Republic of India

Impact Evaluation of the Jharkhand – Chhattisgarh Tribal Development Programme (JCTDP)

Approach Paper

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Abbreviations and acronyms

AFC	Agriculture Finance Corporation
APR	Asia and the Pacific Regional Division
CLP	Core Learning Partnership
CPE	Country Programme Evaluation
CPM	Country Programme Manager
DEA	Department of Economic Affairs
DFID	Department for International Development
DoNER	Development of North Eastern Region
EC	Evaluation Committee
GDP	Gross Domestic Product
GoI	Government of India
ICRISAT	International Crops Research Institute for the Semi-Arid Tropics
IFAD	International Fund for Agricultural Development
IFPRI	International Food Policy Research Institute
IOE	Independent Office of Evaluation of IFAD
INR	Indian Rupee
JCTDP	Jharkhand-Chhattisgarh Tribal Development Programme
J-PAL	Poverty Action Lab
JTELP	Jharkhand Tribal Empowerment and Livelihoods Project
PESA	Panchayats (Extension to the Scheduled Areas) Act
PTG	Primitive Tribal Groups
RIMS	Results and Impact Management System
SF	Selectivity Framework
TDS	The Tribal Development Society
USD	United States Dollar
3iE	The International Initiative for Impact Evaluation

Impact evaluation of the Jharkhand – Chhattisgarh Tribal Development Programme
Approach Paper

I. Institutional background

1. In line with the IFAD Evaluation Policy and agreement of the Executive Board, and consistent with the role of independent evaluation offices in other multilateral development organisations, the Independent Office of Evaluation of IFAD (IOE) introduced impact evaluations in its 2013 work programme as a new product. The first impact evaluation by IOE was conducted in Sri Lanka of the Dry Zone Livelihood Support and Partnership Programme[1], which was completed in end-2013.

2. In 2014/2015, IOE is undertaking its second impact evaluation, as approved by the Executive Board in December 2013. The programme selected for the second impact evaluation is the IFAD-supported Jharkhand-Chhattisgarh Tribal Development Programme in India (JCTDP).

3. The programme was selected for impact evaluation using a comprehensive selectivity framework. The latter was developed by IOE this year to enhance the transparency in prioritising and selecting projects for impact evaluations by IOE.

4. Based on the selectivity framework, *inter-alia*, IOE will undertake impact evaluations: (i) in countries where a country programme evaluation is planned in the near future; and (ii) of projects that have innovative characteristics and potential for scaling up that are worth deeper analysis and that are relatively large in terms of loan amounts and coverage of beneficiaries. Priority will be given to projects that have an adequate amount of self-evaluation data to ensure the impact evaluation can be done in an effective and efficient manner.

5. It is important to underline that independent impact evaluations by IOE are not part of the impact evaluations being undertaken by Management in the IFAD9 period (2013-2015) or beyond, and that projects selected by IOE for impact evaluations do not overlap with those selected by the IFAD Management. To this end, a specific criterion to avoid duplication with (project) impact evaluations by IFAD Management was included in the selectivity framework. Impact evaluations by the Management can be considered an additional product within IFAD's overall self-evaluation system.

6. **General Objectives.** IOE's involvement in impact evaluations is geared towards strengthening accountability and learning. In particular, impact evaluation by IOE aims to: (i) assess impact in a more quantitative manner, while also paying due attention to qualitative aspects; (ii) experiment with innovative evaluation methodologies and processes; and (iii) generate valuable evidence for country programme evaluations and other higher plane evaluations to be done by IOE in the near future.

7. **Lessons learnt from the Sri Lanka - Dry Zone Livelihood Support and Partnership Programme impact evaluation (DZLISPP).** The JTDP impact evaluation will build on IOE's previous experience in conducting impact evaluations. The DZLISPP impact evaluation revealed a number of lessons learned concerning both methodology and the processes that should be considered in similar future activities, in particular that:

    - The absence of a baseline survey required the selection of specific methodologies for ensuring a rigorous impact evaluation;

[1] The final evaluation report was discussed with the Evaluation Committee in its 79th session on 27-28 November 2013.

- In the Sri Lanka case, therefore, IOE adopted a quasi-experimental mix-methods approach (i.e., propensity score matching), allowing the assessment of impact in a quantitative manner while also paying attention to qualitative aspects of IFAD operations;
- Findings on impact were more mixed and nuanced compared to those included in the project's monitoring & evaluation (M&E) system and completion report; and
- Impact evaluations take time and careful *ex-ante* planning is essential to ensure timely completion of the exercise. For instance, villages covered in the impact evaluation that are located in remote rural areas will have implications for logistics and the time taken for data collection. Also, within the IFAD context, hiring a company to collect primary data will require competitive bidding process, which is rather labour intensive.

II. Context

8. **National socio-economic situation.** India is the second most populous country, with 1.2 billion people, as well as one of the largest economies in the world. Since independence in 1947, industrial development and gross domestic savings increased substantially, inducing significant improvements in living conditions: doubled life expectancy, quadrupled literacy, improved health conditions, and the emergence of a significant middle class. In 2014, India's GDP growth rose to 6.2 per cent compared to 5.7 per cent in South East Asia and 5.3 per cent in developing countries in general. Despite the remarkable economic growth, poverty and inequality remain major issues for India. With poverty rates nearly four times higher than those in more developed countries, India is still considered one of the poorer middle-income countries[2]. In fact, although the overall number of poor in the country is declining, with a poverty headcount ratio of 29.8 per cent in 2010 compared to 37.2 per cent in 2005, almost one third of the country's population continues to live below the poverty line, with the deepest poverty among members of scheduled castes and tribal people[3].

9. The scheduled[4] castes and scheduled tribes are groups identified in the Constitution of India. Tribal populations are historically the most discriminated communities and the most disadvantaged in terms of poverty, illiteracy, nutritional and health status. The scheduled castes are history's longest standing oppressed people group and traditionally regarded as the 'untouchables' or the Dalits. The scheduled tribes, also called Adivasis, are groups that did not agree to the caste system. They are indigenous people who dwell deep inside forests, away from society. The Primitive Tribal Groups[5] are the least acculturated and most isolated among the tribal population groups. They are distinguished on the basis of a number of indicators of backwardness, such as: (i) pre-agricultural level of technology, (ii) low level of literacy, and (iii) stagnant or diminishing population. India has the largest tribal population in the world, with about 532 scheduled tribes with each its own ethnicity and culture. Between 2001 and 2011, the total population of scheduled tribes increased by almost 24 per cent to around 104 million people, representing around 8.5 per cent of the total Indian population[6].

10. The government acknowledges the need for state intervention in poverty alleviation and empowerment of the above mentioned communities. To this end, it enacted the Panchayats (Extension to the Scheduled Areas) Act (PESA) in 1996, with the

[2] World Bank (2014).
[3] United Nations Development Programme (2011a).
[4] The scheduling of communities evolved out of the British colonial era and was first categorized in the Constitution through the Government of India (Scheduled Caste) order in 1936.
[5] Nowadays referred to as particularly vulnerable tribal groups.
[6] In 2011.

aim of enabling tribal self-rule to the Scheduled areas of 9 States[7], including Chhattisgarh and Jharkhand[8]. It also established a dedicated Ministry for Tribal Affairs in 1999 with the objective of providing more focused attention to ensuring integrated socio-economic development of scheduled tribes, in a coordinated and planned manner. This Ministry emerged out of the Ministry of Social Justice & Empowerment, who are, amongst others, dedicated to the welfare of the scheduled caste and other backward classes.

11. **Socio-economic overview of the programme area.** Jharkhand and Chhattisgarh are two adjoining states carved out of Bihar and Madhya Pradesh, respectively, in November 2000. The programme, originally approved by the IFAD Board as the Bihar-Madhya Pradesh Tribal Development Programme, was renamed as the Jharkhand Chhattisgarh Tribal Development Programme. The following paragraphs provide a brief analysis of the main changes in socio-economic indicators at state level, during the programme's implementation between 2001-2011.

12. Tribal population[9]. Between 2001 and 2011 Jharkhand's population increased by 22 per cent to 32.9 million equal to 2.62 per cent of India's population, of which three-quarter is rural. Similar trends can be observed for Chhattisgarh. Together they are home to 16.25 per cent of India's scheduled tribes. In 2001 Jharkhand had the second highest proportion of scheduled tribes (26.3 per cent) after Chhattisgarh (31.8 per cent). In 2011, this ratio remained unchanged for Jharkhand, but slightly diminished in Chhattisgarh to 30.6 per cent. Nevertheless, Chhattisgarh has one of the highest shares of scheduled tribes within a state.

13. Human development. Jharkhand is considered one of the most industrialized states in India and both states are richly endowed with minerals. By contrast, industrial development did not bring prosperity to the populations of Jharkhand and Chhattisgarh during the last 50 years. Land acquisition by the state for the setup of development projects (heavy industry, mines, dams, etc.) occurred in regions where mostly tribal people were settled, resulting, especially for these people, in large-scale displacement. The majority of the tribal population still depend on rural activity and mainstream society with its economic development, politics and cultural practises are alien to them. With the nationalization of forests and displacement over the years, the scheduled tribes have become more dependent on agriculture, and to some small extent, on unskilled jobs in the urbanized areas.

14. Both states rank low on human development and are home to some of India's poorest people. During the course of the JCTDP, the percentage of rural people below poverty line declined only scarcely in Jharkhand by 1.04 per cent, almost in line with national level (-1.39 per cent). In Chhattisgarh however, the number increased by 7,55 per cent[10]. Both states also score high on the India's state hunger index with 28.7 and 26.6 respectively, with respect to India's score of 23.7 in 2008. This places both states in the "alarming" category of the global hunger index[11], caused by relatively high levels of malnutrition and undernourishment. This poor performance is driven by its high levels of child under nutrition. As high as nearly 50 per cent population of children under five years of age in Chhattisgarh and 57.1 per cent in Jharkhand are underweight, especially among the tribal people in the rural areas[12].

[7] Andhra Pradesh, Chhattisgarh, Gujarat, Himachal Pradesh, Jharkhand, Madhya Pradesh, Maharashtra, Odisha and Rajasthan.
[8] For more information on the Panchayats Act of 1996, see the website of the Ministry of Panchayati Raj http://www.panchayat.gov.in/pesa.
[9] All statistics from this paragraph come from the census of India 2001+2011-tabulated in annex II.
[10] Percentages compared between 2000 and 2011. See also annex II.
[11] Score between 20.0-29.9 is categorized as alarming in the global hunger index.
[12] International Food Policy Research Institute (2009).

