2nd Annual Progress Seminar Report

Assessing capacities of Government M&E systems

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By

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Abstract

For achieving Sustainable Development Goals, it is important that we monitor the progress of efforts towards the goals. Evaluating 'what works and what doesn't', becomes crucial in this regard. For effective monitoring and evaluation, it is important to have strong M&E systems in place at the national and sub-national level. As most development programs are run by the government, it is necessary to assess the mechanisms put in place by the government for M&E. In India, while at national level Development Monitoring and Evaluation Office, NITI Aayog is responsible for the M&E systems, Ministries/Departments at Central-level and Planning departments at State level also have monitoring systems and evaluation offices in place. It is important to assess the performance of these offices and the quality of their outputs. With this in mind, the current research proposes four objectives – to study the existing M&E systems, to study their outputs, to propose better framework and to propose an implementation plan for the same. In this report, frameworks for M&E office assessment, MIS maturity assessment tool and evaluation report quality assessment tool are proposed, along with methods for sampling, data collection and validation. Looking at history through available documents, it is found that discontinued efforts have happened in the past due to lack of institutionalisation, a fault seen in current systems too.

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Chapter 1
Introduction

"Ever since the international community endorsed the SDGs... The principal question has been, "How do we know if we are achieving the goals?" This relates to the choice and definition of indicators and targets... If... one asks the question, "How do we get there?", then evaluation… becomes an essential ingredient in the evidence mix."

- Jos Vaessen & Stefano D'Errico (Vaessen & D'Errico, 2018)

Internationally, with efforts to achieve the Sustainable Development Goals, systems to track progress and measure impact of policies and programs being implemented have become important. While monitoring and evaluation (M&E) have developed into professional practices that provide evidence on what works and what doesn't, all countries are not able to use them to full potential. Countries in the global south, low-income, and lower middle-income countries still lack M&E capacities that limit their performance. Thus, addressing M&E capacity issues is important if the world as one is to achieve the SDGs together. Many countries have shown awareness of the urgency of the problem and a commitment to tackle it. They are seeking a country-wide diagnosis of their systems of M&E as a first step toward planning to strengthen and expand them (Evans, 2019).

In 2013, at the UNDP-sponsored 3rd National Evaluation Capacities (NEC) Conference in São Paulo, Brazil, representatives of national governments from 60 countries, including senior officials from Planning Commission, Government of India[1], discussed solutions to challenges related to evaluation independence, credibility and use. 18 NEC commitments were developed and signed to enhance national evaluation capacities and to encourage accountability (IEO; IPCIG, 2015).

Globally there are initiatives at national levels to improve NEC, in light of the SDGs. While this is important, the next logical step, just as with SDGs, is to build up sub-national

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[1] Santosh Mehrotra, DG IAMR, Ratna Jena, Advisor PEO, Ajay Chibber DG IEO. Refer to https://nec.undp.org/country-detail/?country=651#!. Members from Planning Commission/ PEO and now NITI Aayog/ DMEO have regularly attended all 6 NECCs.

capacities. Historically, India had done good work on setting up and strengthening evaluation machinery in States, during the 3rd and 4th Five-year Plan periods. In the three-layered federal government structure, States have a larger expenditure responsibility while local levels are responsible for execution, while funds flow from the Centre (Gayithri, 2019). This necessitates capacities at all three levels to obtain feedbacks about the interventions. Unfortunately, there is no documentation of the current capacities of Ministries, States, Districts and other levels of government in respect of M&E. This fact is underscored by the fact that India's National Evaluation Policy is still a work in progress (Rosenstein, 2015) for over 50 years. Apart from few snippets available in various global and national reports, and outdated information available on government websites, there is no detailed, disaggregated, documented evidence of national, sub-national and local monitoring and evaluation capacities in India. With the urgency of achieving SDGs, it has become necessary that we urgently focus on our capacities and systems to measure and evaluate the progress.

A system of M&E has four pillars: Management Information System for all important programs, Institutional and human infrastructure for conducting evaluations, Performance management system and an Outcome budgeting system (Mehrotra, 2012a). Such systems will not only be needed Centrally, but also across Ministries and States. This research is motivated by the need to improve India's M&E systems at different levels.

In this second annual progress report, the initial work done in this direction is presented. Review of literature, finalising of research questions, framework building, establishing contacts for data collection, etc. have been done in the past year and addressed in the following chapters.

1.1 Work Done in Past Year

In the second year of PhD, since the previous Annual Progress Seminar, work was done on four important fronts:

1. Refining the research questions and preparing data collection frameworks
2. Initiating collaborations
3. Gaining evaluation experience

Table 1.1 shows the progress and future plan on various research questions.

Table 1.1: Research Questions, tasks and progress

Objective	Research Question	sub-research questions	Tasks	Methods	1st yr	2nd yr	3rd yr	4th yr	5th yr
1. To describe the monitoring and evaluation systems in India	1. How have M&E systems in India changed in the past 70 years?	1.1 Are there any existing literature documenting M&E systems in India?	Search for Literature on these Explore old libraries for literature not available online Interact with seniors in the field to get leads	Literature review Interviews	green	green	yellow	yellow	
		1.2 What are the changes in M&E systems?	Document changes in Program Evaluation Office (PEO) based on annual reports Changes in budgetary allocations Document changes in State Evaluation Offices (SEOs) Compare over time periods	Historical analysis of literature, Analysis from budget documents cross-sectional comparisons	yellow	yellow	green		
		1.3 How are these changes linked to historical events in the country and international agenda?	Compare to changes in developmental paradigms and interventions Add important national events, changes in government, changes in leadership to timeline Add international agendas, such as MDGs, etc. to the timeline Look for any patterns	Comparative analysis		yellow	yellow		
		1.4 Were the system-changes actor-centric or systemic, sustainable changes?	Document who was at helm of PEO/Government at times of changes in the system/ documentation Can the changes be attributed to these individuals?	Comparative analysis Interviews		yellow	yellow		
	2. What is the status of development M&E systems in India?	2.1 What are the existing M&E systems in India?	List existing M&E systems in India, limit to Government organisations - Ministries/Departments at central level and Planning departments of States/UTs Collect secondary data about these offices	Desk research Questionnaire surveys Analysis of RTI documents, websites		green			
		2.2 How to assess the status of M&E offices in India?	Identify existing M&E systems assessment frameworks Identify organisational assessment frameworks	Literature review, Expert interviews	yellow	green			

Objective	Research Question	sub-research questions	Tasks	Methods	1st yr	2nd yr	3rd yr	4th yr	5th yr
			Identify evaluation capacity assessment frameworks Compare existing frameworks Create M&E offices' status assessment framework		yellow	green			
		2.3 How are the M&E offices performing?	Select sample from listed offices Survey offices using the developed framework triangulate/ validate this information Compare this to previous status assessment study	Questionnaire surveys, Interviews, Observations			yellow	yellow	
2. To evaluate the quality of monitoring and evaluation outputs in India	3. What is the quality of Monitoring Information Systems used for monitoring development programs in India?	3.1 What are the different Monitoring systems used in India?	Literature review on monitoring systems	Literature review		green			
		3.2 What are the important MIS used in priority sectors of RD, WASH, Health& Nutrition?	List MIS in the priority sectors at national level	Desk research			yellow		
		3.3 How have the outcome budgets changed over years in the priority sectors?	Access outcome budget documents clean data, convert to usable tables create table of year-wise indicator-inclusion and set targets	Desk research, data clean-up		yellow	yellow		
		3.4 How to assess the MIS quality?	Review literature on MIS assessment Create improved MIS maturity assessment toolkit based on existing	Literature review Expert feedback	yellow	yellow	yellow		
		3.5 How to assess the quality of outcome indicators?	Create method of comparing quality of indicators based on sectoral literature, Study existing evaluation reports for typical indicators used derive ideal indicators based on scheme objectives and SDG indicators	Literature review		yellow	yellow		

Objective	Research Question	sub-research questions	Tasks	Methods	1st yr	2nd yr	3rd yr	4th yr	5th yr
		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. What is the quality of development evaluation studies conducted in India?	4.1 List important Evaluation studies in priority sectors for assessment	Collect Evaluation studies conducted by different agencies in priority sectors Create data base of the same with basic information about each study	Desk research		▓	▓		
		4.2 How to assess quality of evaluation reports?	Literature review on meta-evaluations Comparison of existing checklists for evaluation reports Propose an Evaluation Report Quality Assessment Toolkit Validate the ERQAT	Literature review Desk research	▓	▓			
		4.3 What is the quality of evaluation reports published by various agencies in India	Score listed reports using ERQAT Get subjective feedback on quality from experts	Data analysis Expert feedback			▓	▓	
3. To prescribe a framework for decentralised, participatory monitoring and evaluation	5. What should be the National M&E policy of India?	5.1 How to develop an ideal M&E policy?	Study literature on M&E policies Compare existing National Evaluation Policies and identify best practices Study how a good policy should be brought in	Literature review Expert interviews		▓	▓		
		5.2 Propose a draft National M&E Policy for India	Identify parts of the policy that already exist in Indian government system Prepare a 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					▓	▓
4. To propose ways to bring about this	6. What should be the capacity, information and Standard	6.1 What should be the components of a good M&E	Based on RO 1,2,3 - propose components related to capacity, information and SoPs for national, state and district level.	Documentation			▓	▓	

Objective	Research Question	sub-research questions	Tasks	Methods	1st yr	2nd yr	3rd yr	4th yr	5th yr
change, including capacity development	Operating Procedures for M&E systems at different levels of decentralisation?	system for development programs in Indian context?					▓	▓	
		6.2 What are the problems during implementation of evaluation studies?	Observe and document from case studies Interview state officials during RQ 2	Participant observation Case study analysis		▓	▓	▓	
		6.3 How to improve demand for M&E/ evaluation culture	Literature review on evaluation culture Assessment of best practices Contextualise to India and propose ways to improve M&E culture	Literature review Prescriptive documentation			▓	▓	▓
	7. What should be the plan for building capacity for district-level Monitoring and Evaluation in Maharashtra?	7.1 What is the context in Maharashtra?	Understand Context in Maharashtra, s.a. existing policies, GRs, capacities, institutions, etc.	Literature review, Observations Interviews			▓		
		7.2 What other systems/ existing programs can be leveraged for this purpose?	Explore how UMA, DPC, district innovation fund, etc. can be utilised	Literature 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	Literature review, Prescriptive documentation			▓	▓	▓

In previous APS, four objectives and corresponding four research questions were proposed. Over the year, the questions were divided into seven and their scope and limit is defined. For the first couple of objectives, of assessing status of M&E systems and quality of their outputs, evaluative frameworks have been developed which are being refined through discussion with experts in the field. Evaluation subject expertise, awareness of various advances in the field and validation of approach can be developed only through interaction with established evaluators. With this in mind, collaborations are being initiated with experts across the country, but primarily in New Delhi, where important evaluation institutes are based. These include Development Monitoring and Evaluation Office, NITI Aayog (DMEO), Abdul Latif Jameel Poverty Action Lab, South Asia (JPAL), United Nations Children's Fund, India (UNICEF) and Evaluation Community of India (ECOI). Apart from increasing theoretical knowledge and developing frameworks, it is important to understand how evaluative practice unfolds on the field and with this in mind, one qualitative and one data-based, quantitative evaluation study was conducted in the past year, which threw up various limitations of the process. All activities are described briefly below, and further expanded upon in respective sections.

1.1.1 Refining research questions

Chapter 3 describes the methodology proposed for this PhD research. While the primary objectives are the same as proposed last year, the research questions have been further improved through interaction with collaborators. Also, direction for further action towards answering the same was obtained. As a lot is happening in India around evaluation capacity, work is being initiated with different stakeholders, it is likely that over the next year, the sub-research questions and activities will get further defined. A positive of this year was defining the boundaries for the study, given in section 3.2.2.

1.1.2 Data collection frameworks

Through multiple revisions, starting from Logical Framework Analysis approach, Institutional and Organisational Assessment framework was finalised upon for assessing the evaluation offices in States and Ministries. Chapter 4 describes the approach and the prepared tool. This process was immensely facilitated by collaboration with DMEO. Data collection for the

same has been initiated with them. Similarly, frameworks for assessing outputs, i.e., MIS and evaluation reports (for monitoring and evaluation respectively) are being prepared in collaboration with DMEO. In DMEO, the scope of status assessment was expanded to include Ministries/Departments and Union Territories along with the States. Observing work on Evaluation studies and Output-Outcome Monitoring Framework (OOMF) development process from up close threw up some questions, so this has been added to analysis of outputs.

Desk-research to collect primary data, documents and basic information about the evaluation offices was regularly conducted. Over time, this expanded to scrying through websites, RTI documents, and annual reports to understand current structures and history.

1.1.3 Initiating collaborations

In the first year, one important limitation in this research was realised, which was absence of a research group in IIT Bombay working specifically on evaluation theory and methods. While work is happening on evaluating specific programs, expertise on evaluation, evaluation capacity building, and information on latest developments are not readily available. For this purpose, conscious efforts were done to connect to evaluators. Firstly, through the Research for Impact Fellowship offered by JPAL, interaction with JPAL team became possible. While attempts to connect with team at DMEO in February 2019 didn't succeed, in May 2019 the Director General of DMEO personally invited me for collaboration upon reading my literature review on history and status of evaluation in India. This led to a brief stint at DMEO between October 2019 to December 2019.

In October 2019, i became a member of Evaluation Community of India and met a few people in the core organising group. Being impressed with my preliminary work, i was invited as a panel speaker in their biennial event, EvalFest 2020. This allowed me to connect with wider network of evaluators in South-East Asia, especially the Young and Emerging Evaluators.

During October-November 2019, multiple interactions happened with M&E experts at UNICEF, Delhi office and a mutual understanding was developed to cooperate for assessing evaluation capacities in Ministries and States. This has opened up avenue for triangulation of collected data based on perception of UNICEF and JPAL teams in different states.

American Evaluation Association, one of the largest networks of professional evaluators has a vibrant online community called EvalTalk, which is free to join. After discovering it, i became a part of it in July 2019 and since then have had insights on various important debates happening in the field of evaluation today and got access to interesting resources. While this is less of a collaboration, this has allowed me to expand my network and directly read views of heavy-weights such as Michael Quinn Patton.

1.1.4 Participant observation at DMEO

The brief stint at DMEO mentioned in previous section not only allowed to refine, finalise and scope the objectives of this study, but also provided with a confidence about the presence of a concrete stakeholder for the work proposed and the research problems being of real and urgent concern to them. During the first stay at DMEO, between 1st October 2019 to 27th December 2019, while i primarily worked on my research objectives, i was also allowed to sit through team meetings, presentations, ongoing sectoral evaluation-related meetings, etc. being physically present in the office and also being part of the official WhatsApp group, i was able to observe the dynamics, capacities, pressures and attitudes of the staff. Free interactions with the Director General allowed me to voice my opinions, get his feedback, appreciate the constraints in which the office operates and initiate some internal change processes. Observations made while in the office are documented in section 4.7.

1.1.5 Research for Impact fellowship by J-PAL

A need was felt to upgrade personal capacity in evaluations, as noted last year. For this, i registered for Research for Impact Fellowship offered by JPAL under their capacity development program to PhD scholars from leading universities of India. The purpose was to get a certificate in evaluation coursework and get hands-on experience. Going through three stages of it, which included an online course, a training session and two rounds of interview, i was selected for the final stage of working with a JPAL team on field from over 60 participants. I worked with Mumbai team on a pilot and randomised control trial in public distribution system. The main takeaway of this exposure in July-August 2019 was learning management of research, coordination between team-members spread across the globe, follow ups and tracking of

activities, data clean-up steps, ethics of research, and communication with various stakeholders. This provided with the confidence to be able to conduct an evaluation study on my own.

1.1.6 Designing and executing evaluation studies

It was understood early in the first year that along with theorising, it will be important to gain practical experience and draw observations from it regarding evaluation practice. Towards this, some attempts had already been started and two such studies were conducted in the first half of the previous year. One study, conducted for a Charitable trust during February-March 2019, was a qualitative evaluation of their work in absence of any structured, disaggregated data. This brought to fore the importance of theory-building and triangulating experiences of various stakeholders to assess the intended and unintended consequences of a program. The second study, done for a well-established NGO's project during April to June 2019, was an end-line impact assessment in presence of good amount of data. In this study, the need for a good baseline study with the right indicators, which could be followed up at end-line was realised. It was observed that even in institutions engaged in regular M&E of their projects, evaluation and data requirements for it are an afterthought.

Both studies helped understand the gaps in planning and execution of studies. The need for meticulous planning, and improved evaluator competencies was felt. A realisation of why most studies do not bring out the expected results also happened in the course of these studies. These insights are documented in section 5.4.

