

TERMS OF REFERENCE (ToR) FOR **MIDTERM EXTERNAL**  
**REVIEW AND EVALUATION** OF JBIC ASSISTED KARNATAKA SUSTAINABLE  
FOREST MANAGEMENT AND BIODIVERSITY CONSERVATION PROJECT  
(KSFMBCP) (IDP 163)

**1. Background**

Forestry and Agro-forestry sector in Karnataka has done reasonably well during the recent years. Karnataka is one of the few States where forest cover has been on the rise. Considering 1989 assessment by the Forest Survey of India (FSI) as the base (32,104 Km<sup>2</sup>), the forest cover in the 2003 assessment has increased to 36449 Km<sup>2</sup>; an increase of 4345 Km<sup>2</sup> (13.54 % increase over a span of 14 years). Also, the tree cover for the country monitored by the Forest Survey of India, by Remote Sensing, reveals that Karnataka has 2.80 percent of its geographical area under tree cover. The forest cover being 19.00 percent, both Tree and Forest cover put together constitute 21.80 percent of the geographical area of the State.

Forest Management initiatives in Karnataka have been progressive and they often preceded the National initiatives. During mid 1970s, the Government of Karnataka took a conscious decision to release forest land for non-forestry purposes with the approval of both the houses of Legislatures. The State also brought in stringent enactment for forest protection and for removal of encroachments on forest lands. The concessions to the forest industries were abolished during mid 1980s, and the State brought-in moratorium on green felling during early 1990s. Result of these general welfare and regulatory initiatives is manifested in the increased forest cover.

Further, during early 1980s, Social Forestry project was launched in the State that was funded by the World Bank and the ODA (now DFID, U.K.). Early 1990s witnessed launch of ODA (UK) funded project in parts of Western Ghats. During late 1990s, JBIC funded project was launched in the eastern plains of Karnataka. Besides these three projects, there have been some other externally aided projects and constant initiatives by Government of India and the State Government towards greening the State. Most initiatives since 1990s have included Joint Forest Planning and Management (JFPM) as an essential component. It is worth recalling that the initial Social Forestry Project had promoted distribution of seedlings (free of cost to general public including farmers) in a big way. To a large extent, greenery in urban areas and trees on farm lands are a result of these initiatives of the Department. Also, during last three decades people oriented forest development and conservation approach has resulted in generation of local stakeholdership at village level. As on date, there are more than 5000 Village Forest Committees (VFCs) in the State.

The State has a fairly strong mechanism for monitoring and evaluation. The works carried out by the Department are being monitored and evaluated once in two years under the overall control of Additional PCCF (EWPRT). The Evaluation Teams consist of senior officers of the rank of Chief Conservator of Forests (CCFs) and Conservator of Forests (CFs). As per the evaluation reports, the success of forestry plantations is around 80 percent and those in the farm forestry sector is around 76 percent.

JBIC assisted Eastern Karnataka afforestation Project (EKAP) was implemented in 25 districts of the State from 1997-98 to 2004-05 with special focus on people's involvement in protection development and management of degraded forest lands by constituting 3149 VFCs. However, there remains an unbridged gap between demand and supply of fuel wood, small timber, green manure and other forest products in these villages and elsewhere in the State. In order to fulfill the needs for forest produce, of the farming community and other forest dependent people, continuous investment and efforts are necessary.

Also, nearly 70 to 75% of agricultural lands always remain dependent on rains in Karnataka. Rain-fed agriculture primarily depends on the quality of soil and availability of water however, trees and associated vegetation on such lands have important supportive role to play. The availability of adequate number of suitable trees on such farm lands can be ensured through distribution of seedlings to farmers and others. Further, tree based farming system not only helps reducing the pressure on forests but also generates additional income for farmers.

Further, there are 5 National parks and 21 Wildlife sanctuaries covering 6447 km<sup>2</sup> i.e 17 percent of the forest area in the State. In these protected areas, focus has been given on biodiversity conservation, habitat improvement, management of man-animal conflict, eco-development and ecotourism. The Flagship species (like tiger, elephant, bear, etc) oriented conservation management approach ensures conservation of the total ecosystem and its floral and faunal components. The protection and development of these areas need to be continued.

Therefore, in order to consolidate the efforts of JBIC phase – I Project and to continue the tempo of sustainable forest management efforts of the department, and to consolidate the forest boundaries, the present project (KSFMBBCP) has been conceptualized.