15. Rural sector. In the rural areas, most of the tribes have poor living conditions and lack access to education and health facilities as well as to highly productive means of livelihood. The majority of rural women are illiterate (60 per cent over the total rural female population in both states). Although around 90 per cent of tribal people are primarily active in agriculture, only a minor percentage is able to fully survive on it. Other sources of income derive for a large part from livestock, but also from forest produce and non-timber forest products, handicraft, wage employment[13] and self-employment. The subsistence of the primitive tribal society is mainly based on hunting, forest products and shifting cultivation.

16. For both states, the main crop is paddy rice followed by maize and wheat, small millets and pulses. Of the available cultivated land, only a very low percentage is irrigated. Agriculture is considered a highly vulnerable business, also because of small and marginal holdings, mono cropping, low investment, low productivity, inadequate irrigation facilities and dependence on erratic monsoon rains. In fact, the growth rate of gross state domestic product in the sector fluctuates greatly[14];

17. In spite of being a vulnerable sector, statistics in Annex III show that production numbers in the states did increase during the course of the programme. The total production of cereals, for example, increased between 2001 and 2011 by almost 15 per cent in Jharkhand, whereas it doubled in Chhattisgarh. Similarly, the production and variety of vegetables increased and expanded populations of livestock can be observed as well.

18. The overall rural population among the scheduled castes and tribes is also increasing, especially among the agricultural labourers. The number of rural cultivators among the two people groups is however declining in the two states. Annex II provides an overview of main socio-demographic indicators at both national and state level.

19. Gender. Tribal women play an important role in the agriculture and forest based economy resulting in relatively favourable gender relations, particularly amongst the primitive tribal groups. It is however suggested that this status is under threat in light of emerging wider socio-economic changes such as: (i) migration and correlated bigamy, (ii) alcoholism and (iii) biased development interventions, mainly related to inequality in property rights, due to old traditions and taboos deterring women of land inheritance rights.

III. Key programme information

20. As mentioned earlier, the **programme title** is Jharkhand-Chhattisgarh Tribal Development Programme (JCTDP), with the IFAD loan number 506-IN.

21. **Timeline.** The JCTDP was approved by the Executive Board on 29 April 1999. It became effective on 21 June 2001 and was completed in Chhattisgarh on 1 January 2010. In Jharkhand, the programme was extended and completed on 30 June 2012. Table 1 on the next page summarizes key programme dates of the JCTDP.

22. The Executive Board approved a scaling-up of the programme (only) in Jharkhand on 21 September 2012, with an estimated cost of USD 115.6 million including an IFAD loan of USD 51 million. This Jharkhand Tribal Empowerment and Livelihoods Project (JTELP) is effective since 4 October 2013 and expected to be completed on 31 December 2021.

[13] In both non-agricultural work and agricultural work.
[14] Central Statistical Organisation (CSO) and Ministry of Agriculture, Government of India (2013).

Table 1
Key programme dates of the Jharkhand Chhattisgarh Tribal Development Programme

IFAD Approval	*Signing*	*Effectiveness*	*Mid-Term Review*	*Original Loan Closing*	*Actual Loan Closing*	*Original Completion*	*Actual Completion*
29Apr 1999	13Mar 2001	21Jun 2001	Jan-Feb 2006	31Dec 2009	27Jul 2010[15]	30Jun 2009	30Jun 2012 (Jharkhand) 01Jan 2010 (Chhattisgarh)

Source: IFAD's PCR Validation Mission Main Report (2012).

23. **Programme area.** Each state in India is divided into districts. In the rural areas, each district is further divided into blocks comprising several villages or village clusters. In Chhattisgarh, the programme covered three districts - namely Surguja, Raigargh and Jashpur, including 13 blocks[16] and 434 villages. In Jharkhand, it was supposed to cover three districts - namely East Singhbhum, West Singhbhum, and Ranchi – but in fact also Khunti and Saraikela-Kharsawan have been covered for a total of 12 blocks and 330 villages[17]. Three Programme Management Units (PMUs) were established in Chhattisgarh, one located in Raipur and the other two in the districts. In Jharkhand, two District Project Management Units were established at Ranchi and Chaibasa. Each PMU was headed by a District Project Manager (DPM) and a small team of sector professionals.

24. **Target group.** The target group consisted of all households in villages, hamlets and habitations with tribal communities, primitive tribal groups and scheduled caste population of not less than 50 per cent of the total population - in which the majority of the households live below the poverty line. Since JCTDP also aimed to reinforce the watershed development in the programme area it was impossible to restrict support exclusively to the households below the poverty line. Both tribal and non-tribal populations are included, but the tribal people have the largest representation. Special attention was paid to groups that are in the process of being marginalised such as women, landless, semi-landless, small holders, hill cultivators, scheduled caste and primitive tribal groups. As per data from the JCTDP, it covered 86 888 households at the time of closure, as compared to 86 000 expected at appraisal. This entails a total number of 494 970 beneficiaries as indicated in table 2 here below.

Table 2
Target population

	Total	*Direct*	*Indirect*	*Women*	*Men*
Number of beneficiaries	494 970	418 435	76 535	204 999	213 436

Source: IFAD's PCR Validation Mission Main Report (2012).

25. **Objective.** The programme aimed to develop and implement a replicable model that ensures household food security and improves the livelihood opportunities and the overall quality of life of the target group, based on a sustainable and equitable use of natural resources.

26. To this end, the programme comprised the following components: (i) *beneficiary-empowerment and capacity-building*: especially of tribal grass-roots associations and users' groups, financing awareness-creation on tribal rights and gender issues, farmer-based technical training and managerial and legal strengthening;

[15] Being a single loan, actual Loan Closing date for JCTDP remains the same, i.e. 31st of December 2012. However, Chhattisgarh project was reimbursed till 27th of July 2010 while its programme activities ended on the 1st of January 2010.
[16] 3 more than planned at appraisal, information retrieved during the preparatory mission to India.
[17] Information retrieved during the preparatory mission to India.

(ii) *livelihood-systems enhancement*: with particular focus on infrastructure, land and rural water management, community-based forest management as well as livestock production improvement, rural micro-finance, health and nutrition services and the development of a crops research programme; and (iii) *programme management*: mainly targeting the mobilization of beneficiary communities and the construction of working linkages with donors, NGOs and government staff. The logical framework can be seen in annex VII.

27. **Programme costs.** The expected cost of JCTDP at appraisal was USD 41.7 million. This comprised an IFAD loan of USD 23 million, counterpart funding of USD 4.8 million by the Governments of Jharkhand and Chhattisgarh, beneficiary contribution of USD 3.4 million, and co-funding of USD 10.5 million by DFID. The expected co-financing of DFID never materialized. DFID had to withdraw before programme effectiveness since priority had been given to Bihar and Madhya Pradesh, and after the formation of Jharkhand and Chhattisgarh, no funds were made available by DFID for the newly created states.

28. Expenditure records were maintained separately, respectively, by the programme management units, district programme implementation units, the tribal development society, NGO's and other service providers. Disbursements were projected over a period of 8 years, starting at the beginning of June 1999.

29. **Organization and management.** The Tribal Development Society (TDS) of both states had the overall responsibility of programme implementation. The TDS of Jharkhand existed before the JCTDP and operates within the overall framework of the Welfare Department of the state, while the TDS of Chhattisgarh was created when the programme started and operates within the overall framework of the Tribal Development Department. The board of the TDSs comprises representatives of both governments and representatives of beneficiaries and facilitating NGOs. Village assemblies (Gram Sabha) were responsible for the co-ordination, planning and monitoring of the programme activities. Eighty-three partner-facilitating NGOs assisted the Gram Sabha in the overall implementation of the programme. Other Programme partners are: the World Food Programme (WFP), International Crops Research Institute for the Semi-Arid Tropics (ICRISAT) in Hyderabad, and the Government of India at both central and states levels.

IV. Programme's evaluability assessment

30. As mentioned in paragraph 2, the JCTDP has been identified for the impact evaluation based on the application of IOE's selectivity framework (SF). The SF includes a set of criteria grouped into three main categories: *essential, desirable and technical*. The logic guiding the implementation of the SF is as follows: (i) only projects meeting the *essential* criteria are exposed to the *desirable* criteria; and (ii) thereafter, the ones with the highest rating are assessed against the *technical* criteria and subjected to an evaluability assessment, which guides IOE's final decision on the project to be evaluated.

31. Under the technical criteria, the programme evaluability is assessed against the quality and availability of: (i) data deriving from IFAD programme documents available in house; and (ii) data and information available at the country/programme levels.

32. JCTDP programme documents available in IFAD include:

    i. President's report, containing the programme's design and logical framework;

    ii. Appraisal report;

    iii. Supervision reports;

    iv. Mid-term review report, which includes data on the programme's emerging results as of September 2006;

v. Project Completion Report (PCR), including RIMS indicators on impact and validation report by IFAD's Asia Pacific Regional Division (APR);

vi. Thematic studies, such as: (i) "Socio-economic study of tribal area (districts) in Bihar" by the Council for Social Development in New Delhi, (ii) a study report on "Participatory Development Framework, Community Institution Building, Indigenous Social Structure, Women's Participation, and Role of NGO's" submitted by Surendra Kumar Vettivel; and (iii) a report on "Madhya Pradesh Tribal Development Project Farming Systems Study" prepared by BAIF Development Research Foundation in Pune, India.

33. With regard to the data available in the field, the preparatory evaluation mission carried out by IOE to India at the beginning of June 2014 found out that baseline surveys, monitoring and evaluation data and some impact assessment reports (prepared by the project authorities) are available for both States.

34. The technical assessment on the usability of baseline data revealed that the sample size for the baseline studies is very small for both treatment and comparison groups. For example the baseline survey conducted in 2015 in Chhattisgarh covered only 495 households in 33 programme villages (15 from each) and 90 households in 9 comparison villages (10 from each), while the one for Jharkhand covered 449 households in 28 programme villages, with no comparison group. Moreover, there is no mention of considerations for the sample size decision. This usually includes: (i) key indicators to be estimated; (ii) level of significance; and (iii) amount of change that needs to be captured in the subsequent evaluation. Therefore, the usability of available data for any statistically robust impact evaluation is very poor.