1.2 Organisation of the Report

The first chapter establishes the importance of this research in light of SDGss and briefly describes the work done in past one year. The Literature review in second chapter briefly documents the available literature and arrives at the research gaps in Monitoring and Evaluation Capacities in India. Based on this, the third chapter proposes the research objectives and questions. Chapter four and five discuss the work done and next steps towards achieving first and second objective, including document analysis, interactions and participant observation at DMEO. The final chapter lists the tasks to be done in the next year.

Chapter 2
Literature Review

This literature review chapter discusses Monitoring and evaluation systems and the existing literature about their status in India, with a discussion on evaluation capacities and organisational assessment framework.

2.1 Monitoring and Evaluation Systems

As mentioned in introduction, the simplest of M&E system has four components: a strong MIS for each program, institutional and human resources for conducting evaluation studies, performance management systems and outcome-based budgeting (Mehrotra, 2012a). An M&E system is the institutional, legal, procedural, and infrastructural structures in place for conducting M&E functions in a government. It may exist at the level of individual agency, entire sector, or government as a whole. M&E system is said to exist if permanent arrangements whereby evaluations are commissioned to different evaluators and the evaluations conducted are put to suitable use exist, or when evaluation studies are no longer commissioned on an ad-hoc basis but through more permanent arrangements, which aim to guarantee, in advance, the supply of evaluative information (Leeuw & Furubo, 2008).

For a successful M&E system, it is important that apart from regular utilisation with a good demand for the supplied information, its data quality and reliability is also established and it is sustainably built with strong institutionalisation. (Mackay, 2012) Typically, instruments are focused more than the institutional choices, but it is important to look at how a system is operated and for what purposes (Krause, Mackay, & Lopez-Acevedo, 2012).

An M&E system is useful for various purposes. It is helpful to have timely evaluations conducted on major spending programs for budget decision making related to decisions about initiating, scaling up, or closing programs. Process evaluations help in program management, by providing detailed program information and on important operational issues, with input and ownership of the program managers. As for accountability purposes, it helps if M&E

information is available for the entire range of government spending, which allows comparisons over time and between different sectors and programs. Thus M&E systems that provide such variety of information for different uses are more likely to be in demand, but as it is difficult for a single system to provide all information, typically, various functions are done through various agencies in a government. These work through different incentives built into the government (rewards in form of improved budgetary allocation, deterrents in form of no sanctions without evaluations, and statements of support to M&E in form of guidelines, etc. can be operated by finance ministry, planning ministry and cabinet secretariat respectively.)

A sustainable system should survive the changes in government, enduring as a continued feature of public sector management. At times, highly used, efficient systems may suddenly lose their relevance if the new government decides to not use their inputs. Australia (1997) and USA (2008) faced these challenges in recent decades. (Krause, Mackay, & Lopez-Acevedo, 2012). It can be said that in India, systematic apathy led to erosion of a strong central- and state-level evaluation systems in favour of ministry- and program-level monitoring system.

Institutionalisation of M&E systems in the financial, budgetary and oversight processes or as a separate function provide it legitimacy. Different countries, based on their federal structure, devolution of functions across ministries and role of a steering agency, have created a confusing degree of institutional variety to M&E systems. Keith Mackay, in her book chapter in book 'Building Better Policies: The Nuts and Bolts of Monitoring and Evaluation" provides eight lessons for building M&E systems from experience from different countries. These are:

1. Need for substantive government demand for M&E to start and sustain a good M&E system which needs a lot of effort.
2. Intensive, ongoing use can happen only through right incentives, the technocratic view that M&E has inherent merit is flawed.
3. Diagnose existing M&E functions in the country, present in government, academia, and consulting community to identify the strengths and weaknesses on supply and demand sides to form an action plan.
4. To institutionalise M&E systems, a strong government campion (senior official or influential minister) is more valued than reliance on law or a cabinet decision.

5. M&E systems grow under stewardship of a capable ministry or institution close to the centre of power that can design, develop and manage the system. The system develops in incremental, piecemeal and opportunistic manner more often than not.

6. Audit of data systems and diagnosis of data capacities allows rationalising existing data collections and improve their quality to avoid over-engineering and proliferation of uncoordinated data systems which fail to provide government-wide raw data for the M&E systems.

7. Training of all officials who supply or demand M&E is necessary.

8. Building an effective M&E system is a long-term effort requiring patience, determination and efforts.

A typical artefact of good M&E system, used for monitoring, i.e., data gathering and management purpose is the Management Information System, which has developed hand in hand with advances in computer system technology (Kriebel, 1970). The following section defines MIS and provides a brief history.

2.1.1 Management Information Systems

Kenneth Lauden and Jen Lauden, in their book 'Management Information System: Managing the Digital Firm' define an information system as

"… *a set of interrelated components that collect (or retrieve), process, store, and distribute information to support decision making and control in an organization. In addition to supporting decision making, coordination, and control, information systems may also help managers and workers analyze problems, visualize complex subjects, and create new products.*" (Laudon & Laudon, 2011)

A typical IS has following components: hardware, software, databases, personnel, and processes that are used to make better decisions to control business operations. IS facilitates documentation and monitoring operations of another target system, which is a prerequisite for the existence of an IS. Infrastructurally, information system 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).

Thus, an MIS is a computer-based IS which can collect and process information from different sources for decision-making at the level of management (Nguyen & Tu, 2018).

Since the 1960's, the phrase 'management information systems' has become popular in discussions surrounding information processing support for management activities, replacing the term business data processing, shifting the focus to end-user's goals for the information system (Kriebel, 1970). As the computing technology and IT infrastructure went through multiple upgrades, its applicability for management also evolved. This is documented by Laudon & Laudon (Laudon & Laudon, 2011) in their book and by David Weedmark (Weedmark, 2019) in an article. The following section summarises these sources to trace evolution of MIS

2.1.2 Evolution of MIS

In the era of punch cards, till 1960s, IS were primarily used for accounting purposes, but over the second half of the nineteenth century, as computers became ubiquitous, MIS developed beyond accounting to other activities such as inventory systems, sales, marketing, manufacturing processes and engineering. While initially these systems weren't integrated, with advent of network connected computers in the 90s, integration of different IS within organisations started, which in age of internet, allows complete integration across offices (Weedmark, 2019).

First era: general purpose main-frame and minicomputer era (1959 to mid-70s)

Centralised MIS used for governance and management, controlled by accounting departments. Only large enterprises could afford, for important auditing purposes. Around 1965, with introduction of IBM 360 with a powerful operating system providing time-sharing, multitasking, and virtual memory, mainframes became powerful enough to support thousands of online remote terminals connected to the centralized mainframe through proprietary communication protocols and data lines. Infrastructure was centralised and specialised, provided by single vendors and operated by programmers and system operators (Laudon & Laudon, 2011).

Minicomputers were introduced by Digital Equipment Corporation, in 1965 which decentralised and customised computing and allowed individual business units to handle their data and computing needs.

Second era: personal computer era (mid-1970s to mid-80s)

With spread of minicomputers and personal computers, steering committees and user-led initiatives determined the shape and scope of new IS projects. More departments started to depend on computing power for maintaining inventories and reporting.

Third era: client/server era (mid-1980s to late-90s)

Centralised information systems started to spread out, where independent IS of different units were connected centrally and Chief Information Officers started to oversee acquisition and management of multiple IS within an organisation (Weedmark, 2019).

Fourth era: enterprise computing era (late-1990s onwards)

Web-based networks came into play, allowing physically distant offices to communicate information. Thus, entire enterprises got interconnected, even client-suppliers could share data. Each employee gained access to the system as needed.

Fifth era: cloud and mobile computing era (late-2000s onwards)

With spread of internet, improved bandwidths and cheaper hardware, every employee is now connected with the IS and is both a producer and user of information. This has also led to new uses and tapping into power of social media, search engines and ubiquitous computing.

This evolution of MIS is connected to growth of MIS in M&E systems and thus forms basis of understanding their timeline. In the past 70 years, India had established a strong evaluation system, which gave way to a proliferation of monitoring systems in the past two decades, while the evaluation systems weakened. Before any attempts to strengthen and unify the two, it is important to trace the history. An attempt from existing literature is done in section 2.2.

2.2 Evaluation in India

System of evaluation was conceived in India simultaneously with planned economy. With the launch of first five-year plan in 1951, a need for systemic evaluation was felt, and the first plan deemed that systematic evaluation should become a normal administrative practice in

all spheres of public activity and for this the Planning Commission (PC) began developing the evaluation techniques by establishing Program Evaluation Organisation (PEO) (Chandrasekar, 2015). The PEO was formed in October, 1952, as an independent organization, under the Planning Commission for evaluating community development programmes and other Intensive Area Development Schemes. The evaluation set up was strengthened by development of methods and techniques of evaluation in the First Five-year Plan and setting up of evaluation machineries in the States during Third (1961-66) and Fourth (1969-74) Plan. Gradually with the extension of the Plan Programmes/ Schemes in a variety of sectors, viz., agriculture, cooperation, rural industries, fisheries, health, family welfare, rural development, rural electrification, public distribution, tribal development, social forestry, etc., the evaluation work undertaken by PEO extended to other important Centrally Sponsored Schemes (Planning Commission, 2002). From the fifties, India has come a long way in the past seven decades.

Dr S. Chandrasekar served as the Director of Regional Evaluation Office, at Chennai and then as Adviser at Directorate of Economics and Statistics, Ministry of Agriculture, New Delhi. He wrote an article about history of Development Evaluation in India, published as a web special by Yojana in November 2015, around the time when a lot of changes were happening in the Indian evaluation scenario. Most of this section is based on his article and a report by World Bank on M&E system in India (Chandrasekar, 2015) and (Mehrotra, 2013). Recently, a book chapter has been published (Gayithri, 2019) titled 'Monitoring and Evaluation of Government Programs in India and Canada', but interestingly, when speaking about history in India, this chapter draws heavily from the same two sources mentioned here and lacks detailed information about current situation. This establishes the paucity of published literature about history and status of M&E in India, making it necessary to explore this aspect in detail. Little snippets are available in the annual reports of Planning Commission and NITI Aayog.

2.2.1 Historical changes

The history of institutionalised development program evaluation can be divided into following phases, based on how the Government of India treated its evaluation organisations:

1. Planned economy phase 1952- 1973
2. Neglect phase 1973-1995
3. Resurgence phase 1995-2013

4. New institutions and paradigm phase 2013-current

Planned economy phase 1952-1973

PEO was established in 1952, it was a field-based organisation, had three-tiered structure – Headquarters in New Delhi at higher level, 3 Regional Evaluation Offices at middle level and 20 Project Evaluation Offices at lowest level. Beyond these were the state offices, taking the total offices to 40 and staff strength to over 500. PEO had relative autonomy as all its offices and the state evaluation offices reported to the Director, PEO. The evaluation reports were a major part of annual conference of State Development Commissioners, enabling follow up actions (Mehrotra, 2013). These State offices were set up through a special scheme titled 'Setting up and Strengthening of Evaluation Machinery in State', which was implemented in the third and fourth Five-year Plan periods (Planning Commission, 2002).

Neglect phase 1973-1995

With the reduction in scope of planning commission activities in early seventies on the recommendations of the Administrative Reforms Commission, PEO started its phase of decline and neglect. While the extent of its work was expanded to include urban areas too, its scope of evaluations was reduced to operational, financial, and administrative aspects of schemes and programs, rather than the overall design of programs and their impacts. It was recommended that only those studies should be taken up which could be made available quickly for use by line divisions. This was accompanied by appointment of Indian Economic Service Officers, who are generalists compared to earlier subject specialist academicians, as the head of PEO.

Internal PEO functions were merged with Planning Commission in April 1973, reducing it to a division within a department (Chandrasekar, 2015). Around the same time, based on recommendations of Staff Inspection Unit of Ministry of Finance, field offices were reduced from 40 to 27 by the end of the seventies (Mehrotra, 2013).

PEO featured briefly in latter plans and received insufficient financial layouts, limiting its ability to bring out good reports on time. Its reports were delayed, didn't cover program impact & design anymore, and were given less important by the concerned ministry thus, the reducing their use. This in turn reduced the number of studies being done (Chandrasekar, 2015).

Resurgence phase (1995-2013)

The resurgence in demand for evaluation can be traced to the late nineties, when the Planning Commission got involved in design and implementation of social safety net programs to counter the adverse effects of economic reforms initiated earlier. Unfortunately, the Fiscal Responsibility and Budget Management Act 2003 ensured that the PEO and its field offices were highly understaffed. This began the practise of outsourcing the studies to social science research institutes. The PEO involved the ministries and subject matter expert groups in ensuring some actions were taken based on its reports from the ninth plan onwards (1997-2002)

The Eleventh Five-year Plan (2007-2012) stressed on building online MIS for all flagship programs. Development monitoring unit was setup in Prime Minister's Office in 2009, and a Performance Monitoring and Evaluation System (PMES) was created at cabinet secretariat. The functions of monitoring and evaluation were being mixed together. A scheme named 'Strengthening Evaluation Capacity in Government' was launched in 2006-07, to reduce the financial problems at PEO but it did little to address the administrative and staff problems (Chandrasekar, 2015). This scheme was scrapped in 2012-13 and merged with plan scheme 'Plan Formulation Appraisal & Review' (NITI Aayog, 2015).

During this phase of resurgence in demand for evaluation activities, mixing up of monitoring and evaluation, ignoring plight of PEO, underutilisation of studies, and outsourcing to private institutions without clear policy, were a few grave mistakes made. As a result, in 2012, there were 7 regional and 8 project offices left (PEO, 2012).

New institutions and paradigms phase (2013-current)

A new Independent Evaluation Office was established in the Twelfth Five-year Plan with a mandate to "conduct evaluation of plan programmes, especially the large flagship programmes to assess their effectiveness, relevance and impact. It also has the freedom to conduct independent evaluations on any programme which has access to public funding or implicit or explicit guarantee from the government." Instead of using regular organised services available to government, it proposes to get evaluation done by selected institutes and researchers identified through tender processes (Chandrasekar, 2015). Not much is known about how IEO was expected to function and how it was different from the PEO.

With change in regime and dissolution of Planning Commission in 2014, PEO and IEO were merged into Development Monitoring and Evaluation Office (DMEO) in 2015. In 2017, field offices were shut down and their staff was attached to DMEO at New Delhi (Indian Express, 2017). The PMES started earlier was now replaced by Pragati dashboard for direct follow-up by PMO for better implementation, but misses opportunity for evaluations based on the Results Framework documents prepared by the ministries (The Economic Times, 2015).

Concurrent evaluations

In the resurgence phase, concurrent evaluations were regularly done by ministries themselves for their programs. For example, National Food Security Mission under Department of Agriculture and Cooperation, Ministry of Agriculture carried out its own concurrent evaluations in 2010 (NFSM Cell, 2010) and Ministry of Rural Development had a Concurrent Evaluation Office (CEO), set up for managing Concurrent Evaluation Network (CENET) of the Ministry, in conjunction with IEO. The CEO was closed in July 2016 (PIB, 2016).

Concurrent evaluation is either a formative or process evaluation, which evaluates all the activities carried out to achieve program objectives, annually. Concurrent evaluations have been done in the past too, an example is the concurrent evaluation of Integrated Rural Development Program carried out by Department of Rural Development, Ministry of Agriculture in 36 districts of the country since October 1985 for at least a year. As ordinary evaluations in that era were usually ex post facto, they did not provide remedial measures and mid-term collections, a need for concurrent evaluation was felt (Saxena, 1987). The term concurrent evaluation isn't common outside India, where the term self-evaluations is used for internal, regular evaluations (UNEP, 2008).

2.2.2 Current scenario

Past decade has been very eventful for the evaluation systems in India. IEO was set up and closed, PEO was closed, Results Framework Diagram based PMES was started and closed and DMEO has been started recently. This section outlines the scenario at the central and state level in India. Further information is given in Chapter 4, based on information collected from administrative sources

DMEO at NITI Aayog, New Delhi

Development Monitoring and Evaluation Office (DMEO) was established on 18th September 2015 as an attached office of NITI Aayog headquartered at Yojana Bhavan, New Delhi. The 7 regional DME offices and 8 Project DME offices (which were established as regional and field offices of PEO) were closed with effect from 30th September 2017 and their staff called to headquarters in Delhi. The Vice Chairman, NITI Aayog, guides the programme evaluation work. To assist the Director General, DMEO 4 Deputy Director Generals (SAG level) posts are approved to look after the functional mandate in addition to the Joint Secretary (Adm.& Fin.) who provides administrative and logistics support. (NITI Aayog, 2019) On the technical/ specialist end, there are few Sr. Research Officers, Sr. Statistical Officers, Sr. Consultant and many Economics Officers, Consultants, Research Associates and Young Professionals, a total of about 40 people. There is some administrative staff as well (NITI Aayog, 2018).

In 2016, DMEO called for Expression of Interest by Research Institutions, NGOs, and universities for carrying out evaluation studies. While this call for EoI is available online, the final list is not found on the NITI Aayog website. As per mandate of DMEO, it is expected to get evaluation studies done as requested by various ministries for their programs. This is similar to what PEO and IEO were doing towards the end.

