

**TERMS OF REFERENCE OF THE EXTERNAL EVALUATION OF IMPACT OF
JFPM IN KARNATAKA**

1. Study Title:

The title of the evaluation study is “*impact of the Joint Forest Planning and Management (JFPM) programme in Karnataka*”.

2. Background Information:

As per the National Forest Policy 1988, the Government of India, vide letter no. 6.29/89-F.P. dated 01st June 1990, outlined and conveyed to the State Governments a frame work for creating massive people’s movement through the involvement of the institution of villages committees for the protection, regeneration and development of degraded forest lands. This system of forest management is referred to as Joint Forest Planning and Management (JFPM). The village committees referred to in the 01st June 1990 letter of the Central Government are called “*Village Forest Committees (VFC)*” in Karnataka.

The spirit of community participation based management was present in the Social Forestry programme implemented with external funding in Karnataka in the 1980s. However, the programme was criticized stating that local communities had no role in it, and that the programme ended up with propagation of a model of eucalyptus planting on grazing lands. The impetus for the launch of JFPM was also provided by Non-Governmental Organizations (NGO) who protested before the DfID (a British donor agency) not to fund the Western Ghats Conservation programme in the top down autocratic model of conservation, and mandate the formation of VFCs. In the late 1990, Karnataka Forest Department (KFD) incorporated the provision of VFCs in its proposal for conservation of Western Ghats, and that was funded by the DfID.

The first Government order related to JFPM issued by the Government of Karnataka is AHFF 232 FAP 86 dated 12th April 1993. This deals with the Tree Patta Scheme too as well as sharing of forest products. With regards to JFPM, the main points that are covered include—

- a) JFPM can be implemented in degraded forest lands; that which have a canopy density of 0.25 or less.
- b) In case of reserved forests with predominating tribal population, the limit of canopy density shall not apply.
- c) Government waste lands, roadsides, canal banks and tank fore-shore areas under the control of forest department come within JFPM.

Initially, the proceeds from JFPM were shared between the VFCs and government, both getting equal share (1: 1). However, this was modified in the subsequent Government order no. FEE 94 FAP 93 dated 16th December 1996. One of the prominent features of this 1996 order was that the spouse in a household automatically becomes a member of the VFCs if his/her partner was a member of the VFC.

The legal validation of the JFPM process was done by the insertion of section 31A in the Karnataka Forest Act 1963 vide Act no. 12 of 1998 with effect from 11th May 1998, which provided for the State of Karnataka to constitute VFCs and make rules for them related to their election, qualifications of members, proceeds sharing mechanism, monitoring and evaluation etc. The rules have not been framed and issued as yet.

In the year 2002, vide G.O. no. FEE 50 FAP 2000 dated 19th June 2002, the Government of Karnataka issued a comprehensive order on JFPM. This codified, revised and elaborated the JFPM implementation process and provided for four types of benefit sharing including timber, non timber and assets created/natural growth existing prior to the formation of VFCs. Thus VFCs were now able to have a share not only from the plantations created after their creation, but also in the natural forest existing, and plantations done prior to the formation of VFC.

The most important feature of this order was that it details and elaborates the procedure of VFC formation, election, monitoring and evaluation etc. which, was thought about in Section 31A of the Karnataka Forest Act 1963, but has not been brought within the Karnataka Forest Rules 1969.

Almost around this time, all the VFCs formed within a district were bought under a federation named Forest Development Agency (FDA), and the FDAs of all districts combined to form the State Forest Development Agency (SFDA). The objectives of this has been detailed in the National Afforestation Programme (NAP) Revised Operational Guide lines – 2009 as -

- a) Super Goal : Sustainable development and management of forest resources
- b) Goal: Increase and/or improve forest and tree cover (FTC).
- c) Purpose: Rehabilitation of degraded forest and other areas by institutionalizing decentralized/participatory forest management and supplementing livelihoods improvement processes.

Funding for the VFCs is now through the NAP Scheme, in which funds reach the VFC following the SFDA to FDA to VFC route. NAP is funded through the National Afforestation and Eco Development Board (NAEB), a Central Government Board under the Ministry of Environment and Forests.

3. Objectives of JFPM:

It is repetitive to mention it once again, but the objectives of JFPM are the same as of FDAs detailed in the National Afforestation Programme(NAP) Revised Operational Guidelines – 2009 which are-

Super Goal: Sustainable development and management of forest resources

Goal: Increase and/or improve forest and tree cover (FTC).

Purpose: Rehabilitation of degraded forest and other areas by institutionalizing decentralized/participatory forest management and supplementing livelihoods improvement processes.

