

Assessing Capacities of Government M&E Systems

2nd Annual Progress Seminar

Centre for Technology
Alternatives for Rural
Areas, IIT Bombay

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Guide

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Recap of APS 1

- Covered –
 - Motivation
 - Research Objectives
 - Literature Review – understanding M&E
 - Work done – learning evaluation competencies and skills
- Comments –
 - Establish research questions from literature review
 - More literature review
 - Scope and limits of study
 - Theoretical base

Introduction

SDGs and Evaluation
Research Objectives and Questions
Scope and Limits



2/24/2020

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Review of Literature

M&E systems
Evaluation in India
Monitoring in India

Diagnosing M&E systems and capacities
Organisational Assessment
Meta-Evaluation

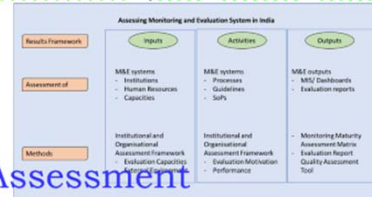
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Historical Analysis of PEO
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Assessing M&E Outputs

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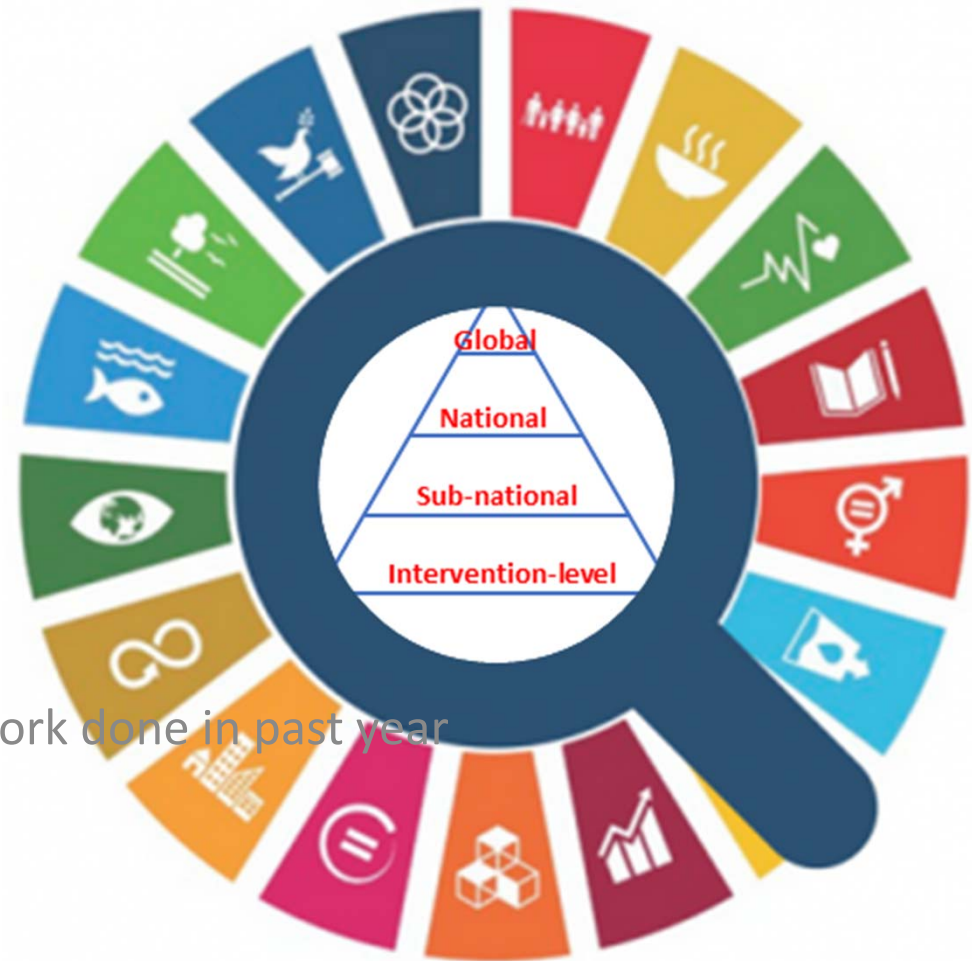
Introduction

SDGs and Evaluation

Research Objectives and Questions

Scope and Limits

Work done in past year



SDGs and Evaluation

- Achieve SDGs -> act at global, national, sub-national and local levels
 - To ensure progress, need to monitor and evaluate
 - Focus on National Evaluation Capacities
 - M&E should also happen at all 4 levels.
 - Capacities need to be developed, for meeting SDGs, including M&E
-
- Before capacity development, need to assess status

Research Objectives

Objective

Type of Research

- | | |
|--|-------------------------|
| 1. To describe the monitoring and evaluation systems in India | Descriptive, evaluative |
| 2. To evaluate the quality of monitoring and evaluation outputs in India | Evaluative |
| 3. To prescribe a framework for decentralised, participatory monitoring and evaluation | Prescriptive – Policy |
| 4. To propose ways to actualise this change, including capacity development | Prescriptive – Action |

Research Question

RO	Research Question
Describe M&E systems in India	1. How have M&E systems changed in the past 70 years? 2. What is the status of development M&E systems in India?
Evaluate M&E outputs in India	3. What is the quality of Monitoring Information Systems used for monitoring development programs in India? 4. What is the quality of development evaluation studies conducted in India?
Prescribe framework for better M&E	5. What should be the National M&E policy of India? 6. What should be the capacity, information and Standard Operating Procedures for carrying out evaluation studies at different levels of decentralisation?
Propose actualising	7. What should be the plan for building capacity for district-level Monitoring and Evaluation in Maharashtra?