DMEO has recently launched its website in January 2019[2]. Prior to this, it was difficult to obtain much information about this office. The little information in this section was gleaned from NITI Aayog contact files, annual reports and few web pages about DMEO.

Evaluation in Indian states

Evaluation was an integral component of every state's planning and implementation process while PEO was blooming. States have taken varied path in past few decades from there.

While Evaluation is reported just as an activity under the Directorate of Economics and Statistics in Planning Department in most states, Karnataka has an Evaluation authority, in Goa

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[2] http://dmeo.gov.in/

and Sikkim, Evaluation is in the name of the directorate. When we look at the official websites, we see that evaluation occupies important position in many states.

It is seen that across the states, evaluation function is generally under the Planning Department, which has the Directorate of Economics & Statistics, responsible for all statistical data collection, analysis, and in most states, for monitoring and evaluation functions. Most of these functions started during the third plan period (1961-66) (PEO, 2006).

Outsourcing of evaluation studies to competent agencies has been going on for a couple of decades and the websites, developed in last 10 years mostly, show records of processes carried out by various states since 2012-13, under the 12th Five-year plan.

Records of how the feedback generated by these studies is used is poor. Program Evaluation Organisation had two studies in 2004 and 2006 titled Development Evaluation in PEO and Its Impact (Vol I and Vol II) which summarise the follow-up actions based on the evaluation studies done in the preceding years (PEO, 2006). Beyond this, not much is documented.

Evaluation in Ministries

At the central Ministries and Departments level, evaluations have become a routine over the past two decades. Most of these were started as concurrent evaluations. Ministries routinely carry out Joint Review Mission/ Common Review Missions for their various schemes. Ministry of Health and Family Welfare started CRMs in 2007 for annual review and concurrent evaluations of their National Rural Health Mission (NRHM, 2007). Similarly, Sarva Siksha Abhiyan and Mid-Day Meal Joint Review Missions started in 2005 and 2010 respectively and have been an regular features of concurrent evaluation and field-based evaluation of the Ministry of Human Resource Development (SSA, 2010) (MDMS, 2010).

Apart from such scheme based JRMs, ministries conduct evaluation studies through their research institutes or other academic bodies at the time of completion of a program cycle. Earlier, the lifecycle of various Centrally Sponsored Schemes was generally coterminous with the Five-year Plans and hence were reviewed mid-term with the mid-term appraisal of the Plan. But with their end, now it has been decided to make all schemes coterminous with the Finance Commissions (PIB, 2019). Thus, earlier, ministries would get their schemes evaluated either through PEO or through others as needed. Now, ministries get evaluations done directly, where

they invite RFPs through closed tenders from various national academic and research institutions or through open tenders on the Central Public Procurement Portal. A lot of focus of ministries is towards monitoring of scheme performances.

2.3 Monitoring in India

To ensure efficient use of the public funds invested in various programs, it is crucial to effectively monitor the program implementation and evaluate if the intended outcomes are obtained. In a country like India, governments expand their activities and claim success based on the amounts spent instead of their outcomes as they lack effective monitoring. The largescale spending needs monitoring of implementation throughout the entire life-cycle of the programs. (Gayithri, 2019). Various attempts have been made in this direction in the past 70 years. The functions have been divided into monitoring of implementation at program level (primarily through MIS), coordination and resolution of bottlenecks at the Central level (monitoring of Twenty-Point Program, Public Fund Management System, DISHA, SDG tracking, PRAGATI, etc.) and oversight functions (by Statutory bodies such as CAG). Output and outcome monitoring of plan schemes has been started since 2005-06. Again, limited secondary literature is available about these different monitoring approaches. One important paper is by Santosh Mehrotra about the MIS of flagship programs (Mehrotra, 2012b). This paper, referring to another paper from 1996, laments that there is limited literature on MIS for planning and decision making. The situation hasn't changed yet. So, for last three decades, while MIS have been extensively used, not much literature about them has been published.

While MIS is essential for monitoring inputs, budgets, processes or activities and outputs, and the relations between the three, it cannot be expected to do outcome evaluation. Conventionally, in governments, progress is not judged by results but by compliance to rules. Also, MIS used for monitoring have shortcomings related to ineffectiveness in identifying system delays, irregular reporting, lack of analysis, inadequate interlinking, false reporting, absence of data banks, and stress on reporting over action. This has limited the quality of monitoring, hampering the performance of development programs. (Mehrotra, 2012b)

In the past decade, at the central level, various attempts have been made for improving monitoring. These include introduction of performance and outcome-based budgeting in 2005-

06, Delivery Monitoring Unit in Prime Minister's Office, creation of Programme Management and Evaluation System Unit in the Cabinet Secretariat (2009-10), implementation of Results Framework Document in 2008-09 for next financial year (Mehrotra, 2012b) replaced by Output- Outcome Monitoring Framework Indicators in 2017-18. Post 2014, e-Samiksha for follow up of meetings was launched (PIB, 2016) and PRAGATI a multi-purpose, multi-modal platform for Pro-Active Governance And Timely Implementation has been in action since March 2015 (PIB, 2015). and an Online Computerised Monitoring System for Central Sector projects monitoring costing Rs 150 Crore or more have also been introduced[3]. A separate project monitoring group[4] has been brought under PMO in 2015 for monitoring the clearances of projects, which is pre-implementation. A regular feature since the eighties has been preparation of Quarterly Status Reports by Monitoring and Information Division in Planning Commission, as seen in various annual reports of Planning Commission.

Another important monitoring in India happens on the Twenty Point Program through Ministry of Statistics and Program Implementation[5]. The program was first launched in 1975, restructured in 1982, revised in 1986 and again revised in 2006, and has been further revised in since 2014, there is little literature about the program, its impact, its data collection methods, etc. Except for reports accessible on MoSPI website[6], not much can be found about the program.

The poor documentation and performance of our M&E systems shows the apathy towards their improvement in India. One reason can be poor evaluation capacity in India despite having dedicated monitoring and evaluation offices under the Planning Commission. So, it is important to look at what are the systems and capacities in India and how these can be boosted.

2.4 Diagnosing M&E Systems and Capacities

M&E diagnosis is an analysis of what is and is not working in a country's M&E activities, with recommendations for improvement. It emphasises institutional analysis of factors affecting supply and demand. It also assesses technical capacities to provide results using reliable

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[3]http://www.cspm.gov.in/english/ocms.html
[4] https://enivesh.gov.in
[5] http://mospi.nic.in/twenty-point-programme
[6] http://mospi.nic.in/twenty-point-programme

data, analytical instruments and technical abilities. A diagnosis, while conforming to broad themes, is specific to the conditions in a specific context. The following institutional themes should be covered in a national M&E systems diagnostic study (Shepherd, 2012):

1. National environment for M&E – national policy and institutional framework
2. Historical development of the system
3. Objectives
4. Processes, tools and products
5. Relationships with other systems
6. Institutional architecture
7. Organisational characteristics of public agencies that are part of the system
8. Results
9. Findings presented as conclusions and recommendations

Along with these, technical capacities or evaluation capacities of organisation and its human resources should be analysed. Many concepts overlap between the institutional and evaluation capacity themes. Evaluation capacity is loosely defined as the ability of public institutions to manage information, assess program performance by effectively organising and utilising timely, high-quality evaluations. and respond flexibly to new demands (EStep, 2008).

There are multiple tools for evaluation systems diagnosis or evaluation capacity diagnosis. Most of these have similar technical, governance and Institutional components (Mapitsa & Khumalo, 2018). These are also arranged by demand, supply, utilisation and institutional dimensions (EStep, 2008). Evaluation capacities have been divided into 12 groups as per the 12 Components M&E System Assessment (UNAIDS, 2009).

This same categorisation is considered in M&E Capacity Assessment Toolkit (MECAT) by MEASURE Evaluation (MEASURE Evaluation PIMA, 2017) for M&E capacity assessment of organisations. Centre for Learning on Evaluation and Results – Anglophone Africa (CLEAR AA) has adapted and implemented multiple global tools in African context (Blaser Mapitsa & Khumalo, 2018). The following comparative Table 2.1 prepared by them provides an overview of important global tools used to understand M&E systems. Using various frameworks, the authors propose a new balanced model, depicted in Figure 2.2.

Figure 2.1: 12 components of organising framework for functional national M&E systems
Source: (UNAIDS, 2009)

Table 2.1: Summary components of four prominent global M&E systems assessment tools

Tools	Technical components	Institutional components	Governance	Contextual
Global Eval Agenda	Resources, Data systems, data generation, Data quality, readily accessible evaluations information, Evaluation skills and capacities, enough people to conduct evaluations	Collaborating between M&E institutions, M&E Policies, Stakeholders involvement in evaluations, Professionalisation of evaluations, Other institutions' role in developing and supporting evaluations	Leadership, Ownership of evaluations	Evaluation culture, Understanding value of evaluations
WB Evaluation Capacity Development Report	Budget allocation for conducting evaluations	Key stakeholders, incentives structure, national policies and laws for evaluations	Process of decision-making in the organisation, Willingness from national government	-
Bond et al. Framework for MEL	Data systems, data collection, data use for decision-making, Information infrastructure – who uses data, for what and flow of data, Resources (money, people), Skills, staff time	-	Leadership and management buy-in, Leadership involvement in evaluations	-

UNEG Evaluation Norms and Standards	Resources, skills, competencies, Capacity development initiatives, Timely, valid, reliable information, Rigorous methodology, Quality control for evaluation	Evaluation policies reviewed and updated, Involvement and engagement of stakeholders, Clear evaluation guidelines and ethics, ToR for evaluation	Management support for evaluations, head provides leadership and oversight	Gender mainstreaming, Human rights–based

Source: (Blaser Mapitsa & Khumalo, 2018)
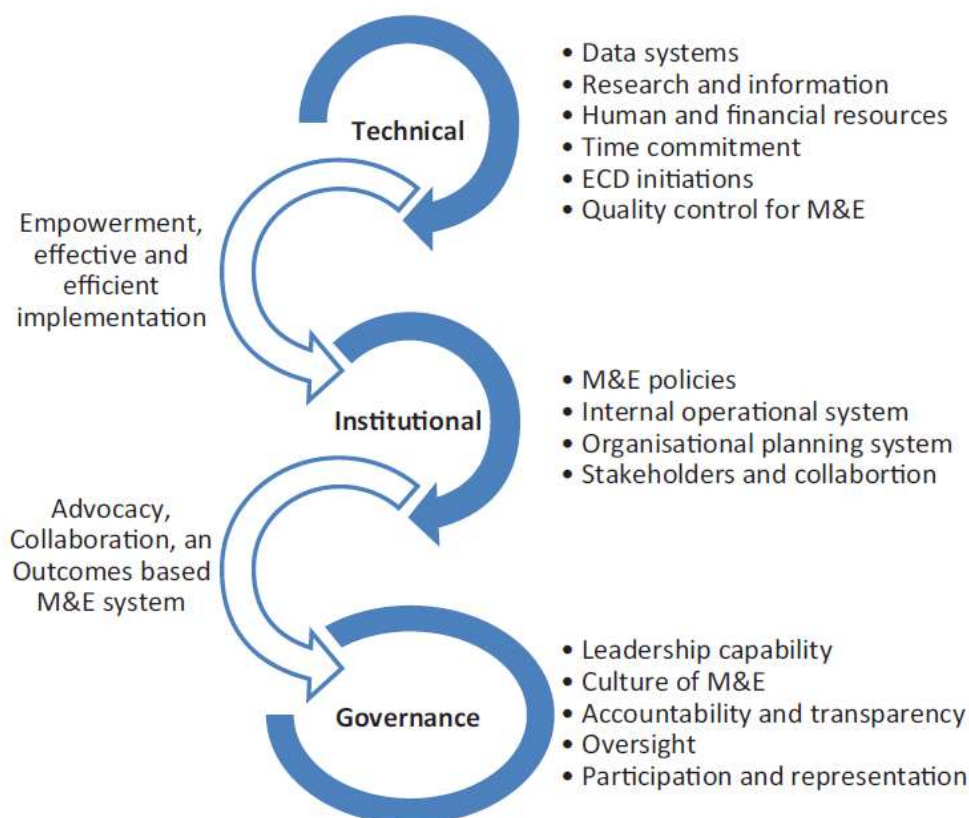
Figure 2.2: Balanced model for understanding M&E capacity in Africa

Source: (Blaser Mapitsa & Khumalo, 2018)

While proposing Evaluation Capacity Assessment Instrument, individual and organisational factors are stressed by Taylor-Ritzer et. al. (Taylor-Ritzler, Suarez-Balcazar, Garcia-Iriarte, Henry, & Balcazar, 2013). They arrive at it by comparing existing literature on the subject, which is summarised in Table 2.2: Summary of ECB assessment instrumentsTable 2.2 by them as follows:

Table 2.2: Summary of ECB assessment instruments

Name of Instrument	Author and Year	Components Measured by the Instrument	# of Items
Assessing Learning Culture scale	Botcheva, White, &Huffman (2002)	Outcome measurement practices, Learning culture	10
Evaluation and organizational capacity	Cousins, Goh, Elliot, & Aubry (2008)	Organizational learning capacity, Organizational support systems, Capacity to do evaluation, Specific types of evaluation activities, Stakeholder participation, use of evaluation findings, use of evaluation process, Conditions mediating evaluation use	120
Readiness assessment tool for evaluation capacity building	Danseco, Halsall, & Kasprzak (2009)	Experience with evaluation, Leadership and collaboration, Systems and structures, Evaluation practice	26
Readiness for Organizational Learning and Evaluation (ROLE)	Preskill & Torres (2000)	Culture (organizational), Leadership, Systems and structures, Communication of information, Teams (working as a team), Evaluation	78
Evaluation process use measure	Taut (2007)	Section 1: Views of evaluation, decision making, expectations, sharing knowledge, and learning culture Section 2: Opinions and experiences with evaluation, available resources, internal and external monitoring, and reporting Section 3: Previous experience with evaluation	69
Organizational readiness for change (TCU-ORC)	TCU Institute of Behavioral Research (2005)	Motivation for change (program needs, training needs, pressure for change), Resources, Staff attributes, Organizational climate	-
A checklist for building organizational evaluation capacity	Volkov & King (2007)	Organizational Context, ECB structures, Resources	35

Source: (Taylor-Ritzler, Suarez-Balcazar, Garcia-Iriarte, Henry, & Balcazar, 2013)

M&E practitioners in developing countries critique that the literature on M&E systems has mostly emerged from contexts where strong institutional capacity existed, making many tools and methods inappropriate for local evaluators. A shift away from a strictly technical measurement of M&E system towards a more contextualised definition looking at how system functions in practice, were employed. The discourse shifted to governance and context in environments which have very real limitations on human resources, budget and technical capacity. The mechanisms for change between technical, institutional and cultural components are often ignored. As a result, difficult to study the application of these tools in context rigorously,

because they hide assumptions about mechanisms of change. By bringing in principles of organisational change, this gap can be filled (Blaser Mapitsa & Khumalo, 2018).

2.5 Organisational Assessment

Organisational assessment is done to understand the internal functioning and performance of complex organisations (defined as open social action systems with multi-forms of structurally differentiated but interdependent sub-systems each with its own processes. The action system is a repetitive cycle of transforming inputs into outputs (Ven, 1976)). A thorough organisational assessment needs to focus on macro (organisation) level and micro (work unit) level analyses. For effective organisational assessment, a theoretical framework must be established beforehand. It also allows longitudinal analysis and systematic knowledge generation.

2.5.1 Organisational Capacity Assessment

In 2017, William & Flora Hewlett Foundation's Effective Philanthropy Group published a guide to organisational capacity assessment tools (Informing Change, 2017). This guide has a comparison sheet, which is presented below in a condensed form. The frequency of various themes across the organisational assessment tools summarised in this comparative sheet is provided below, with a commentary on whether and how they were considered for inclusion in the synthesised M&E offices' status assessment framework proposed in section 4.3.1.