V. Methodology

35. This evaluation will be undertaken in line with IFAD's Evaluation Policy[18] and adopt all the key criteria for project-level evaluations set out in IFAD's Evaluation Manual[19] with a primary focus on assessing rural poverty impact. The methodology and process presented in this approach paper take into account the findings of the evaluability assessment and benefit from insights captured during the IOE field missions to India[20].

A. Key evaluation criteria

36. The prime focus of this evaluation will be on assessing impact. However, the final evaluation report will also include assessments and ratings across other key evaluation criteria included in the IFAD Evaluation Manual. These include:

i. Relevance, which is assessed both in terms of alignment of project objectives with country and IFAD policies for agriculture and rural development and the needs of the rural poor, as well as project design features geared to the achievement of project objectives;

ii. Effectiveness, which measures the extent to which the project's immediate objectives were achieved, or are expected to be achieved, taking into account their relative importance;

iii. Efficiency, which indicates how economically resources/inputs are converted into results;

iv. Rural poverty impact, which includes five domains: household income and assets; human and social capital and empowerment; food security and agricultural productivity; natural resources, environment and climate change;

[18] http://www.ifad.org/pub/policy/oe.pdf.
[19] http://www.ifad.org/evaluation/process_methodology/doc/manual.pdf.
[20] Preparatory mission in June and field mission to Jharkhand planned in December 2014.

and institutions and policies. Further discussion on the assessment of impact may be found in section B of this chapter;

v. Sustainability, indicating the likely continuation of net benefits from a development intervention beyond the phase of external funding support. It also includes an assessment of the likelihood that actual and anticipated results will be resilient to risks beyond the project's life;

vi. Pro-poor innovation and scaling up, assessing the extent to which IFAD development interventions have introduced innovative approaches to rural poverty reduction and the extent to which these interventions have been (or are likely to be) replicated and scaled up by government, private sector and other agencies; and

vii. Gender equality and women's empowerment. This criterion is related to the relevance of design in terms of gender equality and women's empowerment, the level of resources committed, and changes promoted by the project. The latter will be analysed in detail within the five impact domains.

37. In addition, the performance of partners (IFAD and the Government of India) will also be assessed, as in all project evaluations by IOE.

38. In line with the IFAD Evaluation Manual, all the above criteria will be rated on a scale from 1 to 6, with 6 representing the best and 1 the worst score. Moreover, project ratings falling into the three higher ratings (4-6) will be classified as "satisfactory" while the three lower ratings (1-3) as "unsatisfactory". The ratings from this impact evaluation will inform the 2015 Annual Report on Results and Impact of IFAD Operations (ARRI) to be produced by IOE next year.

B. Impact

39. **Definition.** IOE defines impact as "the changes that have occurred – as perceived at the time of evaluation – in the lives of the rural people (whether positive or negative, direct or indirect, intended or unintended) as a result of IFAD interventions"[21]. This definition is consistent with the OECD/DAC definition for impact.

40. **Theory of change (ToC).** This impact evaluation will not only assess "if", but also "how" and "why" the programme has, or has not, had an impact on selected households and communities in the programme area. To this end, the evaluation will test the programme's theory through the links in the causal chain. The analysis of the logical framework, as per the project design document, was at the basis of the development of the ToC, which can be seen in Figure 1 on the next page.

41. The overall goal of the programme was to improve the quality of life of communities of the Programme Target Area through: (i) enhanced households food security, (ii) sustainable and equitable use of and access to natural resources, as well as, (iii) strengthened institutions and policies. The programme interventions were grouped into three main components: (i) beneficiary empowerment and capacity-building, (ii) livelihood-systems enhancement, and (iii) programme management.

42. Beneficiary-empowerment and capacity-building entailed broad-based awareness-creation on tribal rights and gender and equity issues. It also included managerial strengthening of Gram Sabha members and technical training of beneficiary households in conjunction with the implementation of crops, animal husbandry, fisheries and soil and water conservation activities. Livelihood-systems enhancement focused on land and water conservation measures, irrigation management, rural potable water supply and the access to tracks and rural roads. It also involved engagement of formal research institutions and state agricultural

[21] http://www.ifad.org/evaluation/process_methodology/doc/manual.pdf.

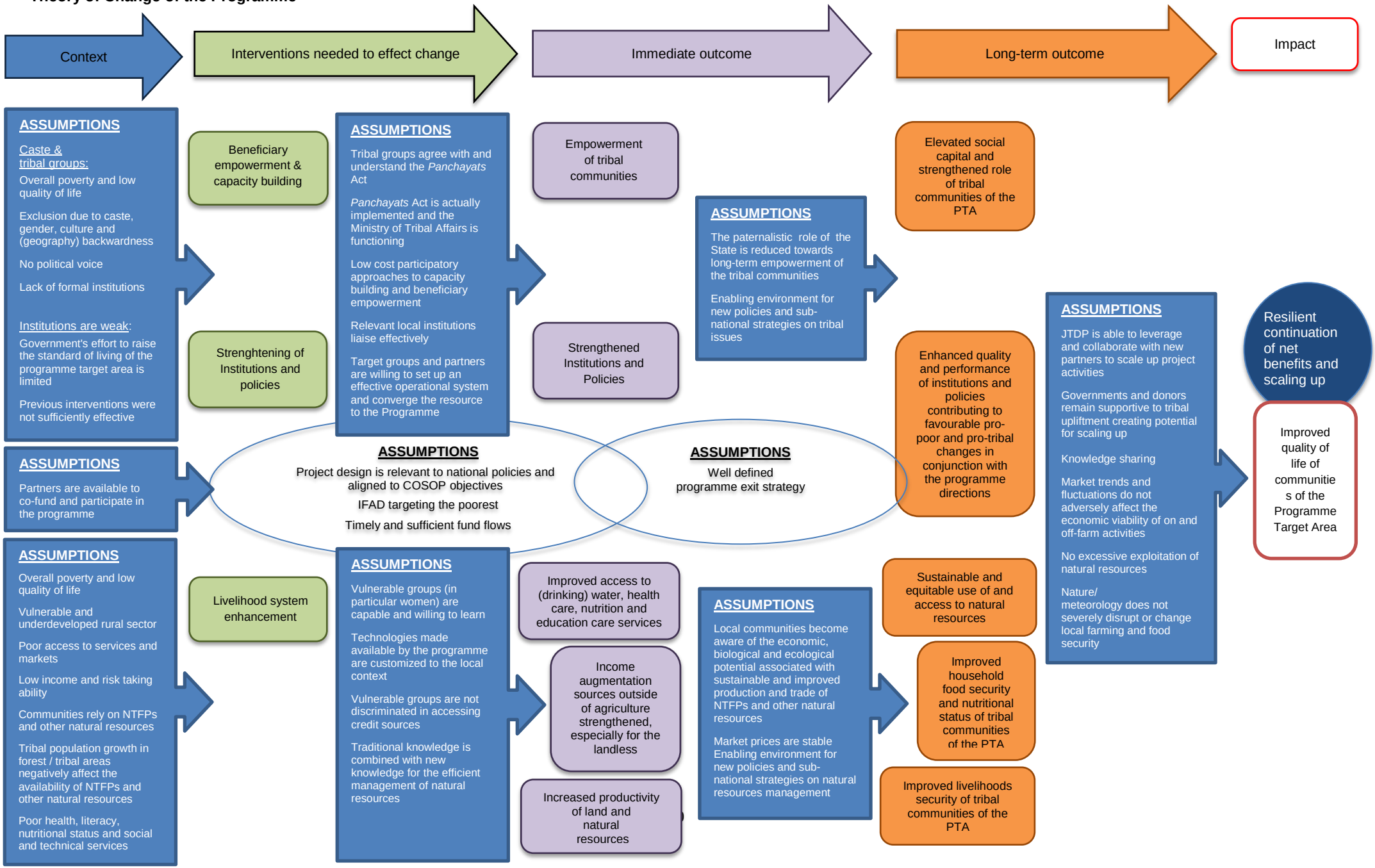
universities for adaptive research at the same time supporting group farm and forestry activities, livestock systems strengthening and aquaculture.

43. Along with this, the programme fostered an approach to developing viable rural financial service in the programme area through promotion of SHGs-involving fund mobilization and generating members' savings. It also aimed at developing alternative, community-based financial services mechanism, making provision for health and nutrition services, and financing the recruitment and training of village health volunteers and traditional birth attendants. For programme management, Tribal Development Societies (TDS) were established in each state along with programme management units and two District Programme Implementation Units (DPIUs). Non-Government Organizations supported the TDSs in mobilizing the beneficiary communities in implementing the programme.

44. The analysis of the programme logic revealed that some of the key assumptions at the different levels of the results chain were not taken into account at design. Therefore, the ToC was reconstructed ex-post and discussions were held with programme personnel in both States to finalize it and capture programme adjustments and strategic shifts. Based on these discussions, the causal links and assumptions in the programme logic were further detailed and embedded in the visual representation of the ToC.

Figure 1

Theory of Change of the Programme



45. Further to the reconstruction of the ToC, the evaluation indicator matrix displayed in table 3 was developed to describe the effects of the programme at immediate outcomes, long-term outcomes and impact levels.

Table 3
Indicator matrix

Results chain	*Description*	*Indicators*
Impact	Improved quality of life of communities of the Programme Target Area (PTA)	Standard of Living Index[22] (SLI)
		Number of people moved out of poverty based USD1.25/day and USD 2/day
Long-term outcomes	Improved household food security of tribal communities of the PTA	% of HHs reporting year round availability of food
		% of 0-5 years children malnourished and severely malnourished
		Investments of landholders in the productivity of their landholdings
	Improved livelihoods security of tribal communities of the PTA	% of HH reporting increased engagement in primary livelihoods activity (intensification of livelihoods portfolio)
		% of HH reporting increase in number of sources of income (diversification of livelihood portfolio)
		% of HHs reporting at least x% increase in HH income
Immediate outcomes	Empowerment of tribal communities	% of respondents having knowledge of key provisions of Atrocities act, FRA, NREGA
		% of respondents reporting participation in Gram Sabhas in the last one year
		% of GSPEC members elected to PRIs
		% of women of reporting participation in Gram Sabhas in last one year
		% women reporting increased participation in HH decision-making
		% of GSPEC members elected to PRIs
	Increased productivity of land and water resources	Net/Gross cultivable area
		Yield of major crops (Paddy, tomato, cauliflower, okra, brinjal and potato)
		Value of accessed or owned land (by gender) as a proportion of the total value of all household land (in local currency)
		Area of accessed or owned land (by gender) as a proportion of the total area of all household land (in acres)
		Annual patterns of household collection, consumptions and sale of different NTFPs
		Yields figures and growth patterns for selected NTFPs
		Forest coverage (before and after the programme) and forest regeneration
	Income augmentation sources outside of agriculture strengthened especially for the landless	% of HH reporting engagement in IGAs (Livestock, Fishery, Lac cultivation, enterprise, Imli collection etc.) through SHG/CIG or at individual level
		% of HHs reporting savings (in SHG and other sources)

[22] Standard index used as part of the National Family Health Survey; (http://www.rchiips.org/nfhs).