Importance of RQs

- Limited literature available in public domain providing historical overview, subnational picture and current scenario of Indian M&E systems
- Concrete stakeholders – Interest from DMEO, NITI Aayog, J-PAL South Asia and UNICEF India in evaluation capacity assessment and development
- International focus on Evaluation for SDGs, National Evaluation Capacities
- Gap in Literature, Interest of stakeholders, zeitgeist

Scope and Limits

Research Question	Scope
1. History of M&E systems	PEO-DMEO, SEOs from documents, interviews
2. Status of M&E systems	SEOs, Ministries, sampling
3. Quality of MIS, outcome budgets	Ongoing CSS in Priority sectors (WASH, Health & Nutrition, Rural Dev.), central level
4. Quality of evaluation studies	Priority sector evaluation reports, past decade, central & state level
5. National M&E policy of India?	NM&EP Policy draft, guidelines, SOPs, capacity building program for SEOs – work with DMEO
6. Capacity, information and SOPs for evaluation studies at different levels	
7. Plan for building capacity for district-level M&E in Maharashtra	DPC- level SOPs, Capacity building program under UMA

Work Done in Past Year

- Refining research questions, scope, limits
- Historical documents – hunting and summarising
- M&E offices' status assessment framework preparation
- Evaluation report quality assessment tool preparation
- Preliminary information collection on SEOs, Ministries, PEO
- Initiating collaborations – DMEO, J-PAL SA, UNICEF India, ECOI
- Participant observations at DMEO
- RFI, Designing and executing Evaluation studies,
- Research, connections and personal capacity improvement

Introduction

Literature Review

Status Assessment

Output Assessment

Experiences

Res Q	Sub-research questions	Tasks	Methods	1	2	3	4	5
1. M&E systems changes	1.1 Does literature documents M&E systems in India?	Search Lit, Explore offline literature, Interact with seniors in the field to get leads	Lit review, Interviews					
	1.2 What are the changes in M&E systems?	Document changes in PEO based on annual reports, Changes in budgetary allocations, Document changes in SEOs, Compare over time periods	Historical lit analysis, cross-sectional comparison					
	1.3 How are these changes linked to historical events in the country and international agenda?	Compare to changes in development paradigms & interventions, Add important national events, changes in government, leadership, international agendas such as MDGs, Look for patterns	Comparative analysis					
	1.4 Were changes actor-centric or systemic, sustainable	Record who headed PEO/ Govt during changes, Can changes be attributed to individuals?	Comparative analysis, Interviews					
2. status of M&E systems	2.1 What are the existing M&E systems in India?	List Government M&E organisations, Collect secondary data about these offices	Desk research, Q'naire surveys					
	2.2 How to assess the status of M&E offices in India?	Identify & Compare M&E systems/ organisational/ evaluation capacity assessment frameworks, Create M&E offices' status assessment framework	Lit review, Expert interviews					
	2.3 How are the M&E offices performing?	Select sample from listed offices, Survey, triangulate/ validate, Compare to previous studies	Q'naires, Interviews, Observations					
3. Quality of MIS	3.1 What are diff Monitoring systems used in India?	Literature review on monitoring systems	Lit review					
	3.2 What are imp MIS in priority sectors?	List MIS in the priority sectors at national level	Desk research					
	3.3 How outcome budgets changed over years?	Access outcome budgets, clean data, create table of year-wise indicator-inclusion and set targets	Desk research, data clean-up					
	3.4 How to assess the MIS quality?	Review lit on MIS assessment, Improve existing MIS maturity assessment toolkit	Lit review, Expert feedback					
	3.5 How to assess the quality of outcome indicators?	Assess indicator-quality from literature, existing evaluation reports, scheme objectives & SDGs	Lit review					
	3.6 How are the MIS performing?	Assess listed MIS using MIS maturity assessment toolkit	Data analysis					
	3.7 How good are the outcome budgets?	Compare output, outcome indicators in outcome budgets with ideal indicators derived	Data analysis					
4. Quality of evaluations	4.1 List important Evaluation studies in priority sectors	Collect Evaluation reports in priority sectors, Create database with basic information	Desk research					
	4.2 How to assess quality of evaluation reports?	Lit review on meta-evaluations, Compare existing checklists for evaluation reports, Propose & Validate ERQAT	Lit review, Desk research					
	4.3 What is quality of evaluation reports in India	Score listed reports using ERQAT, Get subjective feedback on quality from experts	Data analysis, Expert feedback					
5. National M&E policy	5.1 How to develop an ideal M&E policy?	Study M&E policies, Compare NEPs, identify best practices, Study how to make a policy	Lit review, Expert interviews					
	5.2 Propose a draft National M&E Policy for India	Identify parts of policy existing in Indian systems, Prepare policy document, Include policies for decentralised and participatory M&E in the document, Get inputs from various stakeholders	Participant observation, Desk research, FGDs					
	5.3 How can this policy be implemented?	Propose an implementation plan, Propose necessary documentation systems						
6. Capacity & SOP for M&E systems at diff levels	6.1 What should be the components of a good M&E system for development programs in Indian context?	Based on RO 1,2,3 - propose components related to capacity, information and SOPs for national, state and district level.	Documentation					
	6.2 What are problems in implementing evaluations?	Observe and document from case studies, Interview state officials during RQ 2	Participant observation, Case studies					
	6.3 How to improve demand of M&E/ evaluation culture	Lit review on evaluation culture, Assess best practices, Contextualise to India, propose how to improve	Lit review, Prescriptive documentation					
7. Plan for building M&E capacity in Maharashtra	7.1 What is the context in Maharashtra?	Understand Context in Maharashtra, s.a. existing policies, GRs, capacities, institutions, etc.	Lit review, Observations, Interviews					
	7.2 Which systems/ existing programs can be leveraged?	Explore how UMA, DPC, district innovation fund, etc. can be utilised	Lit review, Observations, Interviews					
	7.3 What can be the capacity building plan for various stakeholders?	Propose capacity building program for government staff, UMA colleges and field practitioners	Lit review, Prescriptive documentation					

Review of Literature

M&E systems

Evaluation in India

Monitoring in India

Diagnosing M&E systems and capacities

Organisational Assessment

Meta-Evaluation

Monitoring and Evaluation Systems

- Institutional, legal, procedural, and infrastructural setup for conducting M&E functions in a government; with permanent arrangements to commission and use evaluations, ensuring supply of evaluative information (Leeuw & Furubo, 2008)
- Successful if: regular utilisation, good demand for information, established data quality and reliability, incentivisation and sustainable strong institutionalisation (financial, budgetary and oversight processes) (Mackay, 2012) .
- Uses: Budget - program decisions, program management, accountability
- MIS, PMS, OB, and Institutional & Human resources for evaluations (Mehrotra, 2012)

Management Information System

- A computer-based IS which can collect and process information from different sources for decision-making at the level of management.
- Components: hardware, software, databases, personnel, and processes.
- Facilitates documentation and monitoring operations of another target system, a prerequisite for MIS.
- Integrates varied computers, displays and visualizations, database, storage systems, instruments, sensors, etc. via software and networks to share data and to provide aggregate capabilities. (Nguyen & Tu, 2018)
- Focus on end-user's goal of using information to manage target system.