Table 2.3: Frequency of themes in different organisational capacity assessment tools

Theme	Definition	% Frequency	Inclusion in synthesised framework
Adaptive Capacity	Ability of organizations to make changes in any capacity area/ respond to environment/ context changes	16.7	dropped
Aspirations	Mission; vision; overall impact; role in society	64.6	culture - motivation
Community & External Relations	Communication mechanisms; stakeholder/external feedback; networks; alliances; coalitions; if marketing & outreach reach key audiences; defining key audiences, marketing & communications; civic engagement	75	environment -
Content & Sector Expertise	Assessment of a specific content area (e.g. children's rights; advocacy)	14.6	dropped

28

Culture & Values, Ethics	Organizational culture, values; ethics	52.1	culture – organisation culture
Learning, Evaluation and Accountability	Organizational assessments; gathering/ using data; continuous improvement; performance metrics (program and staff); impact assessment; accountability	77.1	capacity – routine monitoring, research studies,
Finances	Financial management, budgets, accounting, reporting, compliance, taxes; financial infrastructure and oversight	89.6	performance – Financial viability
Fundraising & Development	Fundraising; development; grants; donors; board/ CEO engagement in it; diverse sources	79.2	not relevant
Governance	Board: roles, recruitment, training, assessment, by-laws, organizational & fiduciary responsibility	81.3	capacity - governance
Human Resources	Personnel (and volunteer) policies, procedures, recruitment, hiring, termination, reporting, job descriptions, performance reviews, professional development; diversity	83.3	capacity – Human capacity for M&E, incentives
Infrastructure & Technology	Property; space, inventories; maintenance (building, vehicle); IT	62.5	Motivation - Infrastructure
Leadership	CEO/Executive Director: knowledge, performance, relationship with board, work conditions and relationships	60.4	capacity - leadership
Management & Organizational Structure	Organization's ability to utilize its human & financial resources in efficient & effective manner; how management makes decisions about organization/ organizational structure	75	not included. If and how?
Operations	Speaks to an organization's systems, processes and procedures to ensure optimal effectiveness; internal communications; innovative ways of working; overall administration	62.5	motivation- processes
Planning	Planning for success of programs, including: mission alignment; program marketing; program funding; staff training; program performance indicators; collaboration/partnerships; program planning (based on strategic plan)	75	Capacity – organisation M&E plan
Strategy	Overall strategy/strategic plan; Theory of Change; goal setting; performance indictors; SWOT/landscape analyses	72.9	not included
Programmatic	Management & assessment of programs - design & implementation; programs and services	62.5	capacity – organisation M&E plan
Constituents	People who benefit from a non-profit's services; Strategic alliances; partnerships; relationships	64.6	capacity – partnerships, advocacy communications

Based on (Informing Change, 2017)

2.5.2 Institutional and organisational performance assessment framework

Apart from these tools, an important framework developed by International Development Research Centre, Ottawa in 1995 has been tried and tested for over two decades for improving performance of development sector organisations through studying their critical interplays and to change them. This framework is more comprehensive than most other frameworks as it is organisationally based and focuses on a systemic review of factors affecting organisational performance in following four major areas (IDRC, 2002):

1. Measuring organizational performance
2. Understanding the organization's external environment
3. Determining organizational motivation
4. Examining organizational capacity

Figure 2.3: Institutional and organisational performance assessment framework
Source: Universalia[7]

When the components of this framework were compared with the earlier Organisational capacity assessment tools, and other organisational assessment tools, it was realised that this framework encompasses most of those components. Thus this framework was selected for the assessment of M&E offices in India. The prepared framework is presented in Section 0.

2.6 Meta Evaluations

In Michael Scriven's Evaluation Thesaurus, meta-evaluation is:

"the evaluation of evaluations - indirectly, the evaluation of evaluators- and represents an ethical as well as a scientific obligation when the welfare of others is involved. It can and should be done in the first place by an evaluator on his or her own work; although the credibility of this is poor, the results are considerable gains in validity...[Because] the results of self-evaluation are notoriously unreliable, however, it is also desirable, wherever cost-justifiable, to use an independent evaluator for the meta-evaluation" (Scriven, 1991)

Michael Quinn Patton defines meta-evaluation as

"Evaluating the evaluation based on the profession's standards and principles" (Patten, 1997)

This differs from meta-evaluation as meta-analysis, a type of evaluation synthesis, or

"analysis of analyses or a statistical analysis of a large collection of analysis results from individual studies for the purpose of integrating findings." (Bustelo, 2002)

Here, meta-evaluation is being used for evaluation of evaluations or focusing upon evaluation processes, i.e., how evaluations are done-, not on the results or findings of those studies. While a meta-evaluation may include analysis of evaluation results, it is done to comment whether or not they are good findings (e.g., was if sufficient evidence was gathered, were conclusions sound, whether interpretations, judgements and recommendations were logically drawn, etc.), and if they can be useful for policy improvement, accountability or enlightenment. Evaluation synthesis, on the other hand, focuses on content of results. (Bustelo, 2002)

A meta-evaluation has following roles or functions:

1. Evaluation quality control: reflexive control of potential evaluator's biases and improving credibility of the evaluation
2. Obtaining right and good findings
3. Assessing evaluation processes: describing, analysing, auditing evaluation function for better understanding policies

2.6.1 Types of meta-evaluation

Similar to the classification of evaluations, a meta-evaluation can be classified based on the purpose of meta-evaluation, content/ phase of evaluation, time of meta-evaluation, and by the agent/evaluator. The following figure summarises the various types.
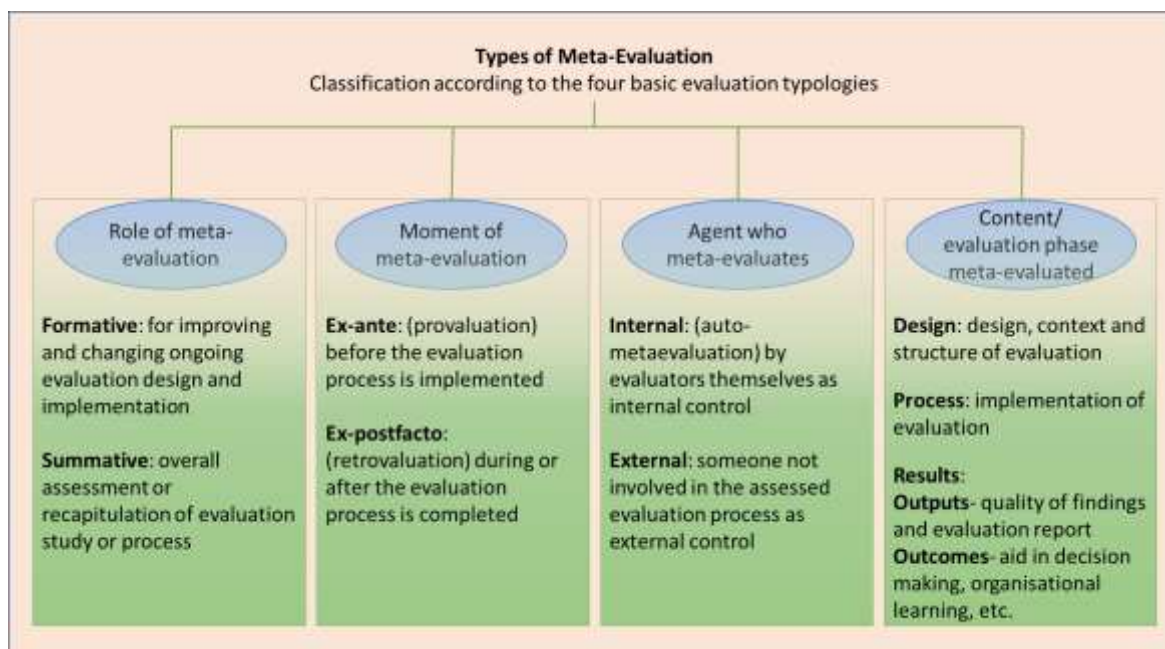
Figure 2.4: Types of meta-evaluation

Adapted from: (Bustelo, 2002)

2.6.2 Meta-evaluation criteria

Based on the meta-evaluation use, following important criteria are summarised by Mario Bustelo in her review of meta-evaluation (Bustelo, 2002):

1. Quality control purpose
   a. Methodological coherence
   b. Adequacy
   c. Establishing evaluative criteria
   d. Technical coherence between criteria, information and judgements
   e. Cost-benefit, cost-effectiveness of study
   f. Adequacy of time
   g. Validity and reliability of collected information

  h. Stakeholder participation in the process

 2. Obtaining right and good findings

  a. Coherence between findings, interpretations, judgements, recommendations

  b. Relevance, reliability, sufficiency, representativeness, timeliness - of findings, data and evidence

  c. Good interpretations – correct, sufficient analysis

  d. Good judgements

  e. Good recommendations – based on previous findings, interpretations and judgements; should be realistic, adequate and relevant

 3. Assessing evaluation process

  a. Role of evaluation in public policy

  b. Assessment of evaluation function – its integration in public policies, organisations and institutions

  c. Usefulness of evaluation for improvement, accountability and enlightenment of policies.

In this classification, while quality of evaluation reports should come under first set of criteria, it is not spelled out separately. This is the first, and at times, the easiest way to evaluate evaluations.

2.7 Paucity of literature

As can be seen in this literature review, while literature about the concepts of M&E systems and capacities, and diagnosis of the two, exists internationally, and the field is well developed, literature from India on these themes is not available. The little documentation of history of M&E in India, from the perspective of the Planning Commission has been done by two bureaucrats who served in the system (Mehrotra, 2013) and (Chandrasekar, 2015), but beyond this no published academic literature is available in the public domain. Some information can be gleaned from various annual reports and few documents published by Planning Commission, from Press Information Bureau's releases, news articles and some state-reports. It is important to look at all of these closely to historically assess what has happened in India in the last 70 years. Similarly, no literature is available about the status of M&E systems or offices at

sub-national levels, i.e., Ministries or States, in public domain. Few old reports from PEO have been recently re-discovered and will be analysed in this research.

At the same time, if we look at the situation in global south, in past decade, a lot of literature has been created by Voluntary Organisations of Professional Evaluators (VOPEs) or by various organisations working towards building national capacities, including UN agencies.

This lack of literature points at the limited research being done in India around M&E of Government programs over the past many decades, while we have been regularly innovating and reinventing ideas.

Chapter 3
Methodology

In available literature, the major gaps observed are paucity of literature about evaluation systems in India and meta-evaluations. Globally, to meet the Sustainable Development Goals, countries are gearing up their programs and the way the programs are monitored and evaluated. There is a consorted effort towards building national evaluation capacities across the developing world, including in South Asia. Not only do many countries have a national evaluation policy, and thriving voluntary organisations of professional evaluators (VOPEs), many also have some assessment reports of the national evaluation capacities, prepared in the past decade in light of the SDGs. Today, when there is a global push for evaluations, information about Indian evaluation agencies, their functions, spread, latest studies being conducted and published, etc. is not easily accessible.

India being such a large and diverse country with variety of administrative setups makes it important to take a disaggregated view of the Indian government, which is both multi-layered and pluricentric (Gupta, 2012). Policies get converted to programs and projects are implemented at the lower levels of decentralised governance, making it important to ensure quality monitoring and evaluation at the decentralised Panchayati raj institutions. To meet this need though, capacity development in monitoring and evaluation at all levels is the first step but no literature exists in public domain about the existing capacities at various levels of government in India. These gaps in literature and our understanding limit our capacity to start a dialogue towards improving monitoring and evaluation systems in India. The broad research objectives for this study are defined by these gaps.

3.1 Research Objectives

The primary research objective is to collect evidence about capacity and quality of monitoring and evaluation systems in India, so as to start a dialogue towards improving them. Towards this goal, the objectives of this research can be stated as follows:

1. To describe the monitoring and evaluation systems in India
2. To evaluate the quality of monitoring and evaluation outputs in India
3. To prescribe a framework for decentralised, participatory monitoring and evaluation
4. To propose ways to bring about this change, including capacity development

3.1.1 Research strategy

Since the research objectives are descriptive. Prescriptive and evaluative, both qualitative and quantitative approaches will be employed and thus this research proposes a mixed method strategy. As the initial work is exploratory in nature, any deductions about the reality of evaluation culture, capacity, etc. will be based on collected data and hence, this study has an inductive logic to it. This implies that the epistemological orientation is interpretivism for understanding the nature of reality. As this is continuously affected by the individuals involved and needs to be understood in context of their actions, the ontological position is constructionism, also in line with the qualitative strategy. Having said this, it is understood that the understanding of these philosophical positions is weak and at times it will be influenced by various factors, so a pragmatic position, of utilising whichever methods are best suited for the specific research question and tasks will be adopted.

3.2 Research Questions

Based on the research gaps observed and the broad research objectives, the following research questions have been formulated:

1. How have M&E systems changed in the past 70 years?
2. What is the status of development M&E systems 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?
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?

7. What should be the plan for building capacity for district-level Monitoring and Evaluation in Maharashtra?

Detailing of these research questions and the tasks associated with them along with the progress/ future proposed timeline is already provided in section1.1, in Table 1.1.

3.2.1 Importance of research questions

These research objectives were fuelled from review of literature, which highlighted paucity of literature in Indian context on these aspects. A need was also felt from previous experience and from interaction with various development professionals in government administration, politicians, academicians and consultants in development agencies who highlighted the lack of easily accessible and customised information and training materials.

During discussions with stakeholders in development agencies, each of them agreed to the importance of these issues. Everyone is interested in understanding what is happening in the government systems, gauging existing capacity and culture for evaluation and then working on capacity development. Development Monitoring Evaluation Office, NITI Aayog (DMEO) is mandated with leading the M&E systems in India while Ministry of Statistics and Program Implementation (MoSPI) is involved in data/ statistics generation. DMEO's current agenda is to engage with various agencies within India involved in M&E in light of the competitive and cooperative federalism being promoted by NITI Aayog. The current efforts are being made in the framework shown in Figure 3.1. For this, they first need database of all the agencies and their capacities, before bringing them together for cross-learning and improvement.

Similarly, Abdul Latif Jameel Poverty Action Lab, South Asia (J-PAL-SA) at Institute of Financial Management and Research (IFMR), which hosts the CLEAR (Centre for Learning on Evaluation and Research) South Asia Regional Centre is tasked to work upon M&E capacity development in South Asia[8]. UNICEF also has M&E officers in every state and at central level and one of their tasks is to assist the state and central governments to build their M&E capacities. National M&E policy, capacity building also have been long-pending issues being raised periodically by the Voluntary Organisations for Professional Evaluation such as Evaluation

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[8] https://www.clearsouthasia.org/about/capacity-development-and-leadership/#

Community of India, Community of Evaluators South Asia and (earlier) Development Evaluation Society of India for the past decade.
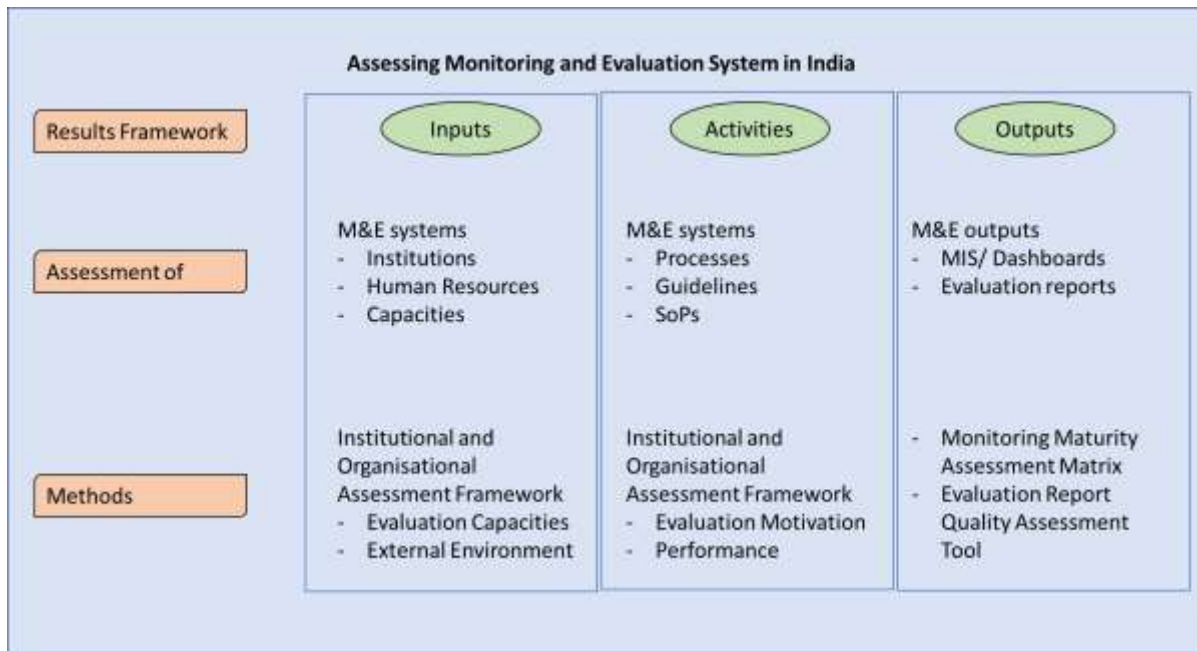
Figure 3.1: M&E system assessment framework proposed at DMEO

While everyone has been talking about this, till date, no one had disaggregated the Government of India into Ministries/ Departments and States/ Union Territories and looked at their M&E capacities and planned for improving them, in light of SDGs, it is imperative that we look at localised capacities. Thus, the research questions are vetted on three criteria – gaps in literature, interest of stakeholders, zeitgeist (linked to SDG achievement).

3.2.2 Scope

Open-ended research questions, as proposed above, have the potential to expand in scope such that the study spirals out of control. Thus, setting scope is important to limit the time and resources taken, to dive deeper into specifics and to set output quality/ targets. For this research, scope is defined for each objective separately, as efforts and data required for each is different.