## **2. About the Project**

The JBIC assisted Sustainable Forest Management and Biodiversity conservation project (KSFMBBCP) is approved for implementation from 2005-06 to 2012-13 at a financial outlay of 745 cores. The Project is divided into Project A & B. Project A covers 12 districts and Project B covers remaining 17 districts. Joint Forest Planning and Management (JFPM) is the core strategy of the project. It is envisaged to form 1,200 Village Forest Committees (VFCs) and 73 Eco-Development Committees (EDCs) in the project

area over a period of 3 years in a phased manner from 2005-06 to 2007-08. Also 6000 Self Help Groups (SHGs) are to be constituted or identified under the project. To strengthen the stake of local people in conservation of the forestry resources and to reduce poverty among them the Project provides for nurturing of available forest areas, development of forest plantations, soil-moisture conservation works, establishment of village level community institutions, and, micro-finance facilities for the members of the VFC/ EDC/SHG under Income Generation Activity (IGA) component.

## **2.1 Project Objectives**

To restore forests to bring about ecological restoration and also to facilitate livelihood improvement of the inhabitants of the project villages by afforestation through JFPM in the State of Karnataka, this further contributes to reducing poverty and preserving biodiversity conservation. The following are the major components of the Project.

- 2.1 Afforestation
- 2.2 Income Generation Activities for poverty alleviation
- 2.3 Protected Area Management & Bio-diversity Conservation
- 2.4 Provision of Basic Infrastructure Support for Field Work
- 2.5 Supporting Activities for Forest management (Research and Training, Monitoring and Evaluation, and, Enhancement of Geographic Information System (GIS) and Management Information System (MIS))

## **2.2. Project Area**

**Project A covers 12 districts:-** Belgaum, Chamarajnar, Chickmagalur, Dakshina Kannada, Dharwad, Hassan, Haveri, Kodagu, Mysore, Shimoga, Udupi and Uttar Kannada.

**Project B covers 17 districts:-** Bagalkote, Bangalore (Rural), Bangalore (Urban), Bellary, Bidar, Bijapur, Chikaballapur, Chitradurga, Davanagere, Gadag, Gulbarga, Kolar, Koppal, Mandya, Raichur, Ramnagar and Tumkur.

## **3. Task and Responsibilities of the Midterm Review and Evaluation**

- 3.1 To review and evaluate overall performance under JBIC assisted KSFMBBC project keeping in view its objectives, strategies, processes, components and model wise achievements under the project.
- 3.2 To identify the lessons learnt and experiences gained with a view to provide inputs for the further implementation of the Project.

#### 4. General Objectives of Midterm Review and Evaluation

The main objective of Midterm Review and Evaluation is to promote higher levels of efficiency and effectiveness of the project. Midterm Review and Evaluation focuses on the relevance, efficiency and effectiveness of the project plans. Midterm Review and Evaluation strengthens the monitoring of the implementation stage. The project will be assessed from the following stand points:

<b>Item</b>	<b>Content</b>
<b>Relevance</b>	Examine the relevance of the project objectives and plans both at appraisal and at present, taking into consideration changes in background factors and presumed conditions.
<b>Efficiency</b>	Compare plans for outputs, terms and costs with the results and analyze the efficiency of project implementation
<b>Effectiveness</b>	Compare plan and actual figures using operational and effect indicators and internal rate of returns (IRR) to examine the extent to which project objectives have been achieved.

#### 5. The Specific Objectives of Midterm Review and Evaluation

- 5.1 To assess the effect and impact of the project objectives and components.
- 5.2 To review and evaluate the qualitative and quantitative aspects of the project achievements.
- 5.3 To evaluate the functioning of VFCs/SHGs under JFPM and make recommendations for their sustainability as peoples' institutions.
- 5.4 To assess the impact of the project on socio-economic condition of the people.
- 5.5 To evaluate the IGAs to make suggestion for further improvement.
- 5.6 To study and assess the progress of the Project in terms of achievement of the Operation and Effect indicators agreed to at the time of project appraisal.
- 5.7 To analyze and evaluate reasons for success, and shortfall if any, in project objectives and activities.
- 5.8 To record and highlight the exemplary success stories for replication elsewhere.

#### 6. Approach to Review and Evaluation Processes

- 6.1 Midterm Review and Evaluation will be undertaken by an Independent Evaluator. Independent Evaluator, who is an expert in development projects or evaluation, would be

chosen through competition by public announcement. Evaluator would confer with the executive agency, collect information from beneficiaries, conduct project site inspections, etc.

- 6.2 Review and Evaluation system will focus on relevance, efficiency and effectiveness of the project.
- 6.3 The review and evaluation would be primarily based on data and other project documents provided by the Project Director and implementing forest circles/divisions/units.
- 6.4 The data collection may be formal or informal, qualitative or quantitative, or may be both, depending on the item of Review and Evaluation.