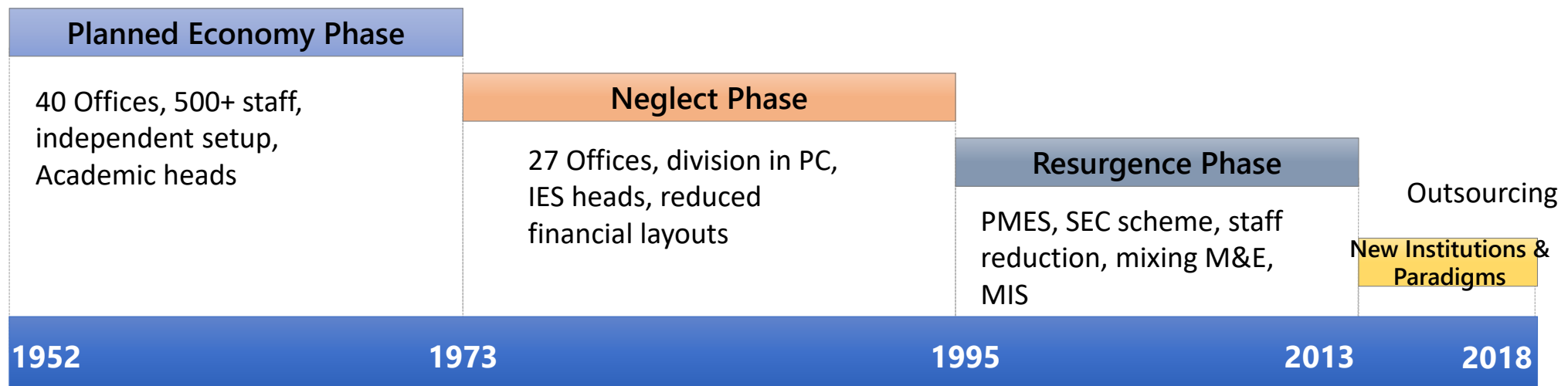
Evolution of MIS

General purpose main-frame and mini-computers	Personal computers			
		Client-servers		
		Enterprise computing		Cloud & mobile computing
Centralised MIS of accounting departments to customised computing	User-led initiatives, departments within enterprises using for inventorying and reporting	Interconnected, multiple IS within organisations	Web-based computing, connecting all offices of enterprise, each employee connected, client-supplier interactions	Individuals as producer and user of data
First era 1959- mid 70s	Second era Mid 1970s- mid 80s	Third era Mid 1980s- late 90s	Fourth era Late 1990s onwards	Fifth era Late 2000s onwards

- MIS evolved with computing technology and IT infrastructure

Evaluation in India

- Limited literature on evaluation systems in India
- Mehrotra 2013, Chandrasekhar 2015 – published articles
- Planning Commission Annual Reports, websites, personal communications



Evaluation in Ministries

- ~ 70 Ministries and Departments
- Ministries supported to setup M&E during 1985-86 by PEO
- M&E functions in Finance or planning units, generally under Economic Advisors, Scheme-based M&E
- Common Review Missions for concurrent and quick evaluations
- Scheme-wise outsourced evaluations (IITs, National Universities)
- MoRD, MoHFW, MHRD strong systems

State Evaluation Offices

- States + UTs – now 37
- 1960s: Setting up & Strengthening of Evaluation Machinery in State scheme
- 1977-80: Review Committee for SEM, no record of implementation of suggestions*
- 1994: Evaluation Capacities in States/UTs report by PEO*
- 9th Plan: comments on need to improve evaluation and institutionalisation
- 2006-07: Strengthening Evaluation Capacity in Government – scheme
- 2010: Inst. for Human Development report – India: State of Development Evaluation*
- *- Finally accessed copies this month

SEO Status

- Evaluation Authority in Karnataka,
- DEAR in Tamil Nadu, PEO in Chandigarh
- Directorate of Evaluation – Bihar, Gujarat, Nagaland, Rajasthan,
- Evaluation Division in DES/ Planning Department in many states
- Evaluation policy – Karnataka established, TN under progress
- Good website, all reports online – Karnataka, Rajasthan, Gujarat
- Maharashtra – GR for 2 evaluations every year in every DPC
- Empanelment of agencies for evaluation – academic institutes, local CSOs and private firms
- State Level Evaluation Committees, Technical committees for each evaluation
- Web research, RTI clause 4 documents. Old report acquired recently