Results chain	*Description*	*Indicators*
		HH reporting access to credit from SHGs/VCC/VDF
	Improved access to drinking water, health care, nutrition and education care services	% of HH with access to safe source of drinking water (from an hand pump)
		% of women delivered in the last one year reporting institutional deliveries
		% of children (0-5 years) fully immunized
		% of children of 6-14 years (especially girls) enrolled in schools

46. The impact evaluation will be guided by four core evaluation questions:

- To what extent can impact be attributed to the intervention?
- Has the intervention made a difference in the life of the target group?
- How has the intervention made a difference?
- Can this be expected to work elsewhere?

47. A set of evaluation questions will be developed and embedded in the evaluation framework at the outset of the evaluation process. Some of the key questions to assess impact are displayed in table 4.

Table 4
Key evaluation questions[23]

IFAD impact domains	*Key evaluation questions*
a) household income and assets	a.1 What have been the changes on incomes and assets? a.2 Has JCTDP increased vulnerable group's (in particular the women) income-generating capacity in targeted areas with respect to non-targeted areas? a.3 What has been the programme contribution to the creation of alternative sources of income?
b) human and social capital and empowerment	b.1 To what extent the programme contributed to strengthening the role of community based organizations, *inter alia*, in planning and executing development activities? b.2 What has been the impact on gender equality and women's empowerment? In particular: • Has JCTDP facilitated: (i) changes in gender roles and women's access to income from productive activities; (ii) changes in men's and women's access to local grass-roots organizations and to services from public institutions (e.g. health and education); (iii) changes in men's and women's roles in household food security and nutrition; (iv) men's and women's access to basic infrastructure. b.3 Has JCTDP facilitate access to land by vulnerable groups? b.4 Has JCTDP improved knowledge on watershed and crop / livestock /aquaculture management? b.5 Has JCTDP improved knowledge on tribal rights by vulnerable groups?
c) food security and agricultural productivity	c.1 What have been the changes on the food security and productivity? In particular: • What have been the changes in the average agricultural/livestock productivity of the programme's area with respect to another area not involved in the programme? • Has JCTDP increased the average value of production as well as average yields per hectare of the beneficiaries with respect to non-beneficiaries? • Has JCTDP increased on average the percentage of commercialized production of the beneficiaries with respect to non-beneficiaries? • What have been the changes in nutrition and health conditions? • Has JCTDP contributed to long-term technological change?

[23] These questions are organised according to the five impact domains that form part of the rural poverty impact criterion. The questions will be further developed at the outset of the primary data collection process, that is, during the design of the impact survey component of the evaluation.

IFAD impact domains	*Key evaluation questions*
d) natural resources, environment, climate change	d.1 What has been the impact on natural resources and environment? In particular: • To what extent the programme contributed to sustainable land, water and forest management and conservation?
e) institutions and policies	e.1 What has been the programme's contribution to the behavioural changes in local authorities and grass roots organizations?

48. **Mix-methods approach.** In order to verify the causal relationships between the programme and observed changes as described by the ToC and estimate the attribution of impact, the evaluation will use a mix-methods approach applying quantitative quasi-experimental and qualitative participatory methods. The evaluation will assess the results and impact "with or without" the programme using propensity score matching techniques. To this end, the treatment group (i.e., the programme beneficiaries) will be compared to a comparison group (i.e., those who were not part of the treatment group and therefore did not receive the treatment). The assessment of impact "before and after" the programme will be done only on bio-physical indicators related to agricultural yield, for which it is possible to reconstruct the baseline through the data available in the annual closure reports and the annual State Economic Survey reports, prepared by the Department of Economics and Statistics of the state governments.

49. **The impact survey.** Within the above framework, IOE will commission an impact survey of the JCTDP. The main aim of the impact survey is to collect and analyse primary data on both the treatment and comparison groups to measure the indicators in the results chain (in table 3) towards the assessment of the five impact domains in the IFAD Evaluation Manual (see table 5 below). The results of the survey will inform the overarching impact evaluation report, which will be prepared by IOE once the impact survey data, analysis and final report is available.

50. Efforts will be made to gain a thorough appreciation of impact in each area based on both a quantitative and qualitative analysis, as appropriate. Given their nature, it is expected that some impact domains may be better explored through quantitative analysis, others through qualitative, and some through a combination of the two. The focus will however be on quantitative analysis.

Table 5
Impact domains and analytical areas of focus

Impact domains	*Analytical areas of focus*	
	Quantitative	*Qualitative*
a) household income and assets	Data on: overall household income and household assets (including livestock)	-
b) human and social capital and empowerment	Data on gender equality and women's (and vulnerable groups in particular tribal communities) empowerment	Understanding of changes in grassroots organizations that have been facilitated by the project and their benefit to the poor. Improved knowledge on watershed and crop / livestock management and adoption rate. Improved knowledge on tribal rights by vulnerable groups (especially by women) Changes in gender roles, including household food security and nutrition, land ownership, division of workload and participation in community-level activities
c) food security and agricultural productivity	Data on average value of production as well as average yields per hectare Data on commercialized production Data on child malnutrition	
d) natural resources, environment, climate change	Data on access to natural resources such as water, forest products and pasture	On a selective basis, community-level perceptions on natural resources trends.
e) institutions and policies		Changes in policies and pro-poor orientation of public agencies and private sector organizations.

51. Quantitative part of the survey. Primary data will be collected and analysed on socio-economic indicators from a sample of households from the:

    i. treatment group; and

    ii. comparison group, to measure the difference between programme participants (treatment group) and non-participants (comparison group), after the programme is completed. This comparison group should be as similar as possible to the treatment group, apart for the fact that its members did not participate in the programme. If feasible, also the change over time of programme participants relative to the change of non-participants will be measured.

52. The impact questionnaire will comprise "tagging questions" to minimize the "contamination" effects of other development interventions (funded by the Government or other donors) on the target group and attribute impact to the JCTDP.

53. Qualitative part of the survey. The qualitative component of the survey will provide information and analysis on topics for which the quantitative analysis is not suitable and will help probe into issues that emerge from a detailed review of existing JCTDP documentation. Qualitative data collection will be conducted at the same time as the quantitative survey. Data collection may take the form of a combination of participatory techniques (focus group discussions, participatory ranking exercises, individual interactions and other techniques that are deemed appropriate).

54. Baseline data. By comparing the situation of the target group (i.e., the treatment group) "before and after" and "with or without" the programme, through a mix-methods including quasi-experimental design, the evaluation will help shed light on changes to which the operation has made a contribution. As stated earlier, the quality of the data does not meet the requirements for a solid statistical analysis, therefore baseline information will be reconstructed ex post, mainly by adopting analytical techniques that do not strictly require baseline data (e.g. propensity score matching).

55. Sampling framework for the impact survey. The sampling strategy, including the total sample size, will be determined at the time of the survey design, using information or estimates on the population's statistical characteristics (e.g., their levels of income, literacy, land holding, etc.). Based on a preliminary assessment, it is anticipated that the minimum sample size required could consist of about 4,400 households for each State, including comparison groups.

56. The sampling methodology will be articulated in three phases:

    i. Phase 1 entails the purposive selection of the blocks within the districts covered by the programme, namely: Surguja, Raigargh and Jashpur in Chhattisgarh, and East Singhbhum, West Singhbhum, Khunti, Saraikela-Kharsawan and Ranchi in Jharkhand.

    ii. In order to ensure representation, the methodology at second stage will entail random selection of project villages from each of the project blocks proportionate to the total project villages present in each block from both the states. Considering an average presence of 20 project households in each village, in order to achieve total sample of 2200, 110 villages would have to be selected in project areas from both the states. An equal number of control villages will be selected.

    iii. In order to take into account potential "spill over" effects, the sampling strategy will identify proper "comparison groups", for example by selecting communities that were initially earmarked for project support but eventually received no assistance. As an alternative or complementary option, households that did not receive project assistance, but are located in communities supported by the project could also be considered as comparison groups.

    iv. At the third stage, respondent households will be randomly selected through the development of a social mapping that will allow the identification of the number, name and position of each community in the villages. This social map will determine the spatial distribution of the communities along with their key socio-demographic features. A representative number (2-3) of hamlets having maximum concentration of the target population will be selected from the social map for the household survey. On an average 15-20 households will be covered in every village.

57. Moreover, the sampling methodology will also take into account a booster sample of 10 primitive tribal groups (PTGs) households following purposive sampling, over the quota of 20 households. This will ensure that the evaluation will get a proper insight on the impact/results not only on schedule tribes and castes, but also on the PTGs.

58. To enhance the validity and credibility of evaluation findings, the information obtained from the different methods of data collection will be triangulated, so as to identify inconsistencies in different estimates and gain deeper understanding of the reasons for these differences.

59. **Opportunities and challenges.** This impact evaluation represents an opportunity for IOE to gain deeper experience with mixed evaluation methodologies and

sharpen its capabilities in assessing impact through greater reliance on quantitative approaches. IOE's growing experience in conducting impact evaluations will also benefit IFAD as a whole, for example, as it will contribute to: (i) strengthening the internal debate on impact evaluations; and (ii) the Corporate Level Evaluation on IFAD's efforts in undertaking impact evaluations, that is provisionally planned in 2016/2017 after the finalization of the IFAD9 Impact Evaluation Initiative.

60. The main challenge in conducting this impact evaluation is related to the attribution of impact. Other interventions by Government and other international organizations inside or outside the programme area as well as unplanned events (e.g. natural disasters) or general changes processes, might have interacted with the JCTDP. Therefore, the observed changes might be only partly caused by the programme. As described in paragraph 38 and 51, IOE will try to address this problem by applying quasi-experimental mix-methods to compare the situation with the intervention to the counterfactual (e.g. situation without the intervention). Moreover, IOE will partner with other institutions (i.e. Asian Development Bank and the World Bank) that have been active in the programme area during the JCTDP period, who are also in the process of collecting data for evaluating their respective operations. This will facilitate the identification of overlaps among development interventions during implementation and help address the impact attribution issue.