## **7. Methodology of Review and Evaluation**

The main guidelines for Review and Evaluation are given below:

- 7.1 The Review and Evaluation will cover all the works executed under JBIC assisted KSFMBC project from Financial Year 2005-06 to 2007-08 including the plantations done during 2008-09 in the advance work areas of 2007-08.
- 7.2 Participatory evaluation techniques, where special care is taken to consult the women and vulnerable/disadvantaged groups in the village, would be used wherever this is a methodology option.
- 7.3 The Review and Evaluation will be with respect to the objectives of each item of work and determine to what extent the objectives have been fulfilled.
- 7.4 Documentation of success stories will also be in the form of video recordings in CDs.
- 7.5 The Review and Evaluation team will obtain year-wise list of plantations and other works carried out in each division.
- 7.6 For each afforestation model in each division 10% of work spots and 10% of total area should be covered by random sampling.
- 7.7 The Review and Evaluation team will submit the randomly selected item of work in each division to the Project Director before commencement of Review and Evaluation and the item of such work will not be changed without prior written approval of the Project Director.
- 7.8 Works selected by random sampling should be verified in the field and details like survival percentage, growth condition, quality of works carried out, etc should be recorded by the Review and Evaluation Team.
- 7.9 Assessment of survival percentage of each plantation should be made on the basis of

random sampling. Such assessment would include information on suitability of species planted and health of surviving plants. The sampling intensity for plantations may be as follows:

<i>Areas of plantation</i>	<i>Sampling intensity</i>
<i>Less than 25 ha</i>	<i>Units of 1000 sq.m at 2% intensity</i>
<i>25- 50 ha</i>	<i>Units of 2000 sq.m at 2% intensity</i>
<i>50-100 ha</i>	<i>Units of 4000 sq.m at 2% intensity</i>
<i>More than 100 ha</i>	<i>Units of 4000 sq.m. at 1% intensity</i>

- 7.10 The sample plots laid for assessing the performance of the plantations should be geo-referenced with the help the GPS (Global Positioning System). The latitude and longitude readings should be recorded for each field spot visited by the team.
- 7.11 The Review and Evaluation team will pay attention to the aspect of distribution of seedlings under JBIC and verify the villages randomly and assess the success.
- 7.12 Distribution of seedlings should be verified Range wise to find out whether the seedlings have reached all the villages, especially the VFC villages.
- 7.13 For assessing the success of the distribution of seedlings, 5% of each, VFC and non VFC villages, should be selected in each range. The team should record quantitative and qualitative aspects of the tree species planted by farmers. The performance of different species along with their survival percentage is to be ascertained during the assessment.
- 7.14 During Farm Forestry evaluation, due weightage will be given to the impact of pricing policy, problems, constraints both from departmental staff and public angle in the seedling distribution and suggestions for improvements may be listed out.
- 7.15 It shall be assessed if the VFC Management Plans have been prepared in a truly participatory manner. Specific recommendations will be made to improve the effectiveness of the Management Plans and its awareness among the villagers.
- 7.16 While Review and Evaluating JFPM programmes, all the VFCs formed in the division will be listed and 5 percent of the total VFCs formed will be selected randomly. Small VFCs (less than 100 families), medium VFCs (between 100 and 200 families) and large VFCs (more than 200 families) will be represented in proportion of their total numbers. From

each Selected VFC, 20 VFC members will be interviewed based on random selection. The focus will be to study the role of VFC in protection and regeneration of degraded forests, extent of increase in regeneration of degraded forests, interim forest produce availability and grazing problems found if any, expectations of the VFC, involvement, role and participation of NGO, impact of VFC on forest protection, role of Self Help Groups in the JFPM activities, benefit distribution amongst VFC members and also consider whether any changes are required in the policy and rules for improving and making JFPM effective and sustainable in the future even after withdrawal of the project. The impact of Income Generation Activities on Income Generation and community development needs to be given special focus. The study will also focus on functioning aspects of VFC. While selecting and interviewing the VFC members, due attention will be given to discuss with weaker sections, poor, women, etc. In addition to this, group/ individual discussions, observations, etc., if required, will also be done.