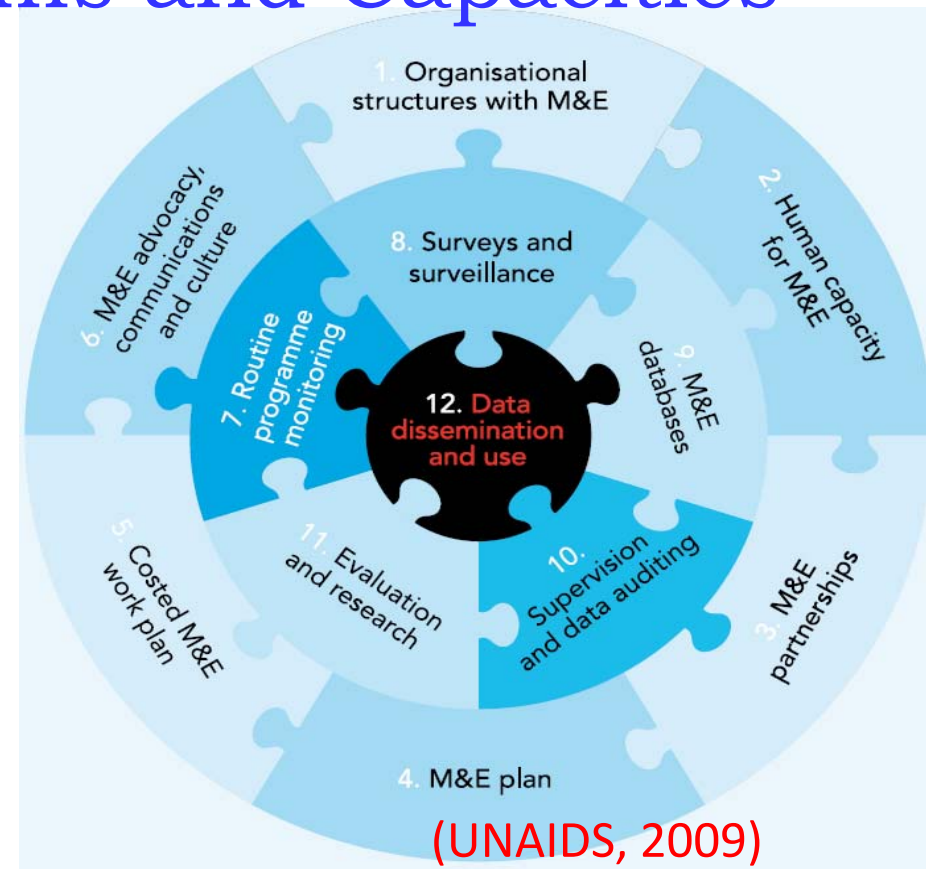
Monitoring in India

- At program level – Scheme-related MIS, Outcome budget
- Coordination and resolution of bottlenecks – TPP, PFMS, DISHA, SDG Tracking, PRAGATI, e-Samiksha, OCMS, Quarterly Status Reviews, etc.
- Oversight function – Statutory bodies, CAG
- MIS monitor inputs, budgets, processes, outputs; ineffectiveness in identifying system delays, irregular reporting, lack of analysis, inadequate interlinking, false reporting, absence of data banks, and stress on reporting over-action (Mehrotra 2012)

Diagnosing M&E Systems and Capacities

- Analysis of what is and is not working in a country's M&E activities, with recommendations for improvement
- Typical components: National environment for M&E – national policy and institutional framework, Historical development of the system, Objectives, Processes, tools and products, Relationships with other systems, Institutional architecture, Organisational characteristics of public agencies that are part of the system, Results, Findings presented as conclusions and recommendations

(Shepherd, 2012)



Organisational Assessment

- To understand internal functioning and performance of complex organisations (open social action systems with multi-forms of structurally differentiated but interdependent sub-systems each with its own processes)
- William & Flora Hewlett Foundation's Effective Philanthropy Group published a guide to organisational capacity assessment tools (Informing Change, 2017), it compared 48 different tools.

Theme	% Frequency	Inclusion in synthesised framework
Adaptive Capacity	16.7	dropped
Aspirations	64.6	Motivation - culture
Community & External Relations	75	environment -
Content & Sector Expertise	14.6	dropped
Culture & Values, Ethics	52.1	culture – organisation culture
Learning, Evaluation and Accountability	77.1	capacity – routine monitoring, research studies,
Finances	89.6	performance – Financial viability
Fundraising & Development	79.2	not relevant
Governance	81.3	capacity - governance
Human Resources	83.3	capacity – Human capacity for M&E, incentives
Infrastructure & Technology	62.5	motivation - Infrastructure
Leadership	60.4	capacity - leadership
Management & Organizational Structure	75	not included. If and how?
Operations	62.5	motivation- processes
Planning	75	Capacity – organisation M&E plan
Strategy	72.9	Motivation – mission
Programmatic	62.5	capacity – organisation M&E plan
Constituents	64.6	capacity – partnerships, advocacy communications

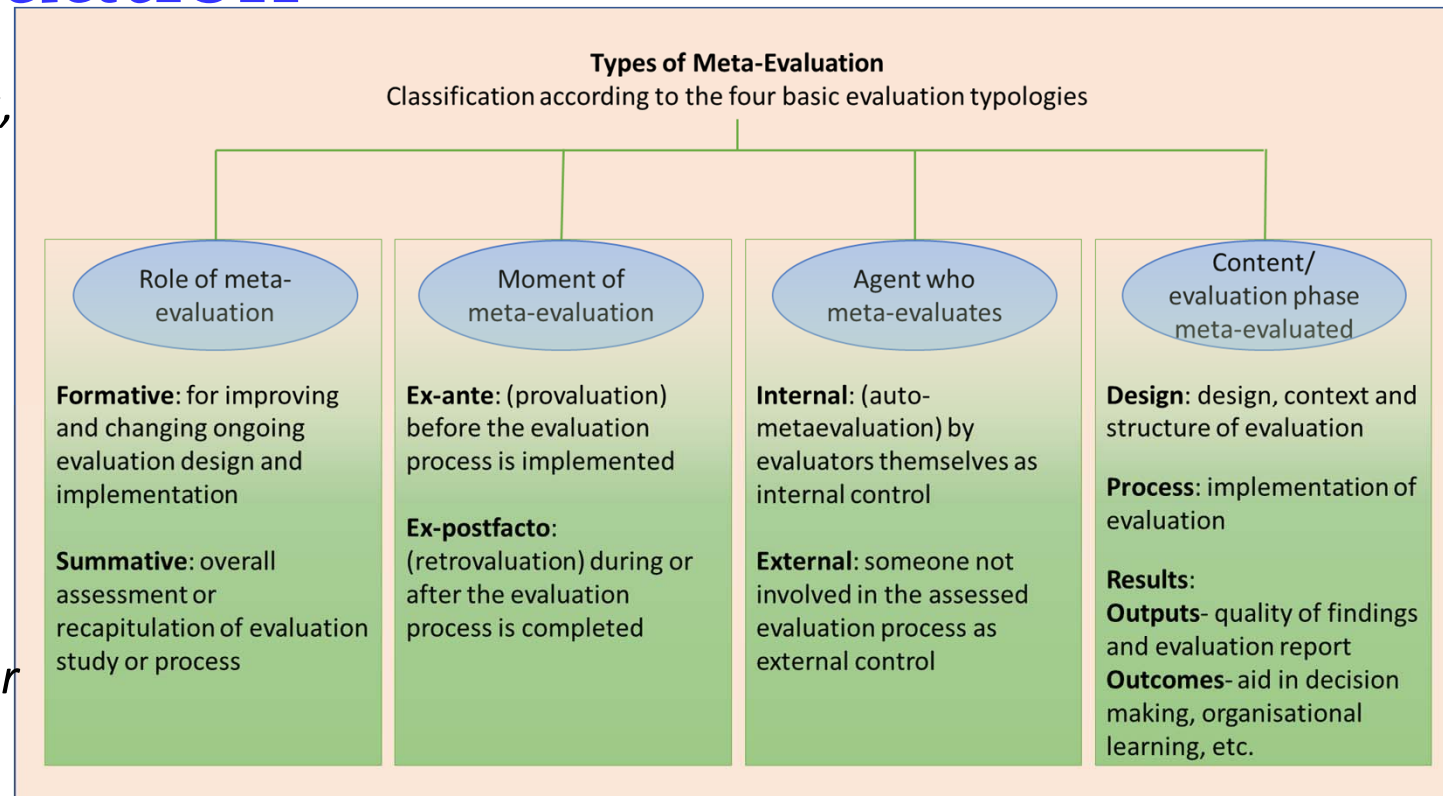
Institutional & Organisational Performance Assessment Framework

