

TERMS OF REFERENCE FOR EVALUATION OF UPGRADATION OF 1396 GOVT. ITIs THROUGH PUBLIC PRIVATE PARTNERSHIP SCHEME

1. Background:

Under the scheme of Up-gradation of 1396 Government ITIs through PPP, 1227 Government ITIs have been covered and an Industry Partner (IP) is associated with every ITI covered under the scheme. Institute Management Committee (IMC), registered as a society, has been constituted in each ITI and is headed by the Industry Partner. Interest free loan of Rs. 2.50 crore per ITI was released by the Central Government directly to the IMC Society of the ITI. Financial and academic autonomy has been given to the IMC society. The interest free loan is repayable by the IMC with a moratorium of 10 years and thereafter in equal annual installments over a period of 20 years. 31 States/UTs have been covered under the scheme and Rs. 3067.50 crore has been released to 1227 Government ITIs throughout the country during the XI Plan period.

The State wise ITIs covered under the scheme is given below:

Sl. No.	Name of the State	Total No. of ITI covered in the State
1	Andhra Pradesh	31
2	Arunachal Pradesh	4
3	Assam	17
4	Bihar	13
5	Chandigarh	1
6	Chhattisgarh	42
7	Dadar & Nagar Haveli	1
8	Delhi	9
9	Goa	1
10	Gujarat	91
11	Haryana	52
12	Himachal Pradesh	33
13	Jammu & Kashmir	34
14	Jharkhand	8
15	Karnataka	76
16	Kerala	26
17	Madhya Pradesh	74
18	Maharashtra	250
19	Meghalaya	1
20	Mizoram	2
21	Nagaland`	7
22	Odisha	14
23	Puducherry	4
24	Punjab	76
25	Rajasthan	105
26	Tamil Nadu	32
27	Telangana	30
28	Tripura	7
29	Uttar Pradesh	115

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30	Uttarakhand	43
31	West Bengal	28
	Total	1227

b). Outlay:

Sr. No.	Name of Central Sector Scheme	Cumulative outlay for past 5 years (2015-16 to 2019-20)	Year of scheme launch
1	Up-gradation of 1396 Govt. ITIs through Public Private Partnership (PPP)	5 crore [i.e. Rs. 1 crore every year provided to meet the expenditure of State Implementation Cell (SIC) and Central Project Monitoring Unit (CPMU)]	2007-08

c). Status of the Scheme at present:

The scheme of “Up-gradation of 1396 Govt. ITIs through Public Private Partnership”, a centrally sponsored scheme was launched in 2007-08 with a total outlay of Rs. 3,550 crore. Under this scheme an interest free loan of upto Rs. 2.50 cr. was given by the Central Government directly to the Institute Management Committee Society (IMC) and financial and academic autonomy is given to the Society during the period 2007-08 to 2011-12. The interest free loan is repayable in 20 annual installments after a moratorium period of 10 years. The first installment repayable from the 11th anniversary of the day of drawl. Till date, 1227 ITIs have been funded under the scheme. The total amount disbursed under the scheme is Rs. 3067.50 crore @ Rs. 2.50 crore per ITI.

d). Mechanism of implementation:

Ministry of Skill Development and Entrepreneurship (MSDE) is the anchor Ministry to coordinate the implementation of scheme “Up-gradation of 1396 Govt. ITIs through Public Private Partnership” across the country. The scheme is being implemented through State Directorates for Skill Development in 31 States of Country.

2. Objectives of the Evaluation Study

a) SchemePerformanceAnalysis

- i. To understand the status of the scheme performance in the country on key intended outputs and outcomes
- ii. To qualitatively and quantitatively (based on meta-analysis, if possible) map the actual contribution against the intended contribution of scheme to National Development Priorities and SDGs

b) AssessRelevance,Efficiency,Effectiveness,EquityandSustainabilityofthescheme

Based on the Evaluation Coordination Group’s (ECG’s) Good Practice Standards for evaluation of public sector operations⁵, the assessment of the Central Sector scheme should be conducted along the principles of Relevance, Efficiency, Effectiveness and Sustainability.