61. An additional key constraint is represented by the complexity of the programme itself, as the JCTDP was implemented in two adjoining states with different legislation and different level of socio-economic development. Moreover, the programme officially closed in 2009 in Chhattisgarh and this might pose an additional challenge in terms of access to programme staff. In this regard, IOE has already been able to establish contact with former project staff[24], and efforts will be made to trace other key informants during the main impact evaluation mission. With regard to the geographic spread of the operation, due consideration will be given during the design of the impact survey (e.g., in terms of budget allocation, timelines for data collection and analysis and overall report preparation, and sampling strategy), to ensure that both states are properly covered.

62. Finally, practical field-level constraints (e.g. site accessibility, time available to the survey respondents, weather or health conditions) may pose restrictions to the range of data and information that can be collected. In this regard, IOE will plan the timing of the impact survey after the monsoon season. Moreover, in order to ensure the availability of survey respondents in villages, the timing of the data collection efforts will take into account planting and harvesting periods of the main crops as well as major festivals and cultural events.

63. The JCTDP impact evaluation will draw on IOE's previous experience (in Sri Lanka in 2013) in addressing the above challenges in undertaking impact evaluations. In particular, IOE will mobilize the support of a national institution in India to develop and administer the impact survey for primary data collection. In this regard, future prospects for collaboration are being explored with several national institutions, such as Delhi School of Economics, IDInsight, Neerman, Catalyst Management Services, Tata Institute for Social Science, Sambodhi, Oxford Policy Management (Delhi Office), IFPRI (Delhi Office), Abdul Latif Jameel Poverty Action Lab (J-PAL Delhi Office) and 3IEs. To assure the rigorous quality of the impact evaluation, IOE will mobilize the support of the Institute of Development Studies (IDS) as an external peer reviewer.

[24] One of the former state programme directors in Chhattisgarh is now Joint Secretary in the national Ministry of Environment and Forests, with whom IOE has already held an initial dialogue. IOE has also traced the former state programme director in Jharkhand and met him as well during the preparatory mission. They both will serve as key respondents throughout the impact evaluation process.

VI. Evaluation timeframe and key products

64. The evaluation will be undertaken from June 2014 to February 2015. The evaluation results will be presented to the Evaluation Committee (EC) of the Board in June 2015. The IFAD Management will prepare a written response to the impact evaluation, which will include their agreement or otherwise to adopt and implement the recommendations specifically addressed to the Fund in a timely manner. The IFAD Management Response will also be shared with the EC at the same time when members discuss the final impact evaluation report. The implementation of the agreed recommendations will be traced through the President's Report on the Implementation Status and Management Actions (PRISMA) on evaluations recommendations, presented to the EC and the Board annually. Table 6 below provides a tentative timeframe for the impact evaluation with expected key products. A learning event will be organized in India in October 2015, in order to engage multiple stakeholders, (potential) partners and staff within and from outside IFAD in knowledge sharing, and an enriched debate around key topic of mutual interest deriving from the impact evaluation.

Table 6

Tentative timeframe

Time	*Event*	*Key products*
April 2014	Selectivity framework for impact evaluations available	Programme evaluability assessed
June 2014	Impact evaluation started	Approach paper (1st draft)
June 2014 (1st week)	Preparatory mission to India	Mission report
November 2014	National institution hired	ToRs and contract
December 2014	Piloting of the research instruments	HH survey and qualitative tools
December 2014	Methodology developed, including sampling strategy	Final Approach Paper
End December – mid February 2015	Field survey designed, conducted and analysed	Draft evaluation report
March 2015	IOE peer review	Draft evaluation report
April 2015	Evaluation report share with IFAD management and GoI for comments	Draft evaluation report
May 2015	Final report available	Impact evaluation report
June 2015	Learning event in Rome to share key lessons learned	Workshop report, news pieces etc.
26 June 2015	Evaluation report presented to the Evaluation Committee	
October 2015	Learning event in India	Workshop report, news pieces

VII. Core-learning partnership

65. Stakeholders' participation is crucial for successfully conducting evaluations in general, and in particular impact evaluations. This will ensure that the key concerns of the stakeholders are taken into account, that the evaluators fully understand the context in which the programme was implemented, and that opportunities and constraints faced by the implementing institutions are identified.

66. In accordance with the Evaluation Policy, a core-learning partnership (CLP) will be established to enhance the quality of the impact evaluation as well as to build ownership among key partners in the evaluation process and its outcomes. The CLP will comprise the following members:

i. **Representatives of IFAD management**
- The India Country Programme Manager
- Programme Management Department, front office
- Statistics and Studies for Development Division

ii. **Government authorities at national level**
- Additional Secretary of the Department of Economic Affairs (DEA) in the Ministry of Finance
- Secretary at the Ministry of Tribal Affairs

iii. **Government authorities at state level**
- Chief Secretary at the Government of Jharkhand
- Chief Secretary at the Government of Chhattisgarh
- Principal Secretary of Welfare at the Government of Jharkhand
- Secretary of Welfare at the Government of Chhattisgarh

iv. **Tribal societies**
- State Programme Director of the Jharkhand Tribal Development Society
- State Programme Director of the Chhattisgarh Tribal Development Society
- Commissioner of Schedule Tribes and Schedule Caste Development

VIII. Evaluation team

67. The impact evaluation team will be composed of:

i. Ms Simona Somma, IOE Evaluation Officer, who is the lead evaluator for this impact evaluation. She will work under the immediate supervision of IOE Deputy Director, Mr Ashwani Muthoo;

ii. Ms Renate Roels, IOE Evaluation Research Analyst, will provide technical support;

iii. Ms Linda Danielsson, IOE Evaluation Assistant, will provide administrative and research support; and

iv. The Institute for Development Studies - Center for Development Impact (IDS-CDI) will provide technical backstopping in particular in relation to the sampling strategy and overall methodological approach. IDS-CDI will peer review the approach paper as well as the final evaluation report.

IX. Communication and dissemination

Once finalized, the report will be made available on the evaluation section of the IFAD website and through international evaluation networks (e.g. the Development Assistance Committee, Organisation for Economic Co-operation and Development; the United Nations Evaluation Group; and the Evaluation Cooperation Group). Presentations on the findings and methodological issues will be made at IFAD and for national stakeholders in India. IOE may also present the evaluation findings at international forums such as the Network of Networks on Impact Evaluation, the Evaluation Cooperation Group of the MDBs and the United Nations Evaluation Group.

Selectivity framework for Impact Evaluations at the Independent Office of Evaluation (IOE)

A. ESSENTIAL CRITERIA[25]				
Criteria	**Code**	**Guiding questions for IEs**	**Rating system** (five-point scale)	**Means of verification**
Evaluation results for learning	**A.01**	Is this a country where IOE will conduct a CPE in 2015/2016?[26]	5 = YES 1 = NO	IOE indicative rolling WP
	A.02	Will the findings of this IE, given the sub-section nature of the project, also feed into on-going or planned evaluation synthesis reports or CLEs by IOE? ²	5 = YES 1 = NO	IOE indicative rolling WP
Project status	**A.03**	Did the project implementation end between 1 and 3 years ago?	1 = > 5 years 2 = 5 years 5 years ≤3≤ 4 years 4 = 3 years 3 years ≤5≤ 1years	PPMS
Geographical distribution	**A.04**	Has IOE conducted an interim or completion evaluation or PPA on this project in the past?	5 = NO 1 = YES	IOE reports/ Work Programme
	A.05	Is this a project where IFAD is undertaking an impact evaluation by the end of 2015?	5 = NO 1 = YES	PMD; SSD

[25] Only the projects meeting the essential criteria will be validated also against desirable criteria as detailed in table B.
[26] To ensure that IE results and lessons learnt inform synthesis reports, CPEs and CLEs.

B. DESIRABLE CRITERIA[27]				
Project size	**B.01**	Is this a country of priority to the regional division, taking into account its performance based allocation 2013-2015?	[a] See rating system for B.01	PBAS report
	B.02 [28]	Of the countries selected, which has the highest performance based allocation?	5 = largest interval	PBAS
	B.03[4]	What is the total project costs?	5 = largest interval	PPMS
	B.04[4]	What is the IFAD loan amount?	5 = largest interval	PPMS
	B.05[4]	What is the project size in terms of the number of households at design that are expected to directly benefit from the programme?	5 = largest interval	Project document
Disbursement rate	**B.06**[4]	What was the disbursement rate at project closure?	5 = highest interval	LGS
Innovation and scaling up	**B.07**	Does the project include innovative characteristics with potential for scaling up?	5 = YES 1 = NO	Project document
Joint evaluations	**B.08**	Is there a potential to undertake the IE jointly with relevant national institutions (e.g. Government's independent evaluation office (if it exists), National Evaluation Association, etc.)?	5 = YES 1 = NO	IOE interactions with the country and CPM

[a] Rating system for B.01 (minimum and maximum regional PBAS allocation for 2013 – 2015 in million USD)

Asia and the Pacific	East and Southern Africa	Latin America and the Caribbean	Near East, North Africa and Europe	West and Central Africa
3 million ≤ 1 ≤ 26.2 million 26.3 million ≤ 2 ≤ 52.5 million 52.6 million ≤ 3 ≤ 78.8 million 78.9 million ≤ 4 ≤ 105.1 million 105.2 million ≤ 5 ≤ 131.4 million	3 million ≤ 1 ≤ 17.2 million 17.3 million ≤ 2 ≤ 24.5 million 24.6 million ≤ 3 ≤ 52.4 million 52.5 million ≤ 4 ≤ 69.7 million 69.8 million ≤ 5 ≤ 87 million	1 million ≤ 1 ≤ 9.5 million 9.6 million ≤ 2 ≤ 19.1 million 19.2 million ≤ 3≤ 28.7 million 28.8 million ≤ 4 ≤ 38.3 million 38.4 million ≤ 5 ≤ 47.9 million	1 million ≤ 1 ≤ 13 million 13.1 million ≤ 2 ≤ 26.1 million 26.2 million ≤ 3≤ 39.2 million 39.3 million ≤ 4 ≤ 52.3 million 52.4 million ≤ 5 ≤ 65 million	3 million ≤ 1 ≤ 16 million 16.1 million ≤ 2 ≤ 32.1 million 32.2 million ≤ 3≤ 48.2 million 48.3 million ≤ 4 ≤ 64.3 million 64.4 million ≤ 5≤ 80.4 million

[27] Only the projects meeting the criteria in table B are exposed to the technical criteria as detailed in table C.
[28] The rating system will be developed once the countries are selected consistently with the essential criteria in table A.