- IDRC, Ottawa for assessing performance of development sector organisations
- Comprehensive, systemic, links organisational factors and performance
- Has all important components from other frameworks



Meta-Evaluation

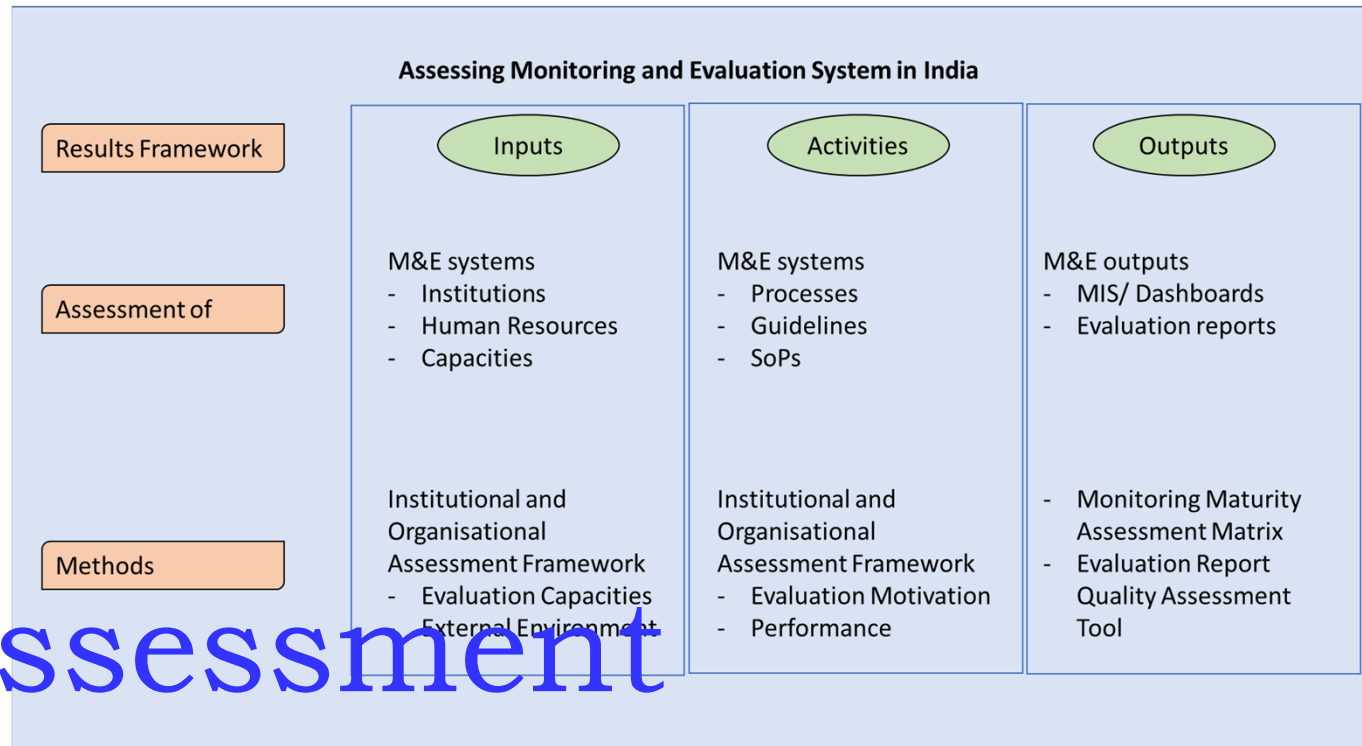
- *Evaluation of evaluations, evaluation of evaluators.*
- *Represents ethical and scientific obligation.*
- *Can & should be done by evaluator on own work; though poor credibility, results in considerable gains in validity.*
- *Desirable to use independent evaluator for meta-evaluation.*



- Scriven, 1991 and Bustelo 2002

Meta-Evaluation Criteria

- **Evaluation quality control:** reflexive control of biases and improving credibility
 - Methodological coherence
 - Adequacy
 - Establishing evaluative criteria
 - Technical coherence between criteria, information and judgements
 - Cost-benefit, cost-effectiveness of study
 - Adequacy of time
 - Validity and reliability of collected information
 - Stakeholder participation in the process
- Obtaining right and good findings
 - Coherence between findings, interpretations, judgements, recommendations
 - Relevance, reliability, sufficiency, representativeness, timeliness - of findings, data and evidence
- Good interpretations – correct, sufficient analysis
- Good judgements
- Good recommendations – based on previous findings, interpretations and judgements; should be realistic, adequate and relevant
- Assessing evaluation processes: describing, analysing, auditing evaluation function
 - Role of evaluation in public policy
 - Assessment of evaluation function – its integration in public policies, organisations and institutions
 - Usefulness of evaluation for improvement, accountability and enlightenment of policies.
- **Bustelo, 2002**