- 7.17 The study will also examine the progress of other components like GIS/MIS, Local and Oversees Training, Research Activities, Research Studies, etc. and make recommendation for their effectivity. An assessment of the impact of training on forest officials, VFC & SHG members, NGOs, etc should be provided along with recommendations.
- 7.18 Regarding buildings constructed and the Equipments and Vehicles procured under the project, issues relating to the extent of utilization, maintenance of the assets and improvement in the efficiency of the Forest department due to improvement in infrastructures will be examined.
- 7.19 Maintenance of project related documents by KFD (like Plantation Register) and VFCs (like VFC meeting Register) will be reviewed.

## 8. The progress achieved under the Project:

Sl. No.	Item	Unit Cost	2005-06	2006-07	2007-08	Total
<b>I.</b>	<b>Afforestation</b>					
1	Model-1 Monsoon Work	ha.	10,064	6,040	4,960	<b>21,064</b>
2	Model-2 Plantation done in advance work areas	ha.	-	4,620	14,665	<b>19,285</b>

Sl. No.	Item	Unit Cost	2005-06	2006-07	2007-08	Total
3	Model-3 Plantation done in advance work areas	ha.	-	7,908	6,282	<b>14,190</b>
4	Model-4 Plantation done in advance work areas	ha.	13,615	8,409	7,418	<b>29,442</b>
5	Model-5 Plantation done in advance work areas	ha.	-	5,950	6,075	<b>12,025</b>
6	Model-6 Plantation done in advance work areas	ha.	-	360	669	<b>1,029</b>
7	Model-7 Monsoon Work	ha.	-	500	600	<b>1,100</b>
	<b>Farm Forestry</b>		-	-	-	-
8	Model-8a Monsoon Work	ha.	591	431	760	<b>1,782</b>
9	Mode-8b Seeds Supply	Tonnes	64.000	47.000	0.200	<b>111</b>
10	Mode-8c 8"x12" Raising lakh seedlings	Lakhs	2.000	1.280	0.990	<b>4</b>
11	Mode-8d 5"x8" / 4"x6" Raising lakh seedlings	Lakhs	109.000	49.000	25.990	<b>184</b>
12	Workshops / Discussion / Seminar	Nos.	6	2	8	<b>16</b>
13	Publications	Nos.	4	5	-	<b>9</b>
14	Rewards & Incentives	Nos.	-	-	20	<b>20</b>
15	Participatory Monitoring & Assessment	Nos.	-	-	-	-
16	Soil Conservation and Water Harvesting Measures	ha.	23,679	32,927	39,400	<b>96,006</b>
<b>II.</b>	<b>Protected Area Management &amp; Bio-diversity Conservation</b>		-	-	-	-
1	New Fireline Formation	Km	58	160	500	<b>718</b>
2	Habitat Improvement	ha.	118	125	1,849	<b>2,092</b>
3	Eco-development works Vaccination, Fodder Development in the Fringe Villages	Nos.	33	35	60	<b>128</b>
4	New Elephant Proof Trench (EPT)	Km	19	35	57	<b>111</b>
5	EPT Maintenance	Km	20	20	-	<b>40</b>

Sl. No.	Item	Unit Cost	2005-06	2006-07	2007-08	Total
<b>III.</b>	<b>IGA for Poverty Alleviation (Nos.)</b>		-	-	-	-
1	Formation of VFC	Nos.	417	419	364	<b>1,200</b>
2	JFPM Coordinator	Nos.	-	1	1	<b>1</b>
3	Lead NGOs	Nos.	5	5	5	<b>5</b>
4	JFPM Facilitators	Nos.	60	60	60	<b>60</b>
<b>IV.</b>	<b>Provision of Basic Infrastructure Support for Field Work</b>		-	-	-	-
1	Vehicles	Nos.	11	22	10	<b>43</b>
2	Computers	Nos.	74	74	83	<b>231</b>
3	Telephone (Mobile)	Nos.	151	-	199	<b>350</b>
4	Broadband Internet	Nos.	-	-	-	-
5	Residential Buildings	Nos.	9	-	3	<b>12</b>
6	Non-Residential Buildings	Nos.	2	-	3	<b>5</b>
7	Workshops – Technical	Nos.	3	-	1	<b>4</b>
	<b>Office Equipments</b>		-	-	-	-
8	Fax or Photo copy machine	Nos.	5	-	2	<b>7</b>
9	Cable Broad band Internet Connection Facility Service	Nos.	1	-	2	<b>3</b>
10	Dialup Internet Connection Kit	Nos.	-	-	-	-
<b>V.</b>	<b>Supporting Activities for Forest Management</b>		-	-	-	-
1	Working Plan- GIS / MIS	Nos.	-	-	-	-
2	Research- Mist Chamber	Nos.	-	-	-	-
3	Research- Seed Development Unit	Nos.	-	-	4	<b>4</b>