As Development Monitoring and Evaluation Office, NITI Aayog has shown interest in this research agenda and has offered collaborative support in accessing data, the scoping has been done keeping in mind their interests and my capacity, with a timeline of next 2-3 years.

For historical understanding of M&E systems in India, the study is being done at a national level, i.e., DMEO and its predecessor organisations. This is not for any specific Ministry/ Department or State/ Union Territory, though interesting insights from anecdotes will be added. For status assessment, a sample out of the 70 Ministries/ Departments under the OOMF framework and the 37 States/ UTs will be selected as described in section 4.5.3.

For assessing the quality of outputs of Monitoring systems and Evaluation studies, three sectors have been shortlisted in discussion with stakeholders, based on mutual interest and availability of data – WASH, Health& Nutrition and Rural Development. Agencies at national level (Ministries/ Departments), state level (1-2 sampled states) and multinational levels (UN agencies working in the sector) will be considered for this. Active Monitoring Information Systems and publicly available Evaluation reports published in the past decade will be used. Older reports may be used for comparison.

For the prescriptive question of improving M&E systems, proposed output is a draft of National Monitoring and Evaluation Policy, to be prepared for consultations led by DMEO. This will be followed up with guidelines necessary for implementing the policy. Apart from this, under the aegis of Unnat Maharashtra Abhiyan (UMA) being led by CTARA, Maharashtra-level capacity building plan will be developed for training of regional institutes for conducting evaluations and improving capacity of District Planning Committees to commission and utilise evaluation studies.

Chapter 4
Developing Status Assessment Framework

"We investigate the past, not to deduce practical political lessons, but to find out what really happened."

- Thomas Frederick Tout[9]

This Chapter addresses the first objective of this research, which is to describe the M&E systems in India. This objective is divided into two parts – understanding what happened in the past and understanding what is happening now, which have been presented as RQ 1 and 2. This chapter describes the progress and the plan towards meeting Objective 1. The work done towards this objective in past one year includes looking at old documents, and getting insights from old-staff in Programme Evaluation Office, some of whom are currently staff at Development Monitoring and Evaluation Office, to understand the changes, programs, trainings, staffing patterns at PEO/DMEO over the years.

A framework was developed for assessing existing M&E systems, with a focus on institutional and organisational systems in Ministries and States. This framework was discussed with officials at DMEO and experts in the sector and is now ready for piloting and data collection. Necessary primary data for starting this data collection is being collected currently, some has been available from websites of respective Ministries and State planning units or evaluation offices, and some data is being gathered in collaboration with DMEO by sending short surveys to Ministries and States. Response so far has provided expected data, but response rate is slow.

4.1 Need of Status Assessment

In the initial literature review reproduced in Section 2.2, major changes in Central M&E system are documented from available literature. It established gaps in documented literature

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[9] Chapters in the Administrative History of Medieval England Volume I, 1920, pp 7

about what happened and why. Compared to international changes and attempts to improve M&E systems, it was counterintuitive to see that in India a good functional M&E system from 1950's was made dysfunctional by the turn of the century, which saw some revival in the first decade and then sudden replacement in the second. Understanding changes from year to year between the four periods described in section 2.2.1 becomes important to speculate about the reasons behind these changes. How did political apathy, or lack of good manpower, or international pressure, etc. contribute to the changes? Can we identify the role of any individual actors? How was the relation between States and Centre and between Planning Commission and Ministries? Some insights into these will come from looking at historical documents and interaction with old staff, evaluators, etc.

During interaction with officers at DMEO, at Maharashtra Planning Department and with evaluators, everyone felt that States need capacity development to improve their evaluation function, but no one had a list of all the State Evaluation Offices. Primary searches on internet, through planning department websites of states showed a wide variety of setups across states, ranging from independent evaluation authorities, to evaluation departments or directorates, to divisions within planning department or division under economics and statistics directorates, to a small cell/ unit to no online traces of evaluation functions. No one has an idea of what is happening at each of these offices, there is no published literature on the subject, except for a 1994 report by PEO, which is not available on Planning Commission Website[10]. This lack of updated, concise and collated information about the State level M&E offices fuelled the second research question. This understanding is needed to plan future interventions to strengthen M&E capacities in States. In interaction at NITI Aayog, it was proposed that Ministries/ Departments at central level and Union Territories should also be assessed, and were added to the scope.

4.2 Historical changes in PEO, DMEO

As established in the initial literature review Section 2.7, there is very less literature available in public domain today which allows us to trace the changes in the national evaluation

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[10] http://164.100.161.239/reports/peoreport/cmpdmpeo/index.php , refer report number 5, Evaluation Capacities in the States/UTs 1994, which is not available online. Copy has been recently obtained from collection of a staff member at DMEO.

function, capacity and institutions. Only a handful of reports/ articles have been written. But at the same time, an unexplored wealth of data in the form of annual reports of the Planning Commission and NITI Aayog allow us to trace some of the historical changes described in section2.2.1. This historical analysis based on Annual Reports is presented in this section.

Every annual report of Planning commission had a separate chapter on Program Evaluation Office and even the first annual report of NITI Aayog, in 2014-15, had a separate chapter on PEO. But starting from 2015-16, after PEO was replaced by DMEO, which albeit being an attached office, has been relegated to a section in sectoral chapter. Interestingly, with the increased activity in DMEO in the past year, it again gets the weightage it deserves in the annual report of NITI Aayog for 2018-19.

The archived website of Planning Commission[11] had annual reports uploaded on it. Of these, Annual Reports (AR) of Planning Commission for 38 out of 44 years between 1971 to 2014 were available on the website and were downloaded. The following table gives a brief summary of the available annual reports of the Planning Commission. The unavailable reports will be searched in the NITI Aayog library once, though the chances of finding these old documents which are absent from scanned records, is poor. The available reports have been analysed in this section to see how the importance of PEO has changed over the years.

Table 4.1: Availability of Annual Reports of Planning Commission

AR #	Year	AR on the website	Format of AR	Remarks
1-10	1950-60	No reports		
11-20	1960-70	No reports		
21	1970-71	No		
22	1971-72	Yes	scanned pdf	typewritten
23	1972-73	Yes	scanned pdf	
24	1973-74	No		
25	1974-75	No		Emergency years?
26	1975-76	No		Emergency years?
27	1976-77	No		Emergency years?
28	1977-78	Yes	scanned pdf	
29	1978-79	No		
30	1979-80	Yes	scanned pdf	
31	1980-81	Yes	scanned pdf	
32	1981-82	Yes	scanned pdf	
33	1982-83	Yes	scanned pdf	

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[11] http://planningcommission.gov.in/or http://164.100.161.239/index_oldpc.php

34	1983-84	Yes	scanned pdf	
35	1984-85	Yes	scanned pdf	
36	1985-86	Yes	scanned pdf	
37	1986-87	Yes	scanned pdf	
38	1987-88	Yes	scanned pdf	first computer printed, coloured cover page AR
39	1988-89	Yes	scanned pdf	
40	1989-90	Yes	scanned pdf	
41	1990-91	Yes	html page	incomplete
42	1991-92	Yes	scanned pdf	
43	1992-93	Yes	scanned pdf	
44	1993-94	Yes	scanned pdf	
45	1994-95	Yes	scanned pdf	
46	1995-96	Yes	html page	incomplete
47	1996-97	Yes	html page	incomplete
48	1997-98	Yes	html page	incomplete
49	1998-99	Yes	html page	incomplete
50	1999-00	Yes	chapter wise html pages	
51	2000-01	Yes	chapter wise pdfs	
52	2001-02	Yes	pdf	
53	2002-03	Yes	pdf	
54	2003-04	Yes	pdf	
55	2004-05	Yes	pdf	
56	2005-06	Yes	pdf	
57	2006-07	Yes	pdf	
58	2007-08	Yes	pdf	
59	2008-09	Yes	pdf	
60	2009-10	Yes	pdf	
61	2010-11	Yes	pdf	
62	2011-12	Yes	pdf	
63	2012-13	Yes	pdf	
64	2013-14	Yes	pdf	
65	2014-15	Yes	pdf	First NITI Aayog AR
66	2015-16	Yes	pdf	
67	2016-17	Yes	pdf	
68	2017-18	Yes	pdf	
69	2018-19	Yes	pdf	

Note: First column of AR number is coded according to four historical periods in section 2.2.1.

After going through annual reports, it was observed that the basic sections on about PEO, functions of PEO, etc. remain the same for years and then suddenly get updated some year. For every year, information about the number of studies done, trainings taken, workshops held, etc. is available. For some years, information on committees, important reports, etc. is provided.

The following Table 4.2 summarises this information to give an overview of Programme Evaluation Office at Planning Commission. Once this documentation exercise is completed, some threads will be further explored to get access to specific reports. Some primary observations from the table are:

1. PEO regularly engaged with State Evaluation Offices (SEOs)
2. One primary role of PEO was to train Indian Economics Services officials in evaluation methods and tools
3. PEO regularly trained senior level officers and junior level staff at SEOs, CPEO and REOs.
4. Quick evaluation studies were conducted in the past too.
5. In every decade, there has been an attempt to strengthen evaluation systems at central and state levels.
6. Evaluation advisory committee and technical committees for specific studies existed in the past.
7. In the 3rd and 4th plan period, a scheme for strengthening evaluation in states was put in place. Later, in the early 70s, a committee was established for similar purpose. Later, in 1994, a status report on status of evaluation in states was prepared. Again, under the Ninth Five-year Plan in the early 2000's it was noted that evaluation needs to be strengthened. A program/ Scheme on these lines was again 2006-07. 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.

Table 4.2: Summary of annual reports of PEO

Year	Prominence of PEO		Number of reports			Trainings/ workshops			Other comments
	Chapter #	# pages	Completed	In progress	Initiated	Workshop	Training	IES officers	
1971-72	Sec. 29		9		4		1 of SEOs		Scheme Setting up & strengthening of evaluation machinery in States
1972-73	Sec. 26		4		2		1 of SEOs		Task force on Evaluation - Reorganise & strengthen evaluation machineries in States/UTs & CPEO
1977-78	Sec. 5		4	5	3	conf. of heads of SEOs for closer coordination			3 committees 1. Review committee to examine existing evaluation mechanism in states 2. Committee for strengthening evaluation machinery combined report of 1&2 in April 1980 3. Committee for training for evaluation report submitted in Oct 1979
1979-80	6	4	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	4	4	8	4	7		Sr level officers in CPEO and SEO supervisory staff - 2 trainings		Objectives of computer division - 1. Computational & data processing for PC 2. Computational & data processing for Govt. depts. & research institutions 3. MIS development 4. Trainings of PC personnel 5. Sixth plan analysis - I/O models 6. Data processing of PEO surveys
1981-82	3	3	7	9		3	2		Types of evaluation studies - 1. Quick evaluation of ongoing programs for feedback 2. Joint evaluation studies by CPEO and SEOs 3. Evaluation of externally aided projects Strengthening Evaluation Machinery report - examined by committee of advisors of PC and they

Year	Prominence of PEO		Number of reports			Trainings/ workshops			Other comments
	Chapter #	# pages	Completed	In progress	Initiated	Workshop	Training	IES officers	
									recommended that PEO should evaluate beneficiary oriented programs in rural and urban
1982-83	4	3	8	10		2		52	SEM - recommendations under consideration
1983-84	4	3	7	5		3	1	30 IES by DoP&AR 2 Indonesian govt by FAO	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	6	4	5	2	1	3 evaluation methodology and technique	32 IES - short term training + OTJ orientation 3 trainees of Central Statistical organisation	Technical Advisory committee for each evaluation mention of SEM gone
1985-86	4	4	3	4			3	26	Ministries supported to set up M&E for IRDP PEO officials go to international events
1986-87	4	3	3	2	4		1	12 deputed by Dept of Econ. Affairs 2 from Stats & survey div of 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
1987-88	5	3	2	3	2	Conf July 1987 - PEO, SEO heads	Junior Certificate in Statistics with Central Statistics Organisation	2 batch IES, 2 Afghanis as UN fellows	Conference discussed on a) role of Special research institutions b) nature of collaboration between EO, central statistical organisation, State Directorates of Economics & statistics in designing evaluation studies c) deficiencies in functioning and remedial measures for CPEO and SEO This report attaches list of grant in aid provided to institutions for conducting research and evaluation

Year	Prominence of PEO		Number of reports			Trainings/ workshops			Other comments
	Chapter #	# pages	Com-pleted	In pro-gress	Initiated	Workshop	Training	IES officers	
									studies. It is clear that this is a regular phenomenon. So agencies other than EOs are involved in evalua-tions for PC and must have generated hundreds of such reports
1988-89	5	3	3	5	1, 1 quick evalua-tion study		Junior Cer-tificate in Statistics with Central Statistics Or-ganisation	2 batch	evaluation advisor post is vacant, unfortunately page 92-93 missing from report from PEO chapter
1989-90	5	2	3	7	1, 1				no details of trainings, workshops, adviser post is still vacant
1990-91	5	3	4	3	4	2 seminars related to on-going studies	1		Adviser is Dr B W Sahay The main function of the PEO is to undertake evalua-tion studies which encompass: (i) an assessment of the achievements of Plan Programmes against the stated objectives and targets; (ii) measurement of the impact on beneficiaries; (iii) impact on the socio-economic structure of the com-munity; (iv) the process and adequacy of the delivery mechanism, etc. In addition, the PEO has also been providing technical advice and guidance to the State Evaluation Organisations and imparting training to the evaluation personnel.
1991-92	5	3	4	3	4	2-day meet-ing of REOs for QS Joint evalua-tion related 2-day meet-ing in TN			Perspective plan for evaluation studies - areas identi-fied in line with thrust area of Eighth Five Year Plan Meetings with SEO heads of Karnataka, Rajasthan, Orissa and Uttar Pradesh - discussion on trainings and design of studies Discussion with Institute of Economic Growth and Society for Development Studies for qualitative strengthening of EOs
1992-93	4	2	4	4		3-day meet-ing on			Association with SEO and other research and aca-demic institutions for taking up studies of regional and local importance

Year	Prominence of PEO		Number of reports			Trainings/ workshops			Other comments
	Chapter #	# pages	Com-pleted	In pro-gress	Initiated	Workshop	Training	IES officers	
						planned studies			Two Papers, one each on: (1) Evaluation in the Plan-ning Process, Country Overview: India and (2) Use of Performance Evaluation as a Management Tool, were presented Performance Evaluation in Asia, Regional Seminar, Kuala Lampur.
1993-94	4	3	3	6		2-day meet-ings with REOs for 3 studies			Documentation bulletin with material from SEOs
1994-95	4	3	5	3		3-day meet-ing on planned study			A Documentation Bulletin on "Evaluation Studies conducted by States/ Union Territories Governments (1985-86 to 1991-92) and Evaluation Studies con-ducted by the P130 (1952-1995)" has been compiled. Another bulletin has been finalised on "Evaluation Capacities in States/ UTs" has been prepared. Evaluation Advisory Committee in respect of PEO evaluation studies constituted for the 'first time' in March 1994
1999-00	5	6	4	6	1				
2000-01	6	10	4	6					

Note: Analysis of Annual reports from 2000 to 2019 is yet to be completed.

4.3 Organisational Assessment Framework

The literature on M&E systems assessment or M&E capacity assessment deals with either system level parameters or focuses upon capacity framework, missing out on some criteria which can be observed at the institute level. As M&E systems are larger and pervasive in the government across departments (Planning, Finance, individual departments, M&E office, etc.), and the current focus is to understand the capacities in specific M&E offices, it is more important to approach from an organisational assessment framework.

During study of such frameworks, the IDRC-developed Institutional and Organisational Assessment framework described in Section 2.5.2, was found to encompass systemic factors (as environmental factors) and capacity factors within the same framework, along with organisation-level factors, such as motivation, culture (including processes) and performance. Thus, this framework was chosen for this study with a synthesis of three approaches of M&E system diagnosis, evaluation capacity assessment and organisational assessment is made.

