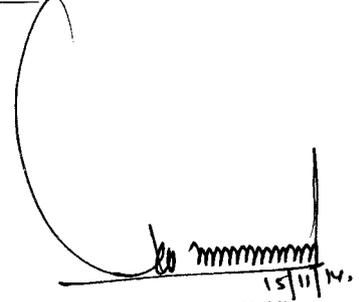
13. Providing oversight: The Chief Conservator of Forests (Evaluation) (Mobile No. 9483501011) will act as the Nodal Officer. He will provide the support and supervision needed for the evaluation studies. He will make necessary arrangements for coordinating the field work.

14. 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.

The entire process of evaluation will be subject to and conform to the letter and spirit of the contents of the government of Karnataka order no. PD/8/EVN(2)/2011 dated 11th July 2011, and orders made there under.

This ToR received the approval of the Technical Committee of the KEA in its 15th meeting held on 05th November 2014.



15/11/14.

Chief Evaluation Officer
Karnataka Evaluation Authority