Status Assessment

Historical Analysis of PEO

Data Collection Plan

M&E Offices' Status Assessment Framework

Historical Analysis of PEO - PC ARs

Year	# of reports		Trainings/ workshops			Other comments
	done	on new	Workshop	Training	IES/ officer	
1971-72	9	4		1 of SEOs		Scheme: Setting up & strengthening of evaluation machinery in States
1972-73	4	2		1 of SEOs		Task force on Evaluation - Reorganise & strengthen evaluation machineries in States/UTs & CPEO
1977-78	4	5	3 heads of SEOs for coordination			Review committee to examine existing evaluation mechanism in states & Committee for strengthening evaluation machinery, combined report in April 1980; Committee for training for evaluation, report submitted Oct 1979
1979-80	8	9	3 SEO training			Detailed background on PEO, gets separate chapter for first time, PEO started for evaluation of community development programs, then scope was expanded to include rural development sectors of agriculture, cooperation, rural industrialisation, rural employment, Panchayats, cooperatives, health and family welfare; Recently expanded to other sectors
1980-81	8	4	7	Sr off -1 staff -2		Objectives of computer division - Computational & data processing for PC, Computational & data processing for Govt. depts. & research institutions, MIS development, Trainings of PC personnel, Sixth plan analysis - I/O models, Data processing of PEO surveys
1981-82	7	9		3	2	Types of evaluation studies - Quick evaluation of ongoing programs for feedback, Joint evaluation studies by CPEO and SEOs, Evaluation of externally aided projects. SEM report - committee of advisors of PC recommended PEO should evaluate beneficiary oriented programs in rural and urban
1982-83	8	10		2		52 SEM - recommendations under consideration
1983-84	7	5		3	1 30, 2 Indonesian	documentation of Evaluation studies related to irrigation and agriculture - a meta-review?, Next year planning - proposed taking up evaluation studies from M/Ds for deciding future program of studies, SEM - recommendations under consideration
1984-85	4	5	2	1 3	32 IES, 3 from CSO	Technical Advisory committee for each evaluation, mention of SEM gone
1985-86	3	4			3	26 Ministries supported to set up M&E for IRDP PEO officials go to international events
1986-87	3	2	4		1 12, 2 from PC	PEO officials go to international events, Computer Services Division is now gone, NIC works with MID under PC, Organisation chart of PC given for first time - G P Kapur is adviser PEO

Historical Analysis of PEO – contd.

Year	# of reports			Trainings/ workshops			Other comments
	done	on	new	Workshop	Training	IES/ officer	
1988-89	3	5	1, 1 QE		Jr Cert in Stats with CSO	2 batch	evaluation advisor post is vacant, unfortunately page 92-93 missing from report from PEO chapter
1989-90	3	7	1, 1				no details of trainings, workshops, adviser post is still vacant
1990-91	4	3	4	2 on ongoing studies		1	Adviser is Dr B W Sahay, Main function of PEO is to undertake evaluations which encompass: assessment of achievements of Plan Programmes against stated objectives & targets; measurement of impact on beneficiaries; impact on socio-economic structure of community; process and adequacy of delivery mechanism, etc. In addition, PEO provided technical advice & guidance to SEOs and training to evaluation personnel.
1991-92	4	3	4	2-day meet, Joint eval 2- day meet in TN			Perspective plan for evaluation studies - areas identified in line with thrust area of 8 th FYP, Meetings with SEO heads of Karnataka, Rajasthan, Orissa and Uttar Pradesh, Discussion with Institute of Economic Growth and Society for Development Studies for qualitative strengthening of Eos
1992-93	4	4		3-day meet on planned study			Association with SEO and res & acad inst. for studies of regional & local importance, Papers: Evaluation in the Planning Process, Country Overview: India and Use of Performance Evaluation as a Management Tool, presented at Performance Evaluation in Asia, Regional Seminar, Kuala Lumpur.
1993-94	3	6		2-day meet			Documentation bulletin with material from SEOs
1994-95	5	3		3-day meet			Bulletin on "Evaluation Studies conducted by States/ UTs Governments (1985-86 to 1991-92) and Evaluation Studies conducted by PEO (1952-1995)", "Evaluation Capacities in States/ UTs", Evaluation Advisory Committee of PEO evaluation studies constituted for 'first time' in March 1994
1999-00	4	6	1				
2000-01	4	6					

- Annual Reports of P C, reports of PEO, 3 articles, interaction with old staff.

Understanding of PEO

- PEO regularly engaged with SEOs
- One role of PEO: train IES officials in evaluation methods and tools
- PEO regularly trained senior level officers and junior level staff at SEOs, CPEO and REOs.
- Quick evaluation studies were conducted in the past too.
- Evaluation advisory committee and technical committees for specific studies constituted multiple times in the past, being reconstituted now
- Every decade, there is an attempt to strengthen evaluation systems at central and state levels.
- It is clear that strengthening evaluation has always been on agenda and still we are repeating the same task
- Thus, proper institutionalisation has not yet been achieved in India.

M&E Offices' Status Assessment Framework

• **Enabling Environment**

- History of the Ministry/ State
- Evaluation Function
- Evaluation Policy
- Evaluation buy-in by leaders – Ministry/State-level committees
- Staffing pattern
- Budgetary allocation/ schemes to support the office
- Departmental hierarchy of the office (under which office/dept)
- Dissemination/ Utilisation plan (for evaluation reports)

• **Organisational Motivation**

- History – formation of organisation, notable changes in structure, awards, achievements, failures
- Motivation of organisation: Mandate, Vision, Mission, objectives, functions defined for organisation, Review meetings
- Organisational culture – attitude, assumptions, staff-loyalty, gender participation
- Incentive system – awards for performing staff, disincentives

- Processes – mode of studies, process related documentation & adherence
- Infrastructure – office space, etc.
- Ethical considerations, Transparency – RTI based