4.3.1 Components of M&E offices' status assessment framework

The four broad areas of IDRC framework have been kept same as in Figure 2.3, but elements in them are adapted with inputs from evaluation culture, capacity and systems literature, and for local context of sub-national government systems to form a synthesis framework for organisational assessment. The four areas are divided into components as given below:

A. Enabling Environment

Enabling Environment is made up of administrative, technological, political, economic, socio-cultural and stakeholder factors outside the organisation which influence its structure, performance and existence. Since we are dealing with government evaluation organisations, which operate within the government system, following aspects become pertinent:

1. History of the Ministry/ State
2. Evaluation Function
3. Evaluation Policy

4. Evaluation buy-in by leaders – Ministry-level, state-level committees
5. Staffing pattern
6. Budgetary allocation/ schemes to support the office
7. Departmental hierarchy of the office (under which ministry, department)
8. Dissemination/ Utilisation plan (for evaluation reports)

B. Organisational Motivation

Four primary concepts provide insight into the underlying personality of most organizations, which are, history, mission, culture and processes. Based on these

1. History – formation of organisation, notable changes in structure, awards, achievements, failures
2. Motivation of organisation
    a. Mandate
    b. Vision, Mission, objectives, functions defined for the organisation
    c. Review meetings
3. Organisational culture – attitude, assumptions, staff-loyalty, gender participation
4. Incentive system – awards for performing staff, disincentives
5. Processes – mode of studies, process related documentation and adherence
6. Infrastructure – office space, etc.
7. Ethical considerations
8. Transparency – RTI based

C. Evaluation Capacity

The framework for viewing organizational capacity entails eight interrelated areas that underlie an organization's performance. These are strategic leadership, organizational structure, human resources, financial management, infrastructure, program and services management, process management, and inter-organizational linkages. Based on expert feedback, some of these have been dropped, as they either do not apply to a funded government institute or are better placed in another area. At the same time, if we look at evaluation capacity literature, we find a very strong capacity measurement framework, prepared by USAID funded MEASURE Evaluation (MEASURE Evaluation PIMA, 2017). The relevant elements from this framework have been taken, again dropping any related to financials. Process related are considered in organisational motivation. After deliberations, following 11 criteria are currently placed here:

1. Human Capacity for M&E – posts, filled, training
2. Leadership
3. Governance
4. Partnerships
5. Organisational Planning
6. Costed Planning
7. Advocacy and communication
8. Routine Monitoring
9. Research studies
10. Audits

D. Organisational Performance

Performance is measured along four elements: effectiveness, efficiency, relevance and financial viability.

1. Effectiveness – number of studies, reports, databases, MIS,
2. Efficiency – financials – expenses per study, timeliness of deliveries, Quality Control measures
3. Financial performance – Budget Estimate, Revised Estimate, Actual Expenditure of past few years
4. Relevance – demand of ministry/ state v/s work done, satisfaction of key stakeholders, suggested changes and ATRs
5. Impact

While defining individual elements under these components, two dimensions – status (presence/ absence) and quality are addressed in the M&E offices' status assessment tool.

4.4 Tool finalisation process

Based on the above 4 areas and 31 components, over 120 elements have been identified for data collection. Many of these have graded options, to cover the two dimensions of status and quality. At times, some elements purely dealing with quality are added for further probing.

The current version of the M&E organisation assessment tool is provided in Annexure 1. It also includes an extra initial section/ area to collect primary information about the office.

This is the 4th version of the tool, and it has been improved through feedback from Mr Alok Srivastava, Director of CMS- Social New Delhi, Ms. Sohini Mookherjee, Capacity Building Manager and Ms. Shantal Aragon Carranza, at JPAL-SA, Delhi office, Ms. Maaike Bijker, Evaluation specialist at UNICEF-India, Delhi office and seniors at DMEO, NITI Aayog. Further revisions will be done after piloting.

An important comment received in DMEO was that this lengthy tool may not get enough responses if self-administered and hence it is important to personally administer it. Thus, a shorter version for preliminary information was developed, which is provided in Annexure 2. This tool would obtain basic, existing information about the M&E units in Ministries/Departments and States/ Union Territories and based on this information, desk research of secondary data sources and inputs from practitioners, the M&E offices will be sampled. This tool contained some questions requesting information as should be already publicly available under clause 4 of Right to Information dealing with self-disclosure. At this stage, it was discovered that details of M&E offices or even planning departments/ offices from which this preliminary information could be collected were lacking. So, this tool was to be sent to planning departments to get updated, exact information. But while sending out this tool, it was felt that not all offices will be able to furnish RTI related details of lower offices and hence even these should be separately asked from the M&E offices, once their details are obtained from planning offices. Thus, finally a curtailed version of preliminary information has been sent out.

Before sending this version, a database of Planning secretaries in all States/ UTs was created. For Ministries/ Departments, database of nodal officers appointed to liaise with DMEO was updated. NITI Aayog, which is the office of Ministry of Planning in India, and has a state coordination cell, didn't have an updated list of planning secretaries of all States and UTs.

4.5 Methods

This status assessment study uses two methods. First is desk research by searching for available data in public domain through various websites, reports, RTI related documents, news

articles, etc. The second is collection of primary data from concerned offices through organisational assessment tool.

4.5.1 Primary and secondary data sources

Secondary data sources which have been accessed till now include:

1. Websites of Ministries, Departments, State Planning Departments, Evaluation offices. These websites were searched for keywords of monitoring and evaluation. The organisational structures, contact details of officers were searched to identify name of any unit dealing with evaluation functions. Some reports, tender documents were found dealing with evaluations, which allowed some back-tracing of concerned agencies.

2. Right to Information Self-disclosure documents. Under the Right to Information Act 2005, Chapter 2 on Right to information and obligations of public authorities, has Section 4 of the act which, under Section 4(1) (b) lists the information which should be declared suo-motu by every public authority. Many of the websites searched had RTI self-declaration information, albeit outdated. These pages were also searched to extract any information regarding M&E functions.

Primary data collection will happen in 4 stages due to limitations described in section 4.4. As DMEO lacked a centralised repository of sub-national M&E offices, which historical analysis shows existed till the turn of the century, and as NITI Aayog lacks updated contact details of even planning secretaries in States and financial advisers in Ministries, documenting the entire population became first step.

4.5.2 Stages of data collection

Stage 1: Collection of contact details of Planning Secretaries in States/UTs and Nodal officers in Ministries/ Departments. Old list obtained was updated through web searches, calling up offices in States and follow up with DMEO team members. It was surprising to note that DMEO, with a high turnover of staff that every month interacts with nodal officers in Ministries/ Departments, didn't have contact details of nodal officers in a central repository. Over

Nov-Dec 2019, these contacts were updated. Of 37 State/UTs, contact details of only 27 became available, similarly of approximately 70 nodal officers in M/D, details of only 60 became available. Another attempt will be made in future.

Stage 2: Request of Preliminary Information from Planning Secretaries and Nodal officers about their respective sub-national M&E offices. This is ongoing, of the 27 States contacted, roughly 10 have responded so far. Responses from Ministries are delayed due to budget process.

Stage 3: Shortlisting M&E offices for data collection by stratified, purposive sampling.

Stage 4: Collection of data for the M&E organisation assessment tool. This phase is expected to start after March 2020.

4.5.3 Sampling plan

When scope of data collection was assessed, it was realised that data may need to be collected from over 70 Ministries/ Departments at Central level and 37 States/ Union Territories, a total of over 100 sub-national M&E offices. The tool cannot be self-administered and hence visits and follow-ups will be needed in every office. With the time-resource constraint, it is decided that based on preliminary information, secondary data and inputs from stakeholders, 6-7 Ministries/ Departments and 10 State/UTs will be sampled.

During sampling, attention will be given to perceived strength of M&E offices, variety in administrative setups and access. For Ministries, priority development sectors will be chosen (Rural Development, Drinking Water and Sanitation/WASH, Health and Nutrition,[12]).

4.5.4 Triangulation of data

Data collected through secondary research may be outdated. The data obtained in primary data collection may be incomplete. Thus, it will be necessary to triangulate this data. While comparing the primary and secondary data will be first stage of triangulation, getting inputs from other stakeholders, such as State UNICEF offices, JPAL field offices, development

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[12] Chosen based on overlapping interests of the researcher, research group at CTARA, and DMEO.

partners, accessible retired bureaucrats, etc. will also be important. This will validate the collected data and help in raising and answering a few questions.

While the focus of this assessment study is Sub-national monitoring and evaluation offices, the national M&E office, i.e., DMEO is being assessed through participatory observation method as described in following section.

4.6 Scenario in Ministries and States

This section provides the secondary data collected from government websites as described in section 4.5.1. This data is incomplete and not updated as it comes from websites, where data was available, many of which haven't been updated for a few years to almost a decade.

Table 4.3: State Evaluation Offices information from websites

	State	Name of Agency	Remark	Website	Contact from website	Empanelment or committees	RTI self-declaration
1	Andhra Pradesh	nil	Planning Wing, Finance and planning department There are publications but no evaluations	https://www.ap.gov.in/?page_id=342	Directorate of Economics and Statistics Government of Andhra Pradesh Vasudha Shelters 'A' Block, First Floor, LIC Colony Adda Road - Centre, Gollapudi, Vijayawada Rural Pin code: 521225 N. Yogeswara Sastry, DIRECTOR 0866-2410312 office: dir_econ@ap.gov.in Dir: desnys59@gmail.com	State Evaluation Committee (from business rules)	
2	Arunachal Pradesh	Planning Department	evaluation fleeting mention	http://www.arunachalplan.gov.in/html/docs/1_intro_planning.htm	Secretary Planning, 0360-2212457		no
3	Assam	Evaluation function of Transformation and Development Department	no evaluation studies after 2009, only monitoring of ongoing projects	https://transdev.assam.gov.in/information-services/evaluation-and-monitoring	Matter related to Evaluation & Monitoring and Decentralized Planning division Name: Shri Dilip Sarma, Director Email: dilipsarma49@yahoo.com Phone: 9613890513 Address: Block F, 2nd Floor Janata Bhavan, Dispur	SLE and SLM committees, no mention of empanelment or external evaluations	https://transdev.assam.gov.in/resource/rti-1
4	Bihar	Directorate of Evaluation Bihar, Planning and Development Department		http://planning.bih.nic.in/	Department Of Planning & Development Shri. Manish Kumar Verma Secretary 0612-2217977 0612-2212699 secy-plandev-bih@nic.in	SLEC, empanelment, but website doesn't have any updates since 2013	?
5	Chhattisgarh		no mention anywhere of evaluation function	http://descg.gov.in/	Directorate of Economics and Statistics, Indrawati Bhawan (HOD Building) Ground floor, Block No. 2, Nava Raipur, Atal Nagar, Chhattisgarh,		

	State	Name of Agency	Remark	Website	Contact from website	Empanelment or committees	RTI self-decla-ration
					Pin Code:492002 Comm-Cum-Director 0771-2331317 Additional Director 0771-2331316 Administration 0771-2511507 Fax No. 0771-2422627 Email Id: des.hqcg@gov.in		
6	Goa	Evaluation Division of Directorate of Planning, Statistics and Evaluation	nothing special on website	http://www.goadpse.gov.in/	DIRECTORATE OF PLANNING, STATISTICS & EVALUATION Pandit Deendayal Upadhyay Bhavan Behind Pundalik Devasthan, Pundalik Nagar, Alto-Porvorim, Bardez- Goa. 403521 Phone No: + 91 - 832-2417439,2417445 Fax No. + 91 - 832-2417437,2417443 Email: dir-dpse.goa@nic.in	seems to be doing studies internally, no committees	http://www.goadpse.gov.in/RTI%20%20new%20information.pdf
7	Gujarat	Directorate of Evaluation, General Administration Department (Planning)	strong set up, eval guidelines	https://gujecostat.gujarat.gov.in/director-of-evaluation1	Directorate of Economics and Statistics Sector 18, Gandhinagar, Gujarat- 382009 Ph. No.: 079-23252930 Fax No.: 079-23252980 E- mail: dirdes@gujarat.gov.in	seems to be doing studies internally, has advisory and co-ordination committees	https://gujecostat.gujarat.gov.in/sites/default/files/PAD-01-05-18-Evaluation.pdf
8	Haryana	Plan-evaluation wing, Department of Economics and Statistical Analysis	Evaluation reports available	http://esaharyana.gov.in/en-us/Plan-Evaluation	Dr. Ravindra Singh Malhan, (Director) Department of Economic and Statistical Analysis, Yojana Bhawan, Bays 21-28, Sector-4 Panchkula (Haryana) - 134109. 0172-5117202 (PA to Director) 0172-2560139 (O) 09417153585 (M) Fax 0172-2560137 esa@hry.nic.in	No committee, no empanelment, internal evaluations	http://esaharyana.gov.in/Portals/0/RTI-Act-05-new.pdf
9	Himachal Pradesh	Evaluation division, Planning Department	few evaluation reports	https://hpplanning.nic.in/divisions.htm#6	Joint Director (Planning) Sh. Surender Paul 0177-2620977 surenderpaul@ymail.com	No committee, no empanelment	https://hpplanning.nic.in/RTI%202017-18.pdf

	State	Name of Agency	Remark	Website	Contact from website	Empanelment or committees	RTI self-declaration
10	Jammu & Kashmir	Evaluation Division, Directorate of Economics & Statistics	nothing special on website	http://ecostatjk.nic.in/divisions/divisions.htm	May to Oct SDA Colony, Bemina, Srinagar. Pin code: 190018 91-194-2490092 91-194-2493376(Fax) Nov to Apr Ashok Vihar, Janipur, Jammu. Pin code:180007 91-191-2538907 91-191-2531731(Fax) desjk@yahoo.com	Find out what will be the arrangement now	
11	Jharkhand	nil		http://desjharkhand.nic.in/	Director, Economics & Statistics 0651-2401807 (O), 09903125509 (M) dsejharkhand@gmail.com		http://desjharkhand.nic.in/R.T.I.doc
12	Karnataka	Karnataka Evaluation Authority	very detailed structure, state evaluation policy, empanelment of institutions, studies	http://kea.karnataka.gov.in/	Karnataka Evaluation Authority Room No. 542, II Gate, 5th Floor, M S Building, Dr. Ambedkar Veedhi Bengaluru - 560 001. Phone No: +918022353938/ +918022032561 Fax No: 080 - 22283541 Email Id: Keagok@Karnataka.Gov.In	Multiple committees for each function, empaneled consultants, independent experts,	http://kea.karnataka.gov.in/index6430.html?q=en/rti
13	Kerala	Department of Economics and Statistics	no detailed info on website	http://www.ecostat.kerala.gov.in/index.php/left-directorate http://www.planspace.kerala.gov.in/jsp/index.jsp	Deputy Director Evaluation 0471-2305552 8281118562 ddcoc.des@kerala.gov.in ecostatcc@gmail.com	No committee, no empanelment	?
14	Madhya Pradesh	State survye and job work unit, directorate of economics and Statistics		http://des.mp.gov.in/en-us/	Commissioner, Directorate of Economics and Statistics 0755 - 2551395, 2551321 rs.rathore.des@mp.gov.in	http://des.mp.gov.in/Portals/0/PRASHASNIK-PRATIVE-DAN-2018-2019.pdf	no

	State	Name of Agency	Remark	Website	Contact from website	Empanelment or committees	RTI self-decla-ration
15	Maharashtra	Directorate of Economics & Statistics (DES), Planning Department	Empanelment of institutes for evaluation studies	https://mahades.maharashtra.gov.in/surveyReports.do?repCatId=ES	मूल्यमापन, अर्थ व सांख्यिकी संचालनालय, ७ वा माळा नवीन प्रशासकीय इमारत, मंत्रालयासमोर मुंबई, मुंबई ४०० ०३२. dydired.des@maharashtra.gov.in फोन नं. — ०२२-२२७९७००७	on website, nothing. But empanelment in 2016, new studies done, nothing on committee, training by NABCON in 2010, from RTI 4(1)b(v), b(vi)	https://mahades.maharashtra.gov.in/files/rti/final%2023_01_2018%20RTI%2017_2017.pdf
16	Manipur	nil		https://planningmanipur.gov.in/DPMonitoring.htm	Director planning		no
17	Meghalaya	Program Implementation and Evaluation Department	Website has many evaluation reports from 1970's, tender for EOI from 2014	http://megpied.gov.in/	Commissioner & Secretary, Programme Implementation & Evaluation Deptt. Shri Sampath Kumar, IAS Additional Secretariat Building, Room No. 104, Shillong 793001 Email: sampath97@gmail.com Phone (O) :0364 2500019	State program implementation and monitoring committee, no empanelment	http://megrti.gov.in/handbook.php?dept=37&pa=01&B1=Submit
18	Mizoram						
19	Nagaland	Directorate of Evaluation, Planning and Coordination department	reports from 1973 to 2018	http://evaluation.nagaland.gov.in/	Directorate of Evaluation Below A.G. Office A. G. Road, Kohima-797001 Nagaland. Contact No: 0370-2221745 Email id: direval-ngl@nic.in	steering committee	https://evaluation.nagaland.gov.in/wp-content/uploads/2017/12/RTI-disclosure-2016-17.pdf
20	Odisha	Evaluation, monitoring and innovation cell, Department of	Kalahandi Balangir Koraput evaluation reports	http://pc.odisha.gov.in/DepartmentActivities.asp?lnk=2&Pl=2	Chief Secretary, Planning & Convergence Department Odisha State Secretariat, Sachivalaya Marg, Unit-2, Bhubaneswar, Odisha.	SLEAC, no empanelment, studies outsourced http://pc.odisha.gov.in/Dow	http://rtiodisha.in/pa/REVQVC8xNi8xNTQvMTk=