Herein, relevance would assess the extent to which intended outcomes of the scheme were strategically aligned with the country’s development priorities and if the design was appropriate for achieving the intended outcomes. The effectiveness assessment looks at whether the scheme’s intended outcomes were achieved and whether any unintended outcomes had inadvertently reduced impact of the programme. The efficiency of the scheme is a measure of how well it used resources to achieve its outcomes. And, sustainability assessment focuses on the likelihood that scheme outcomes and outputs will be maintained over a meaningful timeframe, demonstrating the persistence of results from the programme implementation. This should cover all the three dimensions of sustainability i.e. economic, environmental and social. Additionally, it is important to add the principle of Equity, to assess if inclusion across dimensions is being ensured as a part of scheme coverage. In line with this understanding, the following aspects will have to be assessed:

- i. To analyze the input use efficiency of the scheme i.e. planned IEC activities for stakeholders and beneficiaries, institutional mechanism, fund flow (adequacy & timeliness) & utilization through public expenditure tracking, policy guidelines and human resources allocated for the implementation of the schemes at central, state, district, and institutes, mechanisms to identify and reward best practices within the scheme design as well as M&E systems.
 - ii. To assess the coverage of the scheme in terms of eligible beneficiaries, geographies etc.
 - iii. To identify the key bottlenecks/issues & challenges in the implementation mechanisms (governance mechanisms, awareness generation, stakeholder engagement & their roles & responsibilities, process & resource flow, capacities) of various development schemes
 - iv. To assess the quality of assets created/services provided under the scheme and to see how far these assets/services benefitted the end beneficiaries
 - v. To assess the intended and actual convergence of the scheme to other developmental programmes of the Central and the State Governments as well as with private sector, CSR efforts, etc.
 - vi. Also identify gaps in the scheme outcomes in light of national priorities/SDGs not being addressed due to (a) absence of interventions or (b) non-performance of existing schemes/interventions
- c) Cross-sectional Thematic Assessment
- i) Assess the scheme on various cross-sectional themes like (a) accountability and transparency, (b) direct/indirect employment generation, (c) gender mainstreaming, (d) environmental change & sustainability, (e) use of IT/Technology in driving efficiency, (f) stakeholder & beneficiary behavioral change, (g) Research and Development (h) Unlocking Synergies (i) Reforms & Regulations and (j) impact on and role of private sector, community and civil society in the scheme
- d) Best Practices & Externalities
- i) To identify and highlight any scalable best practices and homegrown innovations, if any, used and create case studies out of them to disseminate it for replication in other schemes/programmes
 - ii) Also capture the unintended consequences/negative externalities of scheme implementation and how these were triggered. Also map them against the environmental and social safeguards in the scheme design
- e) Programme Harmonization

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- i) Based on the above, analyze the need to continue the scheme in their existing form, modify, scale-up, scale-down or close down the scheme. In case if they need to be modified, suggest revisions in the scheme design for the effective implementation in the future

3. Scope of Service

- a) Meta-Analysis & Field Study: The data and methods will involve review of
- i. National development goals and scheme documents;
 - ii. Financial data on allocation and expenditures of the scheme;
 - iii. Annual reports of the ministry / department 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. Evaluations done by non-government agencies.

Based on meta-analysis and key informant interviews, the evaluation study will provide insights into reasons for success and failure of scheme design, institutional arrangements, human resources, political economy considerations, among others. The study will also provide strategic insights into:

- a. Gaps between intended and actual outcomes both due to lack of specific interventions and failure or poor outcomes of existing schemes;
- b. Institutional and human resource failures and best practices;
- c. Institutional provisions for monitoring and evaluation;
- d. Degree of adoption of outcome-output framework;
- e. Adoption of technology for effective scheme implementation;
- f. Political economy constraints and scheme design constraints/provisions; among others.

A detailed list of key documents to be referred to by the bidder is placed at https://dgt.gov.in/Upgradation_ITIs.