• **Evaluation Capacity**

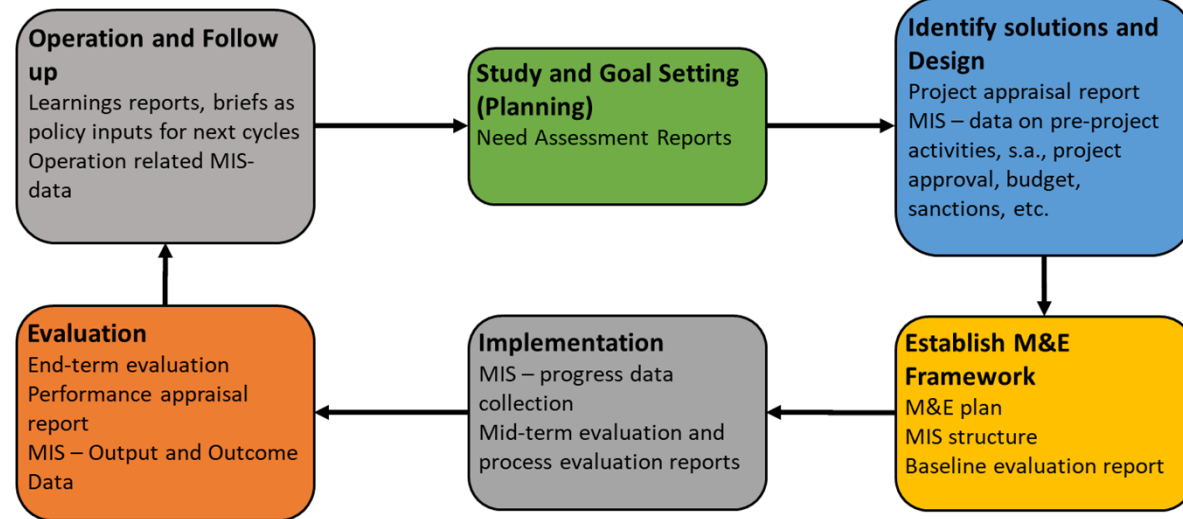
- Human Capacity for M&E – posts, filled, training
- Leadership, Governance
- Partnerships
- Organisational Planning, Costed Planning
- Advocacy and communication
- Routine Monitoring, Audits
- Research studies

• **Organisational Performance**

- Effectiveness – number of studies, reports, databases, MIS,
- Efficiency – financials – expenses per study, timeliness of deliveries, QC
- Financial performance – BE, RE, Actual Expenditure
- Relevance – demand v/s work done, satisfaction of key stakeholders, suggested changes and ATRs
- Impact

Data Collection Plan

- ✓ Listing of M&E offices from website
 - ✓ Preliminary Data from websites, RTI Section 4(1) (b) declarations
 - ✓ Listing of contact persons (Nodal officers & Planning Secys)
 - ✓ Request of Preliminary Information from contact persons
 - ❑ Shortlisting M&E offices for data collection by stratified, purposive sampling: 6-7 Ministries/ Departments and 10 State/UTs
 - ❑ Collection of data for the M&E offices' assessment tool. This phase is expected to start after March 2020
 - ❑ Triangulation with J-PAL and UNICEF state teams, other sources
- Assistance from DMEO – letters and permissions, follow-ups



Assessing M&E Outputs

Outcome Budgeting

Assessing Quality of OB and MIS

Evaluation Reports Quality Assessment
Tool

Outcome Budgeting in India

- Performance budget since 1969
- Outcome budget since 2005-06, Dec 2006 – merged PB and OB
- Ministries to link release of funds with achievement of monitorable physical progress and setting up formal monitoring mechanisms to monitor progress against commitments made

Sl. No	Name of Scheme / Programme	Objective / Outcome	Plan Outlay 2010-2011 (in Rs. crore)			Quantifiable Deliverables/ Physical Outputs	Projected Outcomes	Processes / Time Lines	Remarks / Risk Factors
1	2	3	4			5	6	7	8
			4(i)	4(ii)	4(iii)				
			Non-Plan Budget	Plan Budget	Complementary EBR				

Results Framework Document

- PMD started PMES (Sept 2009), to reduce institutional fragmentation, multiple reporting; established Results-Framework Management System (Kamensky, 2013) which addressed:
 - basic objectives of the M/D
 - actions are proposed to achieve these objectives during the year
 - measure the degree of progress made/ relevant success indicators
- Sec 1: Vision, Mission, Objectives & Functions, Sec 2: Priorities among Key Objectives, Success Indicators & Targets, Sec 3: Trend Values of SIs, Sec 4: Description & Definition of SIs & Proposed Measurement Methodology, Sec 5: Specific Performance Requirements from other Departments, Sec 6: Outcome/Impact of M/D
- Committed to by Secretary and Minister of M/D, reviewed by cabinet secretariat and ad-hoc task force before approval by high power committee and published.
- Problems: low target-setting by M/D to improve performance; dependence on states for implementation affects performance of ministries, inability to design right outcome indicators, lack of inter-ministerial cooperation, etc.
- Laid out process, fixed responsibilities, flawed premise

Output-Outcome Monitoring Framework

- Introduced in 2017-18, part of budget document since 2019-20
- Financial outlays, outputs, outcomes with measurable targets – scheme-wise
- Replaced RFD and OB
- *Aim: to nurture open, accountable, pro-active & purposeful governance by transitioning from outlays to result-oriented outputs and outcomes; will enable Ministries to track the scheme objectives and work towards the goals set*
- DMEO, NITI Aayog assists M/Ds in preparing OOMF, signed by FA, consolidated by DoE
- Ignores previous work, no methodology or guidelines, 'better' than RFD/OB

Assessing Outcome Budgets

- To comment on quality of OBs and to check if OOMFs are improvement over earlier OBs
- ✓ Access all OBs and OOMFs for priority sector M/Ds
- ✓ Tabulate scheme-wise OB
- ☐ Compare scheme-wise, year-wise change in indicators, targets, outlays
- ☐ From scheme guidelines and literature, evaluate relevance and sufficiency of selected indicators
- ☐ Check if indicators are captured in MIS

Assessing MIS Quality

- Existing MIS assessment criteria-
 - MIS maturity index - data granularity, updation frequency, technology integration, fiscal-physical linkage and transparency
 - MIS related paper by Mehrotra (2012) - level of data collection, log frame use, periodicity, updation and validation, accessibility of data to public, utilisation of data, connecting output-outcome and survey data, and user-friendliness for online monitoring
- ☐ Create updated MIS maturity Index
- ☐ Select CS and CSS MIS in Priority sector flagship schemes
- ☐ Score selected MIS on the index
- ☐ feedback from stakeholders from M/D
- DMEO plans to score all available MIS, this study will be a pilot for the same