4. Objectives and Scope of the Study:

There are 5006 VFCs formed in the State managing forests and plantations. The division wise, scheme wise details of VFC's is as follows-

VFC's Formed under Karnataka Forest Act 1963 with the financial assistance of

- 1 Western Ghats (ODA) Project,
- 2 Centrally Sponsored Schemes (CSS),
- 3 Eastern Karnataka Afforestation Project (EKAP), and
- 4 Karnataka Sustainable Forest Management & Bio-diversity Conservation (KSFMB) Projects.

Sl.no.	Divisions	Project wise VFCs				
		Western Ghats	CSS	EKAP	KSFMB	Total
1	Bagalkote	-	4	89	28	121
2	Bangalore (Rural)	-	10	319	13	342
3	Bangalore (Urban)	-	-	51	8	59
4	Belgaum	-	64	197	55	316
5	Bellary	-	5	122	31	158
6	Bhadravathi	26	-	30	37	93
7	Bidar	-	4	103	34	141
8	Bijapur	-	-	55	7	62
9	Chamarajanagar	-	-	40	5	45
10	Chikkaballapur	-	-	-	19	19
11	Chikmagalur	23	5	37	30	95
12	Chitradurga	-	18	160	37	215
13	Davanagere	-	6	131	33	170
14	Dharwad	-	5	93	17	115
15	Gadag	-	7	77	27	111
16	Gokak	-	-	100	29	129
17	Gulbarga	-	-	101	38	139
18	Haliyal	52	1	-	40	93
19	Hassan	-	13	199	48	260
20	Haveri	-	2	98	50	150
21	Honnavar	81	-	-	47	128
22	Hunsur	-	-	60	32	92
23	Karwar	56	-	-	47	103
24	Kolar	-	6	407	17	430

25	Kollegal	-	-	39	31	70
26	Koppa	19	-	-	33	52
27	Koppal	-	-	86	19	105
28	Kundapur	-	-	-	38	38
29	Madikeri	-	-	-	33	33
30	Mandya	-	-	158	30	188
31	Mangalore	-	-	-	36	36
32	Mysore	-	2	55	18	75
33	Raichur	-	-	79	10	89
34	Ramanagaram	-	-	-	25	25
35	Sagar	48	-	22	38	108
36	Shivamogga	26	1	6	27	60
37	Sirsi	103	-	-	60	163
38	Tumkuru	-	7	235	42	284
39	Virajpet	-	-	-	6	6
40	Yellapur	41	-	-	47	88
Total		475	160	3149	1222	5006

JFPM is now almost 21 years old. The prime objective of the evaluation study will be to ascertain as to which objectives of JFPM have been achieved and further to what extent they have been achieved? Which are the objectives not achieved? What are the causes for it? What have been the causes of poor achievement where they are noticed, and what are the means and ways to get over it?

5. Evaluation Questions (inclusive not exhaustive)

The following are the questions intended for the evaluation study –

- A. Has JFPM process created a decentralized and participatory system of forest management in managing the forests which have the potential to be brought under it in each of the four category of areas detailed in paragraph 4 of the Annexure I to Government of Karnataka order no. FEE 50 FAP 2000 dated 19th June 2002, measured by the total extent of lands under these four categories in the State and the extent within it covered by JFPM.
- B. Has JFPM process caused a decentralized and participatory system plantation creation and management measured by-
 - a. The number of instances where JFPM preceded plantation creation and where the reverse occurred?
 - b. Whether the plantations raised were as per the micro-plan and area treatment plan prepared?
 - c. Whether the species planted are the same as per the micro-plan and area treatment plan? If not, what were the criteria for species planted?