- viii. Designing of the discussions guides for focus group discussions, interview guides for in-depth interviews and structured questionnaires/schedules for household surveys
- ix. Preparation of the analysis plan
- x. Pre-testing and finalizing the required tools
- xi. Establishment of a managerial structure for field operations
- xii. Engagement of investigators and training/capacity building of the field investigators
- xiii. Putting in place appropriate IT hardware and application software for data collection and management
- xiv. Collecting and compiling the quality data from selected areas
- xv. High quality data management and adherence to quality assurance mechanisms as per agreed protocols, plans and schedules
- xvi. Collation and data cleaning

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- xvii. Running data analysis and submitting cross-tabulations/summarizations
- xviii. Preparation of draft report and conducting stakeholder consultations
- xix. Submission of final report and dissemination of the key findings
- xx. Incorporating concurrent feedback into the workflow

2. Data Collection Methodology

A qualitative study backed with extensive meta-analysis will be conducted to provide the scheme assessment. The qualitative study will consist of two main components:

- a. Key Informant Interviews & Focus Group Discussions - Herein, it is proposed that key informant interviews with ministry/department personnel at national level implementing bodies, state, district and block level officials, other stakeholders supporting implementation or indirectly involved in enabling scheme's success and opinion makers at village level are contacted. Additionally, focus group discussions will be conducted, mostly at field 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
- b. Field Surveys - A selected sample of field surveys shall be conducted to assess the beneficiary-level impact of the scheme. However, this household survey design may be quasi-quantitative in nature.

Additionally, the key information areas to be covered in the discussion

guides/questionnaires for key informant interviews and field surveys should cover data points included but not limited to NITI Aayog's Output-Outcome Monitoring Framework for corresponding schemes. This is further detailed at https://dgt.gov.in/Upgradation_ITIs.

a) Sampling

The sample design for a household survey must be stratified in such a way that the sample actually selected is spread over geographic sub-areas and population sub-groups representatively. The size of the sample must take account of competing needs so that costs and precision are optimally balanced. Given all India nature of the Central Sector scheme implementation the sampling methodology will involve multi-stage, stratified and clustered features.

Entire country can be divided into 6 geographical zones i.e. (i) North & Central, (ii) South, (iii) East, (iv) West, (v) North-East and (vi) Northern Hilly States.

Sr. No.	Zone	States / UTs
1	North & Central	Uttar Pradesh, Haryana, Punjab, Madhya Pradesh, Chhattisgarh, Delhi, Chandigarh
2	South	Telangana, Andhra Pradesh, Karnataka, Kerala, Tamil Nadu, Puducherry

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3	East	Bihar, Orissa, Jharkhand, West Bengal
4	West	Rajasthan , Gujarat, Goa , Maharashtra, Dadra & Nagar Haveli
5	North East	Nagaland, Tripura, Arunachal Pradesh, Mizoram, Meghalaya, Assam
6	Northern Hilly States	Uttarakhand, Jammu & Kashmir, Himachal Pradesh

Sl. No.	Name of the State	Total No. of ITI covered in the State	Proposed sample for survey
1	Andhra Pradesh	31	3
2	Arunachal Pradesh	4	1
3	Assam	17	2
4	Bihar	13	1
5	Chandigarh	1	1
6	Chhattisgarh	42	4
7	Dadar & Nagar Haveli	1	1
8	Delhi	9	1
9	Goa	1	1
10	Gujarat	91	9
11	Haryana	52	5
12	Himachal Pradesh	33	3
13	Jammu & Kashmir	34	3
14	Jharkhand	8	1
15	Karnataka	76	8

16	Kerala	26	3
17	Madhya Pradesh	74	7
18	Maharashtra	250	25
19	Meghalaya	1	1
20	Mizoram	2	1
21	Nagaland`	7	1
22	Odisha	14	1
23	Puducherry	4	1
24	Punjab	76	8
25	Rajasthan	105	10
26	Tamil Nadu	32	3
27	Telangana	30	3
28	Tripura	7	1
29	Uttar Pradesh	115	11
30	Uttarakhand	43	4
31	West Bengal	28	3
	Total	1227	127

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However, it is important to note that these numbers are indicative and it is proposed that the bidder may suggest their methodology best suited to meet the objectives of the evaluation.

b) 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 be considered:

- i. The field investigators to be engaged for conducting the field study & key informant interviews/FGDs should have at least 3 years of experience in conducting similar surveys/interviews. 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 field surveys 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 field survey, at least 50% data should also be telephonically verified and if not verified via phone, back checks should be undertaken to ensure 50% data verification.
- v. Use of mobile-based real-time data collection and validation tools should be done to ensure efficiency and accuracy in data collection.

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