Evaluation Report Quality Assessment Tool

- Next step in assessment of M&E systems – O/P assessment
- Reports - accessible O/Ps of evaluation studies
- Comparing Meta-evaluation criteria from existing checklists (UNEG, USAID, Gary Milon, Robertson and Wingate), ERQAT is proposed, with a scoring matrix having total score out of 1000.
- 10 components, 48 sub-components and 101 characteristics for scoring
- Presence/absence (0/1) or a 3/5 point quality scale is used for elements
- Focus on completeness of report, and quality
- Validation – against existing reports by multi-lateral agencies, feedback
- Priority sector evaluation reports will be graded against finalised ERQAT

ERQAT

- Language of characteristics and criteria being revised for clarity by getting others to grade short reports
- Scoring weightages will be modified based on importance and frequency of components across reports

#	COMPONENT	MAX SCORE	WEIGHTAGE
1	Title Page	100	100
2	Acknowledgement/ Preface	100	
3	Tables of Contents, List of Figures, Tables, Abbreviations	100	100
4	References/ Bibliography	100	
5	Executive Summary	100	150
6	Project Introduction and Background	100	150
7	Methodology	100	200
8	Evaluation Results and Findings	100	150
9	Conclusion	100	
10	Recommendations	100	150

- Collaborative work with DMEQ, ERQAT will be used in ongoing evaluations



Experiences

Insights from Evaluation Studies

Observations at DMEO

Qualitative Evaluation Study

- No secondary/ administrative data, foundation didn't keep centralised track of beneficiaries
- Qualitative study, theory of change prepared through interviews with team and field-observations.
- Outcomes from ToC tested through open-ended interviews with beneficiaries and other stakeholders.
- Practised case-study method of collecting qualitative impacts without baseline/ monitoring data, and quality-of-life related outcomes.
- Benefits of literature review: validated ToC and impacts observed on field, comparison with similar interventions, gaps identified.
- Informal monitoring- interaction of team leaders and ground staff- good for small team.
- WhatsApp for daily reporting, promoting collaboration & competition. Effectivity in large group?
- No literature on use of WhatsApp for monitoring. WhatsApp is extensively used for daily reporting by implementors, interesting to look at how it works as a monitoring system.
- **needs assessment, ToC, qualitative assessment of impacts and inquiry on DAC criteria**

End-line Evaluation Study

- PSU-CSR implemented by national NGO, geography-focused agriculture-based livelihood and community development project
- Purpose– End-line assessment of project cycle to support decision of extending and expanding the project.
- No ToR by client, discussion -> proposal -> modified -> accepted. Initially use unclear, impact assessment under assumption of quality baseline data. Monitoring, internal evaluation and case studies data available, used to preselect stratified sample.
- Available success stories -> skewed, positive impact-> addressed by stratified sampling; important for unbiased estimation.
- Field-work conducted with 10 person team, training and pilot conducted. First time of using CAPI.
- Questionnaire development from objectives, translation, converting to ODK-questionnaire, training, piloting and finalization done.
- Benefits of pilot: replaced with locally used words for cultural context, removed unnecessary and repetitive questions.
- Team exposure important: team visualised interventions in pilot & from implementors, grasped follow-up information to be asked.
- Though rural social science students, only on observing agricultural interventions & intended benefits, had better observations.
- During report writing, realised importance of analysing secondary data beforehand, which can feed into better inquiry on field.
- Comparing report to evaluation report assessment tools, report found lacking; report checklist can assist study-design & data-collection.

Observations at DMEO

- Type of activities at DMEO
 - Implement OOMF annually for every CS and CSS
 - Perform sector reviews for PMO
 - Project appraisal along with PAMD
 - Conducting sectoral or scheme-level evaluations
 - Conducting quick evaluation studies
- HR capacities
 - 56/150 posts filled, admin job by technical permanent staff, less experienced contractual staff handed important tasks
 - High attrition, officers avoid posting, poor M&E capacity – being worked upon
- Low institutional memory
 - High turnover – work started by one team finished by others, old documents misplaced
 - No onboarding or handover protocols
- Research approach lacking
- Good team spirit
- Many observations discussed with DG, changes have started

Res Question	Sub-research questions	Tasks	Methods
1. Changes in M&E systems	1.1 Does literature documents M&E systems in India?	Interact with seniors in the field	Lit review, Interviews
	1.2 What are the changes in M&E systems?	Document changes in PEO based on ARs, budgetary allocations, Document changes in SEOs, Compare over time	Historical lit analysis, cross-section comparison
	1.3 Changes link to historical events and international agenda?	Compare to changes in dev paradigms, Add national events, changes in government, leadership, international agendas, Look for patterns	Comparative analysis
	1.4 Were changes actor-centric or systemic & sustainable	Record who headed PEO/ Govt during changes, Can changes be attributed to individuals?	Comparative analysis, Interviews
2. M&E status	2.3 performance of M&E offices	Select sample from listed offices, Survey, triangulate/ validate, Compare to previous studies	Q'naires, Interviews, Observations
3. Quality of MIS	3.2 Imp MIS in priority sectors	List MIS in the priority sectors at national level	Desk research
	3.3 How outcome budgets changed over years?	Clean OB data, create table of year-wise indicator-inclusion & set targets	Desk research, data clean-up
	3.4 How to assess the MIS quality?	Create improved MIS maturity assessment toolkit	Lit review, feedback
	3.5 How to assess o/c quality?	Assess indicator-quality from lit, existing reports, scheme objectives	Lit review
	3.6 How are the MIS performing?	Assess listed MIS using MIS maturity assessment toolkit	Data analysis
	3.7 How good are OBs?	Compare o/p, o/c indicators in OBs with ideal indicators derived	Data analysis
4. Evaluation Quality	4.1 List important Evaluation studies	Collect reports in priority sectors, database basic information	Desk research
	4.2 how to assess ER quality	Validate ERQAT	Expert feedback
	4.3 quality of evaluation reports	Score reports in ERQAT, Get subjective feedback from experts	Expert feedback
5. National M&E policy	5.1 How to develop ideal NM&EP	Compare NEPs, find best practices, Study how to make a policy	Lit review, interviews
	5.2 Propose a draft National M&E Policy for India	Identify parts of policy that exist in Indian government system, Prepare policy document, Stakeholder consultations	Participant observation, Desk research, FGDs



Thank You

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