- d. What was the contribution of VFC in plantation? Did it result in lesser cost or better survival or growth of plants planted?
 - e. Is the survival percentage of JFPM plantations statistically better, equal or worse than traditional plantations of the same year studied in various evaluations taken up after the year 2000? What are the reasons for these?
 - f. Has the yield from the plantations covered under JFPM been better, equal or worse than traditional plantations of the same year and harvested at the same age? What are the reasons for these?
 - g. Whether all the members of the VFC equally and jointly contribute to the protection and management of the forests/plantations falling within their jurisdiction? If not, what is the pattern and why?
- C. Has the formation of VFCs been strictly as stipulated in sub-paragraphs i. and ii. of paragraph 6 of the Annexure I to Government of Karnataka order no. FEE 50 FAP 2000 dated 19th June 2002? If yes, who were the promoters of the villages which are covered under JFPM?
- D. Have elections to the Managing Committees of VFCs taken place following the process mentioned in paragraph 8 and at the frequency detailed in paragraph 10(i) of the Annexure I to Government of Karnataka order no. FEE 50 FAP 2000 dated 19th June 2002? In what percentage of the VFCs was this followed and where it was not, what are the reasons for deviation?
- E. Are the VFC's Managing Committees meetings taking place at the frequency and manner prescribed in paragraph 10(ii) and (iii) of the Annexure I to Government of Karnataka order no. FEE 50 FAP 2000 dated 19th June 2002? In what percentage of the VFCs was this followed and where it was not, what are the reasons for not adhering to it?
- F. In what percentage of the VFCs, the VFC's Managing Committees are aware of and exercising any of the powers given to them vide paragraphs 10(iv) to (vii) of the Annexure I to Government of Karnataka order no. FEE 50 FAP 2000 dated 19th June 2002?
- G. Whether the Member Secretary of VFCs has completely and timely performed the duties detailed paragraphs 10(viii) and (ix) of the Annexure I to Government of Karnataka order no. FEE 50 FAP 2000 dated 19th June 2002? In what percentage of the VFCs was this followed and where it was not, what are the reasons for non-compliance?
- H. Whether the VFCs have maintained timely and complete records and papers detailed paragraphs 12(i) and (ii) of the Annexure I to Government of Karnataka order no. FEE 50 FAP 2000 dated 19th June 2002? In what percentage of the VFCs was this followed and where it was not, what are the reasons for non-compliance?
- I. Have jurisdictional senior officers of the rank of ACF and above attended one or more meetings of each VFC within their jurisdiction at least once in six months as required by paragraph 16(vi) of the Annexure I to Government of Karnataka order no. FEE 50 FAP 2000 dated 19th June 2002?

- J. Have officers of the Forest department inspected the forests under JFPM scheme frequently and suggested necessary action to be taken by VFCs? Have officers of the Forest department taken action to pursue other government departments to recognize the decisions and needs of VFCs with respect to Village Development?
- K. Have works like raising, maintenance, protection of plantation, fire prevention, soil and water conservation etc, entrusted to VFCs by the Forest Department for building a feeling of ownership of assets created/managed as provided for in paragraph 16(vii) of the Annexure I to Government of Karnataka order no. FEE 50 FAP 2000 dated 19th June 2002?
- L. In what percentage of the total VFCs is there an up to date Management plan and MOU in place in accordance with paragraph 13 of the Annexure I to Government of Karnataka order no. FEE 50 FAP 2000 dated 19th June 2002? What is the quality of Management Plans?
- M. Is disposal of forest produce and sharing taking place in all VFCs in accordance with paragraph 17 and VFDF and VDF accounts operated as per paragraph 21 of the Annexure I to Government of Karnataka order no. FEE 50 FAP 2000 dated 19th June 2002?
- N. Have the accounts of VFDF and VDF been audited timely and up to date as per the provision of paragraph 22 of the Annexure I to Government of Karnataka order no. FEE 50 FAP 2000 dated 19th June 2002?
- O. Has JFPM process resulted in supplementing livelihood improvement process for the members of the VFCs in Karnataka? If yes, in which way/ways? And where so, to what extent have the earnings of VFC members enhanced due to JFPM alone?
- P. How many tree pattas have been given as per Annexure II to Government of Karnataka order no. FEE 50 FAP 2000 dated 19th June 2002? Of these-
- In how many cases there are no trees for the pattas given. (They could have perished due to various natural reasons, removed during road widening, cut down by woodcutters etc)
 - What is the utility wise importance (NTFP, timber, fruit, fodder etc) of the trees for which the patta is given? Is the utility relevant to the Patta holder?
- Q. Has the actual forest cover and Trees outside Forest (TOF) cover change in Karnataka since the inception of JFPM i.e., 1993 to has been statistically different between JFPM area and non-JFPM areas? If yes, which are the areas where maximum impact has been seen? If no, what are the reasons for JFPM not being able to increase forest and tree cover?
- R. What has been the impact of JFPM of the forests and plantations of the village with respect to prevention/control of grazing, encroachments and eviction of encroachments?
- S. Based upon all the above what is the inference with regards to reporting the impact of JFPM process as a whole? Is it to be regarded as successful, successful in parts or a failure? Is there a spatial or forest type pattern in the success/failure of JFPM?