C.TECHNICAL CRITERIA				
Criteria	**Guiding questions for IEs**		**Rating system** (five-point scale)	**Means of verification**
Evaluability assessment	**C.01** 01.1 01.2 01.3	Is a baseline survey available? If so: What is its quality? Did it include control or comparison groups? Is an electronic database available?	5 = YES 1 = NO	C.01 PMD front office; SSD;CPM 01.1 IOE assessment 01.2 IOE assessment 01.3 CPM
	C.02 02.1 02.2 02.3	Is a RIMS baseline survey available? If so: What is its quality? Did it include control or comparison groups? Is an electronic database available?	5 = YES 1 = NO	C.02 PMD front office; SSD;CPM 02.1 IOE assessment 02.2 IOE assessment 02.3 CPM
	C.03 03.1 03.2 03.3	Is a RIMS completion survey available? If so: What is its quality? Did it include control or comparison groups? Is an electronic database available?	5 = YES 1 = NO	C.03 PMD front office; SSD;CPM 03.1 IOE assessment 03.2 IOE assessment 03.3 CPM
	C.04 04.1 04.2 04.3	Are other surveys available? If so: What is their quality? Did they include control or comparison groups? Is an electronic database available?	5 = YES 1 = NO	C.04 CPM 04.1 IOE assessment 04.2 IOE assessment 04.3 CPM
	C.05	What is the quality of the PCR including in terms of data and analysis on impact?	5 = high quality 1 = low quality	IOE assessment
	C.06	Is a MTR available?	5 = YES 1 = NO	CPM
	C.07	What is the quantity and quality of data generated by the project's M&E system?	5 = high quality/quantity 1 = low quality/quantity	CPM; Project Authorities
	C.08	What is the availability and quality of project logical framework in President's Report?	5 = log-frame available/high quality 1 = log-frame not available/low quality	IOE assessment
	C.09	Are qualitative thematic studies available?	5 = thematic studies available	CPM
	C.10	Did the project experience implementation delays?	5 = NO serious delay in implementation	PPMS
C.TECHNICAL CRITERIA				
Criteria	**Guiding questions for IEs**		**Rating system** (five-point scale)	**Means of verification**
Availability of local technical expertise	**C.11**	Is national technical expertise in quantitative and qualitative data collection and analysis available?	5 = available/high quality	IOE (research on internet)

Source: Independent Office of Evaluation 2014

Annex II

Socio-demographic indicators (India, Jharkhand and Chhattisgarh)

Indicators	India		Jharkhand		Chhattisgarh	
Demographic indicators	**2001**	**2011**	**2001**	**2011**	**2001**	**2011**
Total Population (in millions)	1.028.610.328	1.210.193.422	26.945.829	32.966238	20.833.803	25.540.196
Total Male population	532.156.772	623.724.248	13.885.037	16.931.688	10.474.218	12.827.915
Total Female population	496.453.556	586.469.174	13.060.792	16.034.550	10.359.585	12.712.281
Total Rural Population	742.302.537	833.087.662	20.952.088	25.036.946	16.648.056	19.603.658
Number of households	191.963.935	246.692.667	4.862.590	6.181.607	4.148.518	5.622.850
Number of rural households	138.271.559	167.826.730	3.802.412	4.685.965	3.359.078	4.384.112
Sex Ratio (females per 1000 males)	933	943	941	947	989	991
0-6 years sex ratio (females per 1000 males)	927	919	966	943	975	964
	2000	**2011**	**2000**	**2011**	**2000**	**2011**
% of Rural population below poverty line	27.09**	25.70	44.3	40.84	37.06*	44.61
	2001	**2011**	**2001**	**2011**	**2001**	**2011**
Total number of literates	560.687.797	763.498.517	11.777.201	18.328.069	11.173.149	15.379.922
Total number of rural literates	361.870.817	482.653.540	7.703.730	12.643.078	8.276.566	11.008.956
Of which male	223.551.641	281.281.531	5.238.836	7.682.731	5.047.159	6.403.012
Of which female	138.319.176	201.372.009	2.464.894	4.960.347	3.229.407	4.605.944
Scheduled Castes	**2001**	**2011**	**2001**	**2011**	**2001**	**2011**
Total of households scheduled castes	32.526.101	41.694.863	579.401	753.644	487.430	749.457
Rural households scheduled castes	25.983.792	31.803.775	471.572	596.688	387.356	584.382
Total population of scheduled castes	166.635.700	201.378.372	3.189.320	3.985.644	2.418.722	3.274.269
Rural population of scheduled castes	133.010.878	153.850.848	2.588.094	3.152.863	1.899.055	2.511.949
	2001	**2011**	**2001**	**2011**	**2001**	**2011**
Total male population scheduled castes	86.088.760	103.535.314	1.640.583	2.043.458	1.213.194	1.641.738
Of which rural	68.603.342	79.118.287	1.322.039	1.612.513	948.720	1.258.559
Total female population scheduled castes	80.546.940	97.843.058	1.548.737	1.942.186	1.205.528	1.632.531
Of which rural	64.407.536	74.732.561	1.266.055	1.540.350	950.335	1.253.390
	2001	**2011**	**2001**	**2011**	**2001**	**2011**
Total nr of cultivators among scheduled castes	13.458.018	12.144.111	153.921	104.794	280.609	253.446
Of which rural	13.268.183	11.852.590	152.782	103.246	275.647	246.016
Total nr of agricultural labourers among scheduled castes	30.713.370	37.801.083	243.155	205.214	229.495	389.535
Of which rural	29.521.444	36.010.925	240.510	199.323	223.736	371.392
Scheduled Tribes	**2001**	**2011**	**2001**	**2011**	**2001**	**2011**
Total of households scheduled tribes	16.464.357	21.511.528	1.343.714	1.699.215	1.315.640	1.743.277
Rural households scheduled tribes	15.013.498	19.302.332	1.234.046	1.538.967	1.242.902	1.611.269
Total population of scheduled tribes	84.326.240	104.545.716	7.087.068	8.645.042	6.616.596	7.822.902
Rural population of scheduled tribes	77.338.597	94.083.844	6.500.014	7.868.150	6.264.835	7.231.082
	2001	**2011**	**2001**	**2011**	**2001**	**2011**
Total male population scheduled tribes	42.640.829	52.547.215	3.565.960	4.315.407	3.287.334	3.873.191
Of which rural	39.045.650	47.263.733	3.267.181	3.928.323	3.106.086	3.577.134
Total female population scheduled tribes	41.685.411	51.998.501	3.521.108	4.329.635	3.329.262	3.949.711
Of which rural	38.292.947	46.820.111	3.232.833	3.939.827	3.158.749	3.653.948
	2001	**2011**	**2001**	**2011**	**2001**	**2011**
Total nr of cultivators among scheduled tribes	18.494.338	17.526.807	1.207.950	921.334	1.581.936	1.313.342
Of which rural	18.336.192	17.300.638	1.202.688	914.135	1.574.674	1.296.052
Total nr of agricultural labourers among scheduled tribes	15.246.483	22.610.764	348.223	422.286	506.182	784.929
Of which rural	14.947.463	22.093.415	343.908	413.359	499 760	765.569

Source: Government of India, Ministry of Home Affairs, Office of the Registrar General & Census Commissioner (2011a,b)
Planning Commission, Government of India (2013).

* in 2000 it was still Madhya Pradesh.
** in 2000 it was still Bihar.

Agricultural statistics

Table 7
States wise area under crops (thousand hectares)

*Total vegetables (potato, tapioca, sweet potato, onion, other).
** Total cereals and millets (rice, jowar, bajra, maize, ragi/marua, wheat, barley, other).

	*Total vegetables**	*Total cereals and millets***	*Total vegetables**	*Total cereals and millets***	*Total vegetables**	*Total cereals and millets***
	Jharkhand		**Chhattisgarh**		**India**	
2001/02	92	1.541	95	4.305	5.021	100.964
2010/11	90	993	117	4.321	5.388	101.951

Source: Directorate of Economics and Statistics, Department of Agriculture and Cooperation, Ministry of Agriculture, Government of India (2013b).

Table 8
States wise production of cereals, coarse cereals, food grains and pulses ('000 Tonnes)

	Cereals		*Coarse Cereals*		*Food Grains*		*Pulses*	
State	**2000-01**	**2011-12**	**2000-01**	**2011-12**	**2000-01**	**2011-12**	**2000-01**	**2011-12**
Jharkhand	1915.0	2198.9	166.7	330.1	2011.0	4175.3	96.0	412.0
Chhattisgarh	2633.8	5331.0	185.0	209.9	2901.3	6870.5	267.5	499.1

Source: Directorate of Economics and Statistics, Department of Agriculture and Cooperation, Ministry of Agriculture, Government of India (2013a).

Table 9
States wise production of vegetables ('000 Tonnes)

	Okra		*Sweet potato*		*Cauliflower*		*Peas*		*Cabbage*		*Brinjal*		*Onion*		*Tomato*	
State	**2000-01**	**2010-11**	**2000-01**	**2010-11**	**2000-01**	**2010-11**	**2000-01**	**2010-11**	**2000-01**	**2010-11**	**2000-01**	**2010-11**	**2000-01**	**2010-11**	**2000-01**	**2010-11**
Jharkhand	156.4	421.7	103	-	199.1	355.4	-	329.1	130.7	451.7	-	-	0	305.5	-	401.56
Chhattisgarh	-	249.1	-	36.7	-	306	55.8	99.7	-	257.7	-	439.5	33.9	179.6	292.8	627.87

Source: Indian Institute of Vegetable Research (2013).