Sl. No.	Item	Unit Cost	2005-06	2006-07	2007-08	Total
4	Research- Tissue Culture Laboratory	Nos.	-	-	-	-
	<b>Research- Operation Cost</b>		-	-	-	-
5	Seed Orchards	ha.	150	52	135	<b>337</b>
6	Seed Production Areas	ha.	490	195	391	<b>1,076</b>
7	Clonal Bank	ha.	125	26	115	<b>266</b>
8	Germplasm Bank	ha.	-	4	18	<b>22</b>
9	Clonal Orchard	ha.	78	27	107	<b>212</b>
10	Species & Progeny Trail	ha.	8	4	67	<b>79</b>
11	Identification of Plus Trees	ha.	1,175	8	630	<b>1,813</b>
12	Production of Ramets from Plus Trees (Lakh Ramets)	ha.	18	2	2	<b>21</b>
	<b>Research- Studies</b>		-	-	-	-
13	Ecological	Nos.	-	-	-	-
14	Socio-economic	Nos.	-	-	-	-
15	Silvicultural Research	Nos.	-	-	2	<b>2</b>
16	Research Fellowship	Nos.	-	-	-	-
17	Research contract	Nos.	-	-	-	-
18	Dissemination / Publication	Nos.	-	-	-	-
	<b>Training</b>		-	-	-	-
	<b>Local Training</b>		-	-	-	-
19	1 week training to VFC & SHG members	Batch	120	216	-	<b>336</b>
20	2 week training to VFC & SHG members	Batch	45	41	195	<b>281</b>
21	Development of Integrated Management	Nos.	-	-	-	-
22	CT:CT (Community training to Community Training)	Nos.	-	-	-	-

Sl. No.	Item	Unit Cost	2005-06	2006-07	2007-08	Total
23	Training to VFC President & Managing Committee Members.	Nos.	10	52	35	<b>97</b>
24	Local Training – NGOs.	Nos.	2	3	2	<b>7</b>
25	Training - Forest Guards / Foresters.	Nos.	30	28	12	<b>70</b>
26	Training for Computer literacy to the supporting staff	Nos.	-	-	6	<b>6</b>
27	Training for Financial Management to the supporting staff	Nos.	-	-	6	<b>6</b>
28	Training for HRD and Team Building to the supporting staff	Nos.	-	-	6	<b>6</b>
29	Training - RFOs .	Nos.	30	25	3	<b>58</b>
30	Training - CFs, DCFs & ACFs.	Nos.	4	8	4	<b>16</b>
31	Training - Senior Officers outside the State.	Nos.	172	146	91	<b>409</b>
32	Over seas training	Nos.	-	-	-	-
33	2-12 months	Nos.	-	6	6	<b>12</b>
34	MSc., / PhD.,	Nos.	-	-	-	-
35	Consultancy	Nos.	-	3	-	<b>3</b>
<b>VI.</b>	<b>Repairs, Maintenance and Office Expenses</b>		-	-	-	-
1	Office Expenditure	Nos.	30	19	30	<b>79</b>
2	Fuel Expenditure	Nos.	80	40	80	<b>200</b>
3	Travel Allowance	Nos.	40	20	40	<b>100</b>
4	Repairs	Nos.	10	5	10	<b>25</b>
5	Building Maintenance	Nos.	200	100	200	<b>500</b>
<b>VII.</b>	<b>Salary of Redeployed Staff</b>	Nos.	<b>2,053</b>	<b>2,053</b>	<b>2,053</b>	<b>2,053</b>

## 9. Time Frame

The Review and Evaluation study shall be completed and report submitted in six months starting from the date of agreement. The timeline will be as under:

<b>Serial No.</b>	<b>Deliverable item</b>	<b>To be delivered by</b>	<b>Date of delivery</b>
1.	Inception report along with the list of documents and necessary information to be provided by the PMU	Consultant	Two weeks from the date of Agreement.
2.	Details of the works selected for review/study for approval of the Project Director	Consultant	Six weeks from the date of Agreement
3.	Submission of the draft Report after evaluation and review	Consultant	Eighteen weeks from the date of Agreement
4.	Submission of the draft Final Report	Consultant	Twenty-one weeks from the date of Agreement
5.	Submission of the Final Report	Consultant	Twenty-four weeks from the date of Agreement

Sd/-  
for and on behalf of

Agency Identified

WITNESSES

1.

2.

Sd/-  
for and on behalf of KARNATAKA

Chief Conservator of Forests (Projects)  
Bangalore.

WITNESSES