- T. What type of relation exists between Gram Panchayaths and VFCs? Is it symbiotic, independent or are they are in clash mode?
- U. From the evaluation of 6 schemes of forest department from 2009-2013 it has been found that VFCs are not in the best of their health. They need constant encouragement.
1. Have VFCs become or are in the process of becoming power groups in Gram Sabhas in the Panchayathi Raj system? If not, what are the factors against this?
 2. How many VFCs have formed Self Help Groups and what type of income generating activity is taken by them? To what extent these activities have helped the VFCs in development of their economic condition?
- V. What are the means suggested to convert the program into success, if it is not?
- W. Whether the Business/Management model of JFPM is appropriate and strong for the management of forests of Karnataka? How does it compare with the models being implemented in Andhra Pradesh, Telangana, Tamil Nadu and Kerala?
- X. Should there be different models of JFPM for different types of forests or areas or is the one size fit system sufficient and appropriate?
- Y. Whether the Business/ Management model of JFPM is strong enough so much that if implemented in full letter and spirit it can result in reduction of the personnel required protecting, managing and conserving forest areas in Karnataka?

6. Evaluation and Sampling Methodology:

The program has been implemented all over Karnataka. The study should thus cover the entire State.

Since the data of VFCs is maintained Division and Circle wise in the forest department, selection and sampling of VFCs will be done by Division and Circle. All the VFCs in a Division will be listed in the order of dates on which they have been formed. These will be grouped into clusters of all VFCs formed in a financial year being clustered together. From these, 10% of the VFCs from each cluster, rounded off in number to the next higher integer (so that from each cluster at least one VFC is chosen) will be selected randomly to form the sample. The sample size is thus at least 10%. Each of these will be evaluated for all parameters listed in the evaluation questions.

7. Qualifications of Consultants and their staff:

The Consultant Evaluation Organization will be finalized as per provision of the Karnataka Transparency in Public Procurement Act and Rules, without comprising on the quality.

Consultants/Evaluating Agencies should have and provide details of evaluation team members having technical qualifications/capability as below-

- i. Social Scientist with experience of handling forestry projects,
- ii. Retired Forest Officer of a rank of Chief Conservator of Forests and above, and,
- iii. Research Assistants,

and in such numbers that the evaluation is completed within the scheduled time prescribed by the ToR.

and in such numbers that the evaluation is completed within the scheduled time prescribed by the ToR.

Consultant Evaluation Organizations not having these number and kind of personnel will not be considered as competent for evaluation.

8. Deliverables and Time Schedule:

After the MOU for the study is signed, the Chief Conservator of Forests (Evaluation) will provide year wise, Division wise, Circle wise lists of VFCs formed in the State. Based upon this the sample to be studied will be drawn by the Consultant Evaluation Organization and Karnataka Evaluation Authority jointly. After this, it is expected to complete the study in 7 months time excluding the time taken for approval of the Work Plans and draft reports. The evaluating agency is expected to adhere to the following timelines and deliverables.

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|----------------------------|---|
| a. Work plan submission | : 1 month after sample is drawn. |
| b. Field Data Collection | : 4 months from date of Work Plan approval. |
| c. Draft report Submission | : 1 month after field data collection. |
| d. Final Report Submission | : 1 month from approval of Draft Report. |
| e. Total duration | : 7 months. |

9. Quantity and Qualities Expected of the Evaluation Report:

The Final report of the Evaluation study will be in 100 copies of which **50 will be in Kannada and 50 in English.**

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

1. By the very look of the evaluation report it should be evident that the study is that of the Karnataka Evaluation Authority (KEA) which has been done by the Consultant Evaluation Organization. It should not intend to convey that the study was the initiative and work of the Consultant, merely financed by the Karnataka Evaluation Authority (KEA).
2. The Terms of Reference (ToR) of the study should form the first Appendix or Addenda of the report.

3. 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.
4. 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.

10. Cost and schedule of budget releases:

Output based budget release will be as follows-

- a. 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 nationalized bank valid for a period of at least 12 months from the date of issuance of advance.
- b. The **second instalment** of Consultation fee amounting to 50% of the total fee shall be payable to the Consultant after the approval of the Draft report.
- c. 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 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.

Taxes will be deducted from each payment as per rates in force. In addition, the evaluating agency/consultant is expected to pay services tax at their end.

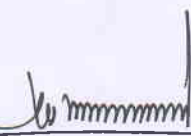
11. Providing oversight: The Chief Conservator of Forests (Evaluation) (Mobile No. 9483501011) will act as the Nodal Officer. He will provide the support and supervision needed for the evaluation studies. He will make necessary arrangements for coordinating the field work.

12 . 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 shall 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 is sanctioned in the 16th meeting of the Technical Committee of KEA held on 24th January 2015.


Chief Evaluation Officer 02/24/15
Karnataka Evaluation Authority

(B.K. Dikshit)
Chief Evaluation Officer
KARNATAKA EVALUATION AUTHORITY