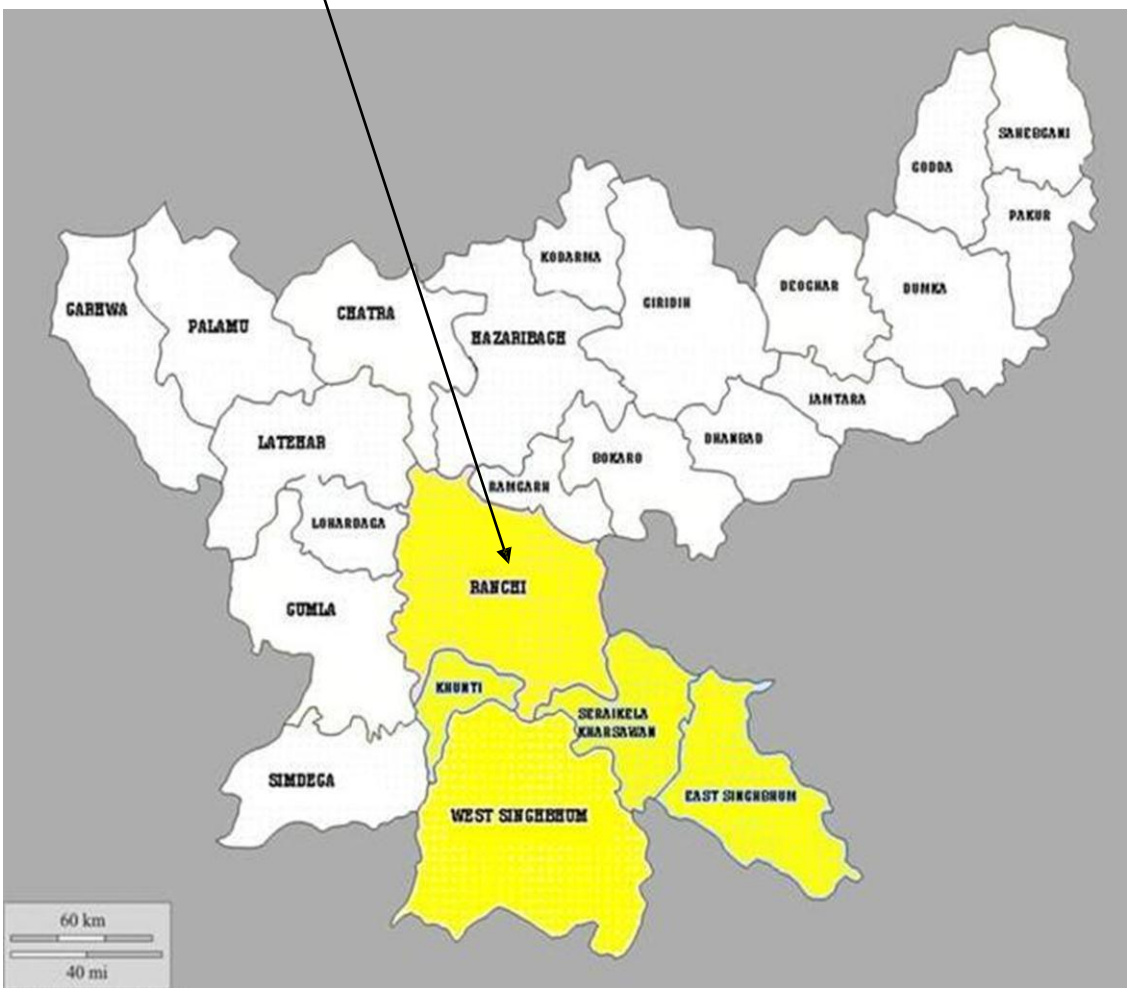
Table 10
States wise population of livestock (in thousands)

	Cattle		*Goats*		*Poultry*	
State	**2003**	**2007**	**2003**	**2007**	**2003**	**2007**
Jharkhand	7.659	8.781	5.031	6.592	14.429	11.231
Chhattisgarh	8.882	9.491	2.336	2.768	8.181	14.246

Source: Department of Animal Husbandry, Dairying & Fisheries, Ministry of Agriculture, Government of India (2012a).

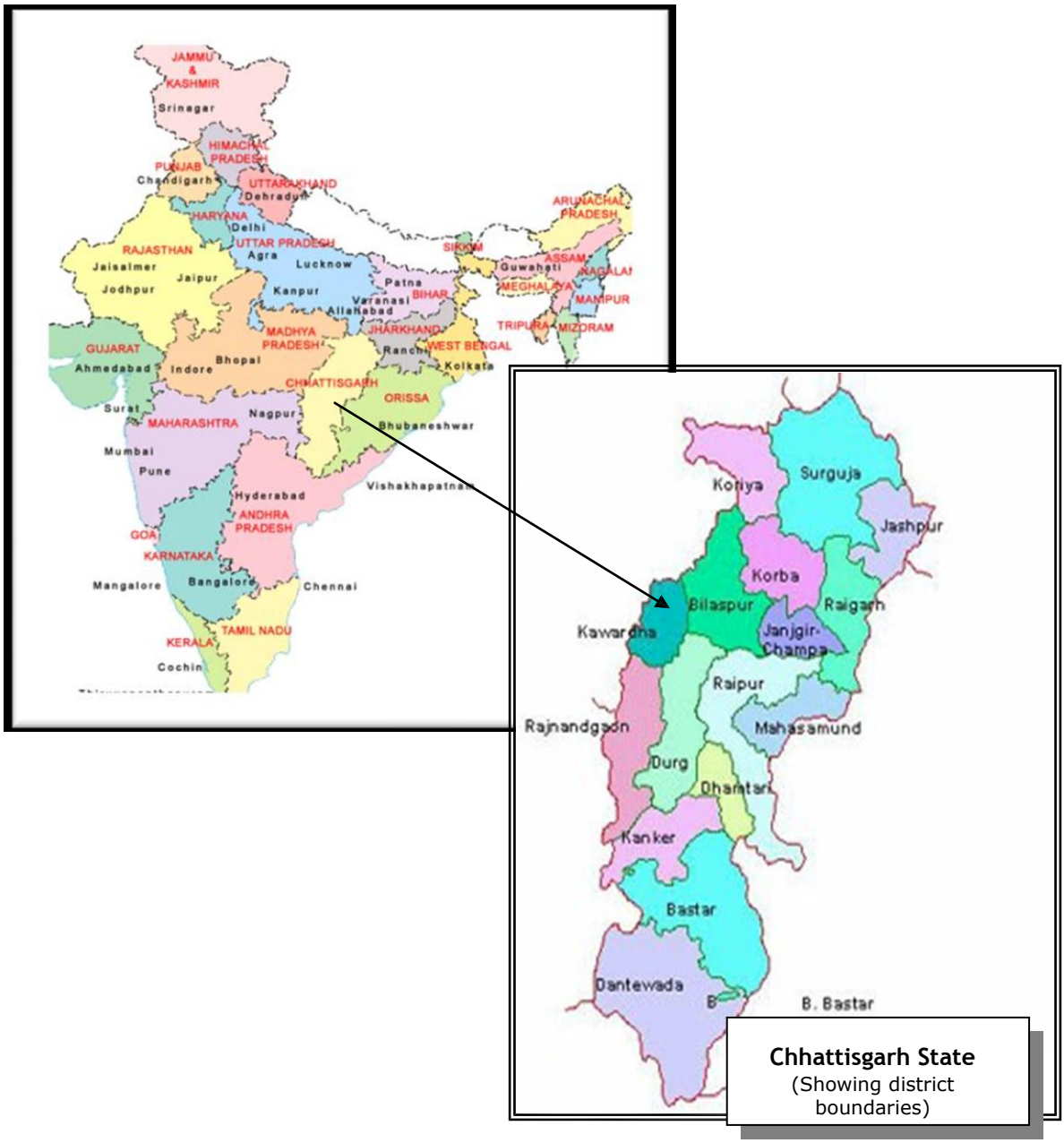
Map showing the programme areas in Jharkhand, India

JTDP Programme Areas (yellow shaded)	
DPIU	Districts
Ranchi	1. Ranchi 2. Khunti
Chaibasa	3. East Singbhum 4. West Singbhum 5. Saraikela-Kharsawan



Source: IFAD.
The designations employed and the presentation of the material in this map do not imply the expression of any opinion whatsoever on the part of IFAD concerning the delamination of the frontiers or boundaries, or the authorities thereof.

Map showing the programme areas in Chhattisgarh, India



CTDP Programme Districts
Surguja
Jashpur
Raigarh

Source: IFAD.
The designations employed and the presentation of the material in this map do not imply the expression of any opinion whatsoever on the part of IFAD concerning the delamination of the frontiers or boundaries, or the authorities thereof.

Timeline of the programme

Year	*Month*	*Day*	*Occurrence*
1999	April	29	Approval of IFAD loan of SDR 16.95 million[29] by the Executive Board
2001	March	13	Signing
2001	June	21	JCTDP inaugurated
2002	November	25-30	Supervision Mission
2003	May/June	28-9	Supervision Mission
2004	January	11-14	Supervision Mission
2005	May	22-30	Supervision Mission
2006	Jan./Feb.	24-9	Supervision Mission
2006	Jan./Feb.	24-9	Mid Term Review
2007	February	24-28	Supervision Mission
2007	Oct./Nov.	26-7	Supervision Mission
2008	Jun/Jul	20-3	Supervision Mission
2009	March	16-30	Supervision Mission
2009	June	30	First completion date but extended
2009	December	31	Original loan closing date – but extended for 2 years (IFAD) and subsequently for another year (GoI)
2010	January	1	Programme activities ended in Chhattisgarh
2010	July	27	Actual loan closing Chhattisgarh
2010	August	9-24	Supervision Mission
2011	September	12-24	Supervision Mission
2012	June	30	Actual completion Jharkhand
2012	December	31	Actual loan closing for Jharkhand

[29] In the loan agreement the IFAD funding is specified in SDR. The exchange rate applicable in IFAD for April 1999 is SDR 1.00/USD 1.35784.