	State	Name of Agency	Remark	Website	Contact from website	Empanelment or committees	RTI self-decla-ration
		Planning and Convergence			Telephone No: 0674-2536882 Email: dcplg@ori.nic.in	nload/AN-NUAL_ACTIV-ITIES_REPOR T_2017-2018.pdf	
21	Punjab	Department of Planning, Govt of Pun-jab		http://www.pbplan-ning.gov.in/aboutus.html	Smt. Rajwant Kaur Director, Planning 0172-2660344 (O) M-99881-11943 rajwantdirector@gmail.com	State evaluation committee in 1966 http://www.pbpl an-ning.gov.in/pdf/ order1966.pdf	http://www.pbpla nning.gov.in/RTI _Planning.htm
22	Rajasthan	Directorate of Evaluation Or-ganisation Ra-jasthan	over 500 evaluation studies	http://www.plan.raja-sthan.gov.in/evaluation/	Yogesh Chandra Jhalani Director and Jt Secretary, 0141- 2229686, 2850272 gor_evaluation@rediffmail.com	separate service rules, no com-mittee, no em-panelment visible, annual reports available	http://www.plan. raja-sthan.gov.in/con-tent/dam/plannin g-por-tal/DEO/RTI/RT I2005%20_De-partment_.pdf in Hindi
23	Sikkim	Department of Economics, Statistics, Monitoring & Evaluation	state data sharing and accessibility portal	http://www.desme.in/	DESM&E HQ Below Police Head Quar-ter, Church Road Gangtok, Sikkim East Sikkim PIN: 737101		no
24	Tamil Nadu	Directorate of Evaluation and Applied Research TN	No details	https://www.direar.tn.gov.in/	Director, Department of Evaluation and Applied Research (Govt of Tamil Nadu) 3rd Floor, Kuralagam, Chennai 600 108. Direct: 044-25340442 EPABX: 044-25341787 FAX: 044-25351910 EDP: 044-25347109 Email: direar@tn.nic.in-dear72@gmail.com	SEC, advisory board, program evaluation guidelines as good as evalua-tion policy	no, most info in annual report

	State	Name of Agency	Remark	Website	Contact from website	Empanelment or committees	RTI self-decla-ration
25	Telangana	Evaluation Authority of State of Tel-angana (EAST) E&M, TSPDS	Evaluation of flagship programs, no details	www.telangana.gov.in/de-partments/planning	Director Sri G. Grace Saroja gracejoy.ts@gmail.com 9849908812		no
26	Tripura	nil		https://planning.trip-ura.gov.in	Shri Apurba Roy Special Secretary and Director 0381-241-6021 E-mail: planning-tr@gov.in, E-mail: secy.pcd-tr@gov.in,		no
27	Uttarakhand	Monitoring and Evalua-tion division, Directorate of planning	Some re-ports, ToR	http://spc.uk.gov.in/pages/display/73-organisation-struc-ture	State Planning Commission 4th Floor, Vishwakarma Bhawan Uttarakhand Secretariat 4-Subhash Marg, Dehradun Phone: +91- 135-2710627 e-mail: spc-uk@nic.in	External empan-elled agencies,	http://spc.uk.gov.in/pages/dis-play/7-rti
28	Uttar Pra-desh	Evaluation di-vision, State Planning Insti-tute, Planning Department	no mention beyond one function of planning de-partment	http://planning.up.nic.in	Satbir Sirohi, Jt Director Evaluation 2781726, 9450359647		No
29	West Bengal	Evaluation, Monitoring & Manpower Branch, De-partment of Planning and Statistics	Over 91 studies done by 2013, de-tails not available	http://wbplan.gov.in/	Department of Planning & Statistics Government of West Bengal Joint Administrative Building HC-7, Sector - III, Salt Lake, Kolkata 700106 reports.pspm-wb@nic.in Shri Abhinav Chanda, IAS, Secretary Tel: 033-23211827 Fax: 033-23211252 ias2001wb@gmail.com	State Evaluation Committee	No
1	Delhi			http://delhi-planning.nic.in/content/re-ports-evaluation-unit	Shri Sheo Pratap Singh, IAS Secretary Planning Phone: 011-23392220		http://del-higovt.nic.in/rti/default.asp

	State	Name of Agency	Remark	Website	Contact from website	Empanelment or committees	RTI self-declaration
2	Chandigarh	Planning and Evaluation Organisation, Finance Dept,		http://chdpeo.gov.in/	Planning & Evaluation Organization Finance Department, Chandigarh Administration 4th Floor, Deluxe Building UT Sectt. Sector 9 Chandigarh Phone No.: 0172-2740200 Email: poplanning@gmail.com	Evaluaiton committee of plan schemes, no empanelment info	http://chdpeo.gov.in/?q=information-under-section-4b
3	Dadra and Nagar Haveli			http://dnh.nic.in/Departments/PlgStat.aspx	Asst. Director of Planning and Statistics Second Floor, Secretariate Dadra and Nagar Haveli, Silvassa Tel: 0260-2642985 (O) Email-id: ad-plan-dnh@nic.in		
4	Daman and Diu			https://www.daman.nic.in/planning-statistics.aspx	Department of Planning and Statistics, Secretariat, Fort Area, Moti Daman-396220. 0260-22306195 Fax 0260-22317196 dps-daman-dd@nic.in		
5	Andaman and Nicobar			https://www.andaman.gov.in/department	Shri Sanjeev Kumar Mittal, DANICS JAG-I Planning, economics and statistics		
6	Lakshadweep			https://lakshadweep.gov.in/departments/	04896-262274 lak-adps@nic.in		
7	Puducherry			http://py.gov.in/know-puducherry/dept_planningresearch.html	Shri. G. Santhamurthi Director, Planning and Research department Office: +91-413-2248668 Fax: +91-413-2249899 Email: pandr.pon@nic.in		

Similarly, an attempt is made to identify the M&E units within Ministry, shown in following table.

Table 4.4: M&E offices in Ministries and Departments

	Ministry name	AS & FA as per DoE[13]	AS & FA contact details		M&E officer from website	Website link to M&E if any	RTI/other document with M&E
1	Ministry of Agriculture and Farmers' Welfare - Department of Agricultural Research and Education	Sh. Bimbadhar Pradhan, IAS (BH:87), AS & FA, Krishi Bhawan, Delhi	23381363, b.pradhan@nic.in, asfa-agri@gov.in	23382532			
2	Ministry of Agriculture and Farmers' Welfare - Department of Agriculture, Cooperation and Farmers' Welfare	Sh. Bimbadhar Pradhan, IAS (BH:87), AS & FA, Krishi Bhawan, Delhi	23381363, b.pradhan@nic.in, asfa-agri@gov.in	23382532			
3	Ministry of Agriculture and Farmers' Welfare - Department of Animal Husbandry, Dairying	Sh. Bimbadhar Pradhan, IAS (BH:87), AS & FA, Krishi Bhawan, Delhi	23381363, b.pradhan@nic.in, asfa-agri@gov.in	23382532			
4	Ministry of Agriculture and Farmers' Welfare - Department of Fisheries	Sh. Bimbadhar Pradhan, IAS (BH:87), AS & FA, Krishi Bhawan, Delhi	23381363, b.pradhan@nic.in, asfa-agri@gov.in	23382532			
5	Ministry of Ayurveda, Yoga and Naturopathy, Unani, Siddha and Homoeopathy (AYUSH)				Sh. Mahavir Singh Deputy Director Planning & Evaluation Coordination Division s.mahavir@nic.in 24651942		http://ayush.gov.in/sites/default/files/3.Procedure%20followed%20in%20decision%20making%20process.pdf
6	Ministry of Chemicals and Fertilizers - Department of Chemicals and Petrochemicals	Ms. Alka Tiwari, IAS(JH:1988), AS & FA, Shastri Bhawan, Delhi	23382468, famcf@nic.in, tiwari.alka@gov.in	23385767			

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[13] Additional Secretary and Financial Adviser as per Dept of Expenditure website

	Ministry name	AS & FA as per DoE[13]	AS & FA contact details		M&E officer from website	Website link to M&E if any	RTI/other document with M&E
7	Ministry of Chemicals and Fertilizers - Department of Fertilisers	Ms. Alka Tiwari, IAS(JH:1988), AS & FA, Shastri Bhawan, Delhi	23382468, famcf@nic.in, tiwari.alka@gov.in	23385768			
8	Ministry of Chemicals and Fertilizers - Department of Pharmaceuticals	Ms. Alka Tiwari, IAS(JH:1988), AS & FA, Shastri Bhawan, Delhi	23382468, famcf@nic.in, tiwari.alka@gov.in	23385769			
9	Ministry of Civil Aviation	VACANT (Addl. Charge allocated to Sh. Praveen Garg, AS & FA, M/o Environment, Forest & Climate Change), Rajiv Gandhi Bhawan, Delhi	24643246, asfa.moca@nic.in	24697051			
10	Ministry of Coal	Ms. Reena Sinha Puri, IRS (IT:87), JS & FA, Shastri Bhawan, Delhi	23384211, jsfa.moc@nic.in	23387528			
11	Ministry of Commerce and Industry - Department of Commerce	Sh. Shashank Priya, IRS:C&CE (88), AS & FA, R.No.35, Udyog Bhawan, Delhi	23062481, 23062756, asfa_com@nic.in	23062481, 23062101			
12	Ministry of Commerce and Industry - Department of Industrial Policy and Promotion	Sh. Shashank Priya, IRS:C&CE (88), AS & FA, R.No.35, Udyog Bhawan, Delhi	23062481, 23062756, asfa_com@nic.in	23062481, 23062101			
13	Ministry of Communications - Department of Posts	Ms. Anita Praveen, IAS (TN:89), AS & FA, Dak Bhawan, Delhi	23096083, 23036905, asfa@indiapost.gov.in, anitap@nic.in	23096202			
14	Ministry of Communications - Department of Telecommunications	Sh. P. K. Sinha, CGCA - looking after – Member (Finance), Room No.212, Sanchar Bhawan, Ashoka Road, Delhi	23716161, 23711193, memberf-dot@gov.in	23715762			
15	Ministry of Consumer Affairs, Food and Public Distribution - Department of Consumer Affairs						

	Ministry name	AS & FA as per DoE[13]	AS & FA contact details		M&E officer from website	Website link to M&E if any	RTI/other document with M&E
16	Ministry of Consumer Affairs, Food and Public Distribution - Department of Food and Public Distribution	Sh. Dharmendra, IAS (UT:1989), AS & FA, R.No.173, Krishi Bhawan, Delhi	23384418, asfa.fpd@nic.in	23388523			
17	Ministry of Corporate Affairs	Sh. Rajiv Bansal, IAS (NL 88), AS & FA, R.No.208-A, Shastri Bhawan, Delhi	23381704, asfa.png@gov.in	23074226			
18	Ministry of Culture	Sh. Rajesh Kumar Chaturvedi, IAS (MP:87), AS & FA, R.No. 318-C, Shastri Bhawan, Delhi	23388346, asfa-culture@gov.in	23381516			
19	Ministry of Defence (Misc.)	Ms. Gargi Kaul, Secretary (Defence Finance), South Block, Delhi	23016654, 23016629	23016629			
20	Ministry of Development of North Eastern Region						
21	Ministry of Drinking Water and Sanitation	Sh. Sanjeev Kumar, IDAS (86), AS & FA, Krishi Bhawan, Delhi	23389432, sanjeevk@nc.in	23388191	DDG statistics for NLM, Shri Hiranya Borah, (Stat., Hindi & Parl.) hiranya.borah@nic.in 24369832		
22	Ministry of Earth Sciences	Sh. B. Anand, IAS(TN:87), AS & FA, Technology Bhawan, Delhi	26590491, 26963689, 24366774, 24361888, 24669533, fa-dst@gov.in, fa.dbt@nic.in, fa.moes@nic.in				
23	Ministry of Electronics and Information Technology	Ms. Jyoti Arora, IAS (HY:87), AS & FA, R.No. 4069, Electronics Niketan 6, CGO Complex, Lodhi Road, Delhi	24301969, faoffice.deity@nic.in	24364365			

	Ministry name	AS & FA as per DoE[13]	AS & FA contact details		M&E officer from website	Website link to M&E if any	RTI/other document with M&E
24	Ministry of Environment, Forests and Climate Change	Sh. Praveen Garg, IAS (MP:88), AS & FA, Indira Paryavaran Bhawan	24695380, asfa-mef@nic.in, praveen.garg@nic.in	24695385	Mr Yashvir Singh Development Monitoring and Evaluation (DME) Division economic advisor 24695287/ 5625 yashvir@nic.in	http://moef.gov.in/division/establishment-divisions/plan-coordination-pc/introduction/	
25	Ministry of Finance - Department of Economic Affairs	Ms. Meera Swarup, IA&AS (1988), AS & FA, 166-C, North Block, Delhi	23092332, 23072292 (R), meera.swarup@nic.in	23092813			
26	Ministry of Finance - Department of Expenditure	Ms. Meera Swarup, IA&AS (1988), AS & FA, 166-C, North Block, Delhi	23092332, 23072292 (R), meera.swarup@nic.in	23092814			
27	Ministry of Finance - Department of Financial Services	Ms. Meera Swarup, IA&AS (1988), AS & FA, 166-C, North Block, Delhi	23092332, 23072292 (R), meera.swarup@nic.in	23092815			
28	Ministry of Food Processing Industries	VACANT (Addl. Charge allocated to Sh. Praveen Garg, AS & FA, M/o Environment, Forest & Climate Change), Rajiv Gandhi Bhawan, Delhi	24643246, asfa.moca@nic.in	24697051			
29	Ministry of Health and Family Welfare - Department of Health and Family Welfare	Dr. Dharmendra Singh Gangwar, IAS(BH:1988), AS & FA, R.No.244-A, Nirman Bhawan, Delhi	23062579, 23062985, asfa-mhfw@nic.in		Statistics division, public health planning division		https://mohfw.gov.in/sites/default/files/3488255392Note%20on%20RETs.pdf https://mohfw.gov.in/sites/default/files/2670037069Final%20RTI.pdf

	Ministry name	AS & FA as per DoE[13]	AS & FA contact details		M&E officer from website	Website link to M&E if any	RTI/other document with M&E
30	Ministry of Health and Family Welfare - Department of Health Research	Dr. Dharmendra Singh Gangwar, IAS(BH:1988), AS & FA, R.No.244-A, Nirman Bhawan, Delhi	23062579, 23062985, asfa-mhfw@nic.in				https://dhr.gov.in/sites/default/files/Final%20Annual%20Report%2017-18%20%28E%29%20%281%29 0 0.pdf
31	Ministry of Heavy Industries and Public Enterprises - Department of Heavy Industry	Sh. Shashank Priya, IRS:C&CE (88), AS & FA, R.No.35, Udyog Bhawan, Delhi	23062481, 23062756, asfa_com@nic.in	23062481, 23062101			
32	Ministry of Heavy Industries and Public Enterprises - Department of Public Enterprises	Sh. Shashank Priya, IRS:C&CE (88), AS & FA, R.No.35, Udyog Bhawan, Delhi	23062481, 23062756, asfa_com@nic.in	23062481, 23062101			
33	Ministry of Home Affairs : Home	Sh. Bhupendra Singh, IAS(UP:85), SS & FA, North Block, Delhi	23094709, asfah@nic.in	23093002			
34	Ministry of Home Affairs : Police	Sh. Bhupendra Singh, IAS(UP:85), SS & FA, North Block, Delhi	23094709, asfah@nic.in	23093003			
35	Ministry of Housing and Urban Affairs	Sh. Shyam Sunder Dubey, ICAS (1989), JS & FA, R.No.141-C, Nirman Bhawan, Delhi	23062792, jsfa_ud@nic.in	23062899	scheme level M&E, through partners		
36	Ministry of Human Resource Development - Department of Higher Education	Ms. Darshana Momaya Dabral, IP&TA&FS (1990), JS & FA, Shastri Bhawan, Delhi	23382696, jsfa.edu@gov.in	23070668			
37	Ministry of Human Resource Development -	Ms. Darshana Momaya Dabral, IP&TA&FS (1990),	23382696, jsfa.edu@gov.in	23070668			

	Ministry name	AS & FA as per DoE[13]	AS & FA contact details		M&E officer from website	Website link to M&E if any	RTI/other document with M&E
	Department of School Education and Literacy	JS & FA, Shastri Bhawan, Delhi					
38	Ministry of Information and Broadcasting	Sh. Ali Raza Rizvi, IAS (HP: 1988), AS & FA, R.No.549, Shastri Bhawan, Delhi	23383775, asfainb@gov.in	23386915			
39	Ministry of Labour and Employment	Ms. Sibani Swain, IES (86), AS & FA, Shram Shakti Bhawan, Delhi	23711495, sibani@gov.in	23711495			
40	Ministry of Law and Justice	Sh. Rajesh Kumar Chaturvedi, IAS (MP:87), AS & FA, R.No. 318-C, Shastri Bhawan, Delhi	23388346, asfa-culture@gov.in	23381516			
41	Ministry of Micro, Small and Medium Enterprises	Sh. Saraswati Prasad, IAS(AM:85), SS & FA, R.No.294, Udyog Bhawan, Delhi	23062630, ssfa-steel@gov.in	23062630			
42	Ministry of Minority Affairs	Sh. Jagmohan Gupta, IRAS (1987), JS & FA, Shram Shakti Bhawan, Delhi	23710297, jmg@nic.in, fawr-mowr@nic.in	23710297			
43	Ministry of New and Renewable Energy	VACANT (Addl. Charge allocated to Sh. Praveen Garg, AS & FA, M/o Environment, Forest & Climate Change), Rajiv Gandhi Bhawan, Delhi	24643246, asfa.moca@nic.in	24697051			
44	Ministry of Panchayati Raj	Sh. Sanjeev Kumar, IDAS(86), AS & FA, Krishi Bhawan, Delhi	23389432, sanjeevk@nc.in	23388191			
45	Ministry of Personnel, Public Grievances and Pensions						
46	Ministry of Petroleum and Natural Gas	Sh. Rajiv Bansal, IAS (NL 88), AS & FA, R.No.208-A, Shastri Bhawan, Delhi	23381704, asfa.png@gov.in	23074226			

		Ministry name	AS & FA as per DoE[13]	AS & FA contact details		M&E officer from website	Website link to M&E if any	RTI/other document with M&E
	47	Ministry of Planning	Sh. Ali Raza Rizvi, IAS (HP: 1988), AS & FA, R.No.549, Shastri Bhawan, Delhi	23383775, asfainb@gov.in	23386915			
	48	Ministry of Power	VACANT (Addl. Charge allocated to Sh. Shambhu Singh, SS & FA, M/o Road Transport & Highways), R.No.405, Shram Shakti Bhawan	23714009 (O), asfapower@gov.in	23714009			
	49	Ministry of Railways	Sh. Vijay Kumar, AM (budget) looking after - Financial Commissioner, Room No.232, Rail Bhawan, Delhi	23382754, 23382068, fc@rb.railnet.gov.in	23385095, 23381186			
	50	Ministry of Road Transport and Highways	Sh. Shambhu Singh, IAS (MN:86), SS & FA, R No.408, Transport Bhawan, Delhi	23736455, asfamost@nic.in	23715195, 23371845			
	51	Ministry of Rural Development - Department of Land Resources	Sh. Sanjeev Kumar, IDAS (86), AS & FA, Krishi Bhawan, Delhi	23389432, sanjeevk@nc.in	23388191			
	52	Ministry of Rural Development - Department of Rural Development	Dr. Seema Gaur, Chief Economic Advisor, seema.gaur@nic.in, +91 11 23073776,23385873 (Off.)	Director Monitoring and CEA		Smt Ratna Anjan Jena ADG (Stats.) (Monitoring division) 23381272 rajena@nic.in	https://rural.nic.in/departments/departments-of-mrd/department-rural-development/monitoring-evaluation	https://rural.nic.in/sites/default/files/09Mon%26Eva%28F%29.pdf
	53	Ministry of Science and Technology - Department of Biotechnology	Sh. B. Anand, IAS(TN:87), AS & FA, Technology Bhawan,Delhi	26590491, 26963689, 24366774, 24361888, 24669533, fa-dst@gov.in, fa.dbt@nic.in, fa.moes@nic.in				

	Ministry name	AS & FA as per DoE[13]	AS & FA contact details		M&E officer from website	Website link to M&E if any	RTI/other document with M&E
54	Ministry of Science and Technology - Department of Science and Technology	Sh. B. Anand, IAS(TN:87), AS & FA, Technology Bhawan,Delhi	26590491, 26963689, 24366774, 24361888, 24669533, fa-dst@gov.in, fa.dbt@nic.in, fa.moes@nic.in				
55	Ministry of Science and Technology - Department of Scientific and Industrial Research						
56	Ministry of Shipping	Sh. Shambhu Singh, IAS (MN:86), SS & FA, R No.408, Transport Bhawan, Delhi	23736455, asfa-most@nic.in	23715195, 23371845			
57	Ministry of Skill Development and Entrepreneurship	Ms. Sibani Swain, IES (86), AS & FA, Shram Shakti Bhawan, Delhi	23711495, sibani@gov.in	23711495			
58	Ministry of Social Justice and Empowerment - Department of Empowerment of Persons with Disabilities	Sh. Sanjay Pandey, ICAS (94), JS & FA, Shastri Bhawan, Delhi	23387924, s_pandey@gov.in	23073598, 23384918			
59	Ministry of Social Justice and Empowerment - Department of Social Justice and Empowerment	Sh. Sanjay Pandey, ICAS (94), JS & FA, Shastri Bhawan, Delhi	23387924, s_pandey@gov.in	23073598, 23384918			
60	Ministry of Statistics and Programme Implementation	Sh. Ali Raza Rizvi, IAS (HP: 1988), AS & FA, R.No.549, Shastri Bhawan, Delhi	23383775, asfainb@gov.in	23386915			
61	Ministry of Steel	Sh. Saraswati Prasad, IAS(AM:85), SS & FA, R.No.294, Udyog Bhawan, Delhi	23062630, ssfa-steel@gov.in	23062630			

		Ministry name	AS & FA as per DoE[13]	AS & FA contact details		M&E officer from website	Website link to M&E if any	RTI/other document with M&E
62		Ministry of Textiles	Sh. Vijoy Kumar Singh, IAS (PB:90), AS & FA, R.No.: 236-B, Udyog Bhawan, Delhi	23010494, vk.singh90@ias.gov.in				
63		Ministry of Tourism	Sh. Rajesh Kumar Chaturvedi, IAS (MP:87), AS & FA, R.No. 318-C, Shastri Bhawan, Delhi	23388346, asfa-culture@gov.in	23381516			
64		Ministry of Tribal Affairs	Ms. Yatinder Prasad, IA&AS (1993), JS & FA, Room No.217-D, Shastri Bhawan, Delhi	23071022				
65		Ministry of Water Resources, River Development and Ganga Rejuvenation	Sh. Jagmohan Gupta, IRAS (1987), JS & FA, Shram Shakti Bhawan, Delhi	23710297, jmg@nic.in, fawr-mowr@nic.in	23710297			
66		Ministry of Women and Child Development	Shri Ali Raza Rizvi Additional Secretary & Financial Advisor asfainb@gov.in +91 11 23383775, 23386915 (Off.)					
67		Ministry of Youth Affairs and Sports	Smt. Kiran Soni Gupta, IAS (RJ:1985), AS & FA, SAI Building, JLN Stadium, Delhi	24366414 (O), kiran-soni.gupta@gov.in	24366414			
68		Department of Space	Sh. Anoop Srivastava, IDAS (KN:1989), JS&FA, D/o Space, Antariksh Bhawan, New BEL Road, Bangalore - 560 231	80-23417009, 080-22172302, ad-dlsecy@isro.gov.in, jsfados@isro.gov.in	080-23418237			
69		M/o External Affairs	Sh. Raj Kumar Goyal, IAS (JK:90), AS & FA, R.No. 144-C, South Block, Delhi	23013261, asfa@mea.gov.in	23013100			

	Ministry name	AS & FA as per DoE[13]	AS & FA contact details		M&E officer from website	Website link to M&E if any	RTI/other document with M&E
70	D/o Scientific & Industrial Research, CSIR	Ms. Sumita Sarkar, IRAS (1987), JS & FA, Anusandhan Bhawan, Delhi	23711595, fa@csir.res.in	23325508			

4.7 Observations at DMEO

To understand how M&E system works in the country, it was important to closely associate with some office and observe their functioning. This opportunity presented itself in May 2019, when the Director General of Development Monitoring and Evaluation Office, NITI Aayog (DMEO), personally contacted me and offered an opportunity to work with DMEO, being impressed with my preliminary literature review (Diwakar, 2018). On further discussions, it was found that my research objectives are of long-term interest to him, but as the entire, understaffed DMEO team is busy with daily, routine work, work on these lines can't progress without someone working on it dedicatedly. Thus, a plan for collaboration was prepared. After discussion between Dr Sekhar Bonu, DG DMEO and Prof. Bakul Rao my guide, it was decided that i should spend some time at DMEO and try to collect data from there.

With this purpose, i spent 3 months to observe the work at DMEO, to access existing documents, to collect relevant data and to provide my inputs wherever sought. This period turned out to be insufficient to take any work to a conclusion. The research related activities done at DMEO are already documented in Chapter 4 and 5 of this report. This section documents the observations made in DMEO.

Type of activities at DMEO

1. Implement outcome budget preparation through Output-Outcome Monitoring Framework annually for every central sector and centrally sponsored scheme.
2. Perform sector reviews for PMO, work with concerned Ministry for gathering data, analyse it and prepare report and presentation. Prime Minister conducts review, mostly for infrastructural sectors, s.a., industries, coal, transport, energy, etc.
3. Project appraisal – comments on project proposals, along with Project Appraisal and Management Division, NITI Aayog to provide design improvements and feedbacks before a project/ scheme is sanctioned.
4. Conducting sectoral or scheme-level evaluations through third parties, as demanded by the Finance Commission.

5. Conducting quick evaluation studies, where a specific component of a scheme is picked up and multiple teams simultaneously go on field to collect data. Typically, such studies are wrapped up in a month or two.

DMEO Team

Of hundred and fifty sanctioned post, only fifty-sixty are currently filled. Within this, contractual employees are more than permanent ones. Due to no recruitment against administrative staff posts, old technical staff and gazetted officers are engaged in administrative work, while young, less experienced young professionals and consultants are engaged in important tasks - heading national sectoral evaluations conducted through external consultants.

These contractual staff see a high turnover, especially the YPs, who work for a year or two (their contracts are limited to 3 years max.), before moving on to either higher education or more lucrative job offers. During February 2019 visit, it was found that the older staff, pulled in from various offices across the country, which were shut down towards the end of 2017, were side-lined. They were not involved in much activity and their discontent was apparent. After the new Director General took over in April 2019, there has been a conscious effort to involve the old staff, but their limited skills, lethargy, relaxed attitude and residual dissatisfaction prevents them from performing effectively. The flagship project at the moment, sectoral evaluations of all CSS, is led by consultants and YPs, with permanent staff being in supportive role. These evaluations are being done by external consulting firms.

Senior Research Officers, Statistical Officers and investigation Officers are busy moving administrative files, while the younger crop, with limited experience of evaluations, tenders, understanding of government procedures, knack of speaking with senior bureaucrats are dealings with senior consultants. What they lack in experience, they more than compensate in energy, efforts and a desire to excel. DMEO is looked at as an unfavourable posting by young IES officers. During my three months, a couple of them got themselves transferred out. When new people were being posted, people were cynic about their joining till they actually did.

Sector reviews, Package evaluations, OOMF are three major activities in which entire team is involved, but surprisingly a team member doesn't always deal with same ministry/sector across these three different tasks, limiting their institutional understanding, cross learning, ministry level interactions and also creates confusion internally (wrong mails/ messages,

expectations) and externally (ministry contacts wrong person for wrong job, assumes person has changed in DMEO if contacted by diff people)

Interaction with NITI Verticals

DMEO is differently structured than other units within NITI, where it regularly interacts with various thematic/ sectoral verticals. DMEO seeks inputs from related verticals while dealing with sectoral reviews and specific evaluation studies. As the hierarchy is not well-defined, and at both ends its generally consultants interacting with each other, the output as good as the combined expertise and sincerity of the two consultants. DMEO seeks inputs in its studies from the vertical and similarly, some verticals also request inputs from DMEO. Project Appraisal activity also happens by PAMD, DMEO and the vertical, where each prepares their report. It is not clear if the three sit together and discuss the project.

Low institutional memory

In the past decade, a lot of changes happened. About a decade ago, there were attempts to strengthen the evaluation system again and then IEO was formed and suddenly DMEO replaced both these agencies. During this period, when NITI also went through major restructuring, a lot of old information seems to be misplaced. Looking up documents from PEO days is difficult as no old administrative staff is present who remembers old filing systems. High turnover of the contractual employees means many projects are started by one team and concluded by another, thus important design level decisions, being undocumented cannot be revisited.

Conduct of meetings

NITI Aayog shares its meeting rooms, which are booked by concerned vertical for its meetings. Thus, the arrangement of meetings, maintenance of facilities, provision of refreshments, etc. is centrally operated and smooth. But, the conduct of the meetings seems unorganised at times. The various stakeholders brought together are unaware of exact purpose of the meeting, homework is incomplete. It ends up like most typical meetings where half the participants have no clue of why they are present. No clear-cut agenda, no dedicated/ pre-planned note taker, minutes are not circulated asap, crispness is missing.

Lack of research approach

While creating any new material, be it toolkit, website, or even OOMF, it seems that the standard research practices are not adhered to. Very few final documents were seen which had a background, approach, and methodology section. It was felt that a lot of work is being done as a continuous fire-fighting job, where the team is always in a hurry/ on a deadline. Each member is involved in a variety of activities, many beyond their expertise, which they have to learn on the job. This continuous pressure to deliver also means that work is many a times started without adequate literature review and doesn't build upon previous work done.

As an example- the current Output Outcome Monitoring Framework documents presented with the budget have a short preface and acknowledgement, but no introduction or approach or process documentation. The same is also missing in public domain, no guidelines, training material, etc. is available from either Finance Ministry or NITI Aayog. When poorly defined indicators are seen in the OOMF document, it is not clear why the choice was made for the specific indicator. The reader is left wondering whether it was some operational constraint like lack of data on a better indicator or lack of efforts and understanding on the part of the indicator developing people. Now, there are attempts to take external consulting services to build these documents. Similar documentation is missing in MIS maturity toolkit. Ownership of documentation/ processes is not reported; individuals can shed accountability behind organisational anonymity.

Processes and continuity in work

While the current institutional memory is low, there seems to be now attempts at building it in future. This is also due to lack of basic internal processes and poor work culture. For example, updating of existing tracking sheets is very poor in the team, the person in charge of a specific activity has to regularly get behind other teammates and force them to update their status. At times, name-calling has to be done on mail threads or WhatsApp groups. Internal monitoring seemed week. Most of the data is stored on Google Drive, and data sharing, access, version controls, etc. seemed haphazard. Team members are aware of this, but only recently attempts have been started to restructure the entire DMEO team into 4 divisions and multiple cross-cutting themes. These are expected to improve a lot of basic issues. Issues like orientation and on-boarding of new member and handover from outgoing members are only recently being

taken up. With people in senior managerial position and senior consultants increasing, it is hoped that these institutional and procedural issues will be smoothened out in near future.

Comments on ongoing sectoral evaluations

For the fifteenth Finance Commission, evaluation of all CS and CSS is being conducted. The time-lines for these are set very ambitiously, under pressure, at 100 days. For a full-scale evaluation of multiple programs under a sector (clubbed together as a package), which might be under different ministries as well, this time-line is very less. These studies have been out-sourced to large firms acting as third-party consultants. These same firms are also involved in conception and implementation (through Technical Support Groups or Project Management Units) in many of these schemes. Thus, calling them third-party is not correct. These studies should have been conducted by dedicated evaluation experts/ firms or academic and research institutes, which are neutral and not dependent on the results of the study for future assignments. A lot of exceptions were taken for these hurried studies. GFR guidelines have been kept aside with due permission. If the premium think-tank of the country, and the heart of good-governance is unable to follow these rules, what would be the capacity of other smaller institutions?

After days of asking help from each other informally, finally a process to document best practices amongst ongoing packages has started, with a comprehensive coverage of all parts, around start of November. Staff members even delayed filling up this sheet, which served dual purpose – tracking of progress and cross-learning.

Team spirit

In the preceding sections, many negative points have been covered. Many basic processes run smoothly as well. Notably, the team spirit is good, people cooperate with each other and the senior officials have good relations with the team. Send-offs, farewells, retirement events, birthdays, festivals, etc. are celebrated together. Anyone can approach senior members and discuss openly with them about problems or suggestions. During my time there, a process for internal assessment was also started and its results were shared and discussed with the team. Based on it, some corrective measures were also started. It is expected that in a few months, DMEO will be functioning more efficiently.

Chapter 5

Assessing Monitoring and Evaluation Outputs

"The principle of feedback is required of all self-governing and goal-seeking systems, whether they are mechanical devices, living organisms, or social groups."

- Dean C Barnlund[14]

In Chapter 4, in the framework for assessing M&E offices, performance is also a thematic area. It includes, among other things, the outputs produced by these offices. Many of these outputs are in public domain and these directly reflect the M&E culture and processes in these offices, as mentioned in section 2.6. Thus, the second objective of this research is defined to evaluate the quality of monitoring and evaluation outputs in India across priority development sectors. At this stage, only preparatory work has been done towards this objective, such as collection of existing assessment tools to develop a complete tool. This chapter details the approach taken to this assessment. This work is done in collaboration with DMEO and thus this is not completely individual work, borrowed, unpublished parts are duly noted in the text.

5.1 Important M&E outputs

If we look at the project management approach, we see that at each stage of a project, monitoring and evaluation