Logical framework

Narrative Summary	Key Performance Indicators	Means of Verification	Critical Assumptions
Objective			
Sustainable improvement in food and livelihood security and general quality of life of several million poor people in Southern Bihar and north- eastern MP.	1.1 At least 70% of the beneficiaries report HFS ensured and at least 50% report livelihood systems improved by 2010. 1.2 People outside the programme area report confidence and ability to access resources from outside agencies. 1.3 At least about half of the NGOs/CBOs report improved access to development funds and services by 2010. 1.4 IFAD and other donors have promoted similar initiatives in India and outside by 2010.	Ex-post impact assessment of programmes by the Government and external donors. Analyses and comparison of data on similar rainfed areas.	Not applicable.
Purpose			
Sustainable and equitable approach to ensure household food security and to improve the livelihood systems and overall quality of life of 356 000 poor people in tribal areas in the programme area of Bihar and MP. Developed, implemented and ready for replication.	1.1 HFS ensured for at least 70% of the programme area HHs and livelihood systems improved for at least 50 % of population in programme villages on sustainable basis by EOP. 1.2 At least 70% of the people report confidence and ability to access resources from outside agencies. 1.3 At least two partner organizations have developed and resourced replication plans. 1.4 Over 80% of the poorest HHs report improvement in their HFS situation and improved livelihood systems. 1.5 Over 50% of women report practical benefits and enhanced role in HFS and livelihood decision making by EOP.	Output to purpose review in PY 3 and at the end of the programme, based on external impact assessment studies using baseline (before and after) and comparative (with/without) data. Cumulative findings of regular impact assessment studies and internal monitoring systems.	Technologies and approaches of the programme effectively adopted by GOs, NGOs, and other donors. Wider context of agricultural policies and service provision become more appropriate for complex, risk-prone and diverse rain fed
Outputs			
1. Empowerment of the tribal population, especially women and other marginal groups, through awareness-raising on tribals' and women's rights.	1.1 At least 70 % of the overall tribal population and 80% of the women population understand and begin asserting their rights. 1.2 At least 20% of grouped court cases concerning legal rights of individuals/communities successfully completed by PY5.	Findings of the PRA-based surveys.	The Government of MP and the Government of Bihar eager to comply with the spirit of the *Panchayats* Act and willing to put it into practice.

2. Participatory community institutions established, operational and meeting the needs of poor households.	2.1 At least one SHG established and operational in all NVs by PY 1 and at least two by PY 2. 2.2 75 % of SHGs have functioning savings and credit scheme within one year of establishment. 2.2 At least 50% of GSs and GSPECs formed and recognized by PY 1 and 95% by PY 2. 2.3 All NVs have at least one trained animators in key programme areas (at least 50% women) within one year of joining programme and two by the end of PY 2. 2.4 At least 50% of all Executive Committees' members and 60% of Users' Groups and SHGs consist of women, marginal and landless farmers and PTGs. 2.5 At least six strong users' groups, with at least 60% membership of women/landless/marginal farmers, work in MWS continuously for a minimum of two years after four years of village phasing. 2.6 At least 25% of SHG avail themselves of formal financial services after four years' of entry. 2.7 Dependence of target group on informal lending sector reduced by 20% after two years and by 40% in the next two years. 2.8 At least 15% of concerned GS Executive Committees and 20% of beneficiary	Records kept by the groups. Regular documents/reports available for verification at PMUs, DPIUs, NGOs, WSAs, GSs. Donors consultants missions, the Government, state governments visit reports/ documents. Meeting registers and records at various levels in the programme. Studies and assessment reports within and outside the programme. Accounts and audit reports.	Serious droughts and/or other natural disasters do not severely disrupt or change local farming, food security and livelihood systems. Market trends and fluctuations do not adversely affect economic viability of on and off-farm activities. Recruit, train and retain staff for sufficiently long period.
3. Participatory planning system for natural resource management evolved and implemented.	3.1 Participatory planning manual in place and stakeholders trained by the end of PM 6. 3.2 Microplans for 25% of the natural villages completed by PM 12 and 95% of natural villages (NVs) by the end of PM 24.	GSPEC records. Regular reports available for verification at PMUs, DPIUs, NGOs, WSAs, GSs.	
Narrative Summary	**Key Performance Indicators**	**Means of Verification**	**Critical Assumptions**
4. Appropriate farming system technologies identified, developed and adapted, tested with poor farmers, and made widely available.	4.1 Over 30% of treatable areas of watershed treated for L&WM and the same amount of cultivable area with improved moisture status in *Kharif* season and 10% in *Rabi* season within three years of village entry. 4.2 Over 20% of the gross cropped area of programme villages under improved cropping systems within four years of entry. 4.3 Over 55% of programme villages have functional CFM Executive Committees successfully implementing a microplan after two and a half years from establishment of the Committee. 4.4 Over 30% of households report improved productivity of livestock and fish rearing within three years of village entry. 4.5 Over 30% of CFM villages and 45% of PTG villages have other NTFP related income- generating activities. 4.6 All programme staff and staff of facilitating NGOs have received appropriate technical training within one year of programme entry and all technical manuals and guidelines are completed during by PY 1. 4.7 Specific indicators for specific farming system activities developed in all NVs by the end of Year One of village entry.	Regular progress report; Interim impact assessment reports; and Supervision reports, etc.	
5. Tribal rights on natural resources such as land, forest, water, minor minerals, recognized and promoted.	5.1 Tribals report increase in actual ownership and management of their land. 5.2 Improved access to natural resources including NTFPs by the end of the programme period.	PRA-based findings. Interim impact assessment reports.	
6. Complementary income-generating, expenditure saving and viable microenterprise, benefiting especially the "losers", PTGs and women, in forest, farm and off-farm sectors, promoted and implemented in programme villages.	6.1 At least half of the "loser" households in programme villages establish MEs with assistance from the programme by PY3. 6.2 At least 60 % of the new entrepreneurs are women or from PTGs. 6.3 Overall employment opportunities increased by 20% by Year Three and 30% by Year Five. 6.4 Conspicuous consumption reduced by at least 20% by Year Three and 40% by Year Five.	Regular progress reports with separate aggregation by gender, PTGs, and target group (such as losers). Interim impact assessment reports.	Government policies and legal environment continue to remain supportive. Outside stakeholders such as banks, GOs and NGOs willing and able to work with the programme.

7. Improved access to drinking water, health care and nutrition education services ensured.	7.1 Provision of rural water supply through repair of existing systems and/or construction of new facilities in about 30% of programme villages and establishment of O&M committee. 7.2 60% of concerned villages served by mobile health care facilities three years after block entry. 7.3 Improvement of about 60 km of access tracks and 110 causeways.	Regular progress reports. Interim impact assessment reports.	Working relationships among SHGs, GSs, WSAs, NGOs, DPIUs, PMUs/TDSs.
8. Programme learning system developed and operational.	8.1. M & E and learning systems documented and established. 8.2 Meaningful lessons learned disseminated to at least 50% of the communities. 8.3 Learning incorporated in programme strategies and activities.	Regular reports available for verification at various levels of programme management.	
9. Effective programme management system established and operational	9.1 Organograms, manuals, and delegation of authority, financial powers and policies and procedures prepared and implemented. 9.2 Annual reviews of above (e.g., recruitment, pay and service conditions, training, etc.) take place regularly, and necessary changes incorporated. 9.3 Quarterly progress of activities and processes reviewed at various levels.	Regular documents/reports available for verification at various levels of programme management.	

Activities		
1.1 Study on the tribal and gender rights completed and packaged into appropriate communication materials. 1.2 Legal awareness programme conducted in all villages. 1.3 Legal defence fund established and made use of for defending the rights of tribal population.		
2.1 Review PPs of other projects through field visits and workshops. 2.2 Design and test system for microplanning based on PRA and other techniques; implement, evaluate and revise, as necessary. 2.3 Train villagers, staff and other stakeholders in use of PPs. 2.4 Implement system in all project villages. 2.5 Review system and revise as necessary.		
3.1 Training and exposure visits for NGOs in participatory community development planned and implemented. 3.2 Criteria for selection of NVs agreed and NVs selected. 3.3 Rapport with communities established by NGO field workers and entry point activities, including savings negotiated and implemented.		
3.4 Women and men animators identified, selected and trained.		
3.5 Frequent meetings with communities held, including men and women separately, SHGs formed, training needs of the villagers identified and training programmes on group management implemented. 3.6 Awareness-building programme in NVs implemented and resulting in GSs formed and recognized and large cluster associations for WS management formed and operational. 3.7 Complex WS schemes planned and implemented through GS associations. 3.8 Support to community institutions in training and capacity-building including finance and audit continued. 3.9 Community institutions are encouraged; identify and cope with development constraints without outside assistance. 3.10 Linked to external institutions, including banks, facilitated. 3.11 Strategies for sustainability of community institutions evolved and implemented.		
4.1 Issue-focused PRAs on overall relevant aspects of farming systems (crops, livestock, fish, forests, watershed development, irrigation) conducted. 4.2 Appropriate technologies identified, procured, tested and evaluated with poor farmers. 4.3 Farmer-preferred technologies promoted widely. 4.4 Exposure visits and training on key technologies provided for selected farmers.		
5.1 Develop an understanding of current tribal practices and interpretation of customary laws and document them with tribal participation with support of an anthropologist. 5.2 Develop understanding of national and state level legal situation with regard to tribal rights over natural resources. 5.3 Develop an appropriate strategy for tribal communities to assert and realise their rights over natural resources.		
6.1 Participative review of opportunities and constraints of existing situation in the area (e.g., village markets). 6.2 Identify, recognize and prioritize microenterprises by the villagers, especially for the landless and women. 6.3 Provide training, exposure visits, consultancy, financial services and market and other linkages.		

7.1 Review of current level of access to sanitation, health and drinking water. 7.2 Identification and prioritization of community needs, especially of poor and women. 7.3 Plan, negotiate and implement relevant schemes, including training of village health workers and traditional birth attendants (*dais*). 7.4 Holding of periodic health camps and awareness building on health related issues through the service providers.		
8.1 Study and analyse areas for learning and identify people who could be involved in learning processes. 8.2 Evolve participatory systems and practices for each area (e.g., FFS and similar methods), to include exercises at the SHG, GS, NGOs, DPIUs/PMUs level. 8.3 Establish upward, downward and lateral feedback mechanisms to disseminate learning among communities, NGOs, DPIUs, PMUs, consultants, research agencies and other institutions. 8.4 Establish independent observations, M&E systems, including documentation and recording of processes as they occur.		
9.1 Offices established, staff recruited, trained, working; financial powers/purchase procedures established, MIS, HRD and accounting system in place; staff planning and review meetings between PMUs, DPIUs, NGOs, GSs. 9.2 Regular board meetings of both TDSs for the programme to review, plan and approve budgets, annual plans, expenditures, etc. held. 9.3 Regular and periodic workshops between PMUs, DPIUs, consultants, the Government, donor agencies, NGOs and communities held. 9.4 Activities and process monitoring on designed approach, staff training, monthly, quarterly and annual data collation and reporting done. 9.5 Impact assessment approach designed and developed from learning of other institutes and agencies. 9.6 Special studies on watershed, food security, livelihoods identified, commissioned and executed. 9.7 Strategic alliances with external agencies developed maintained.		

Source: IFAD's Report and Recommendation of the President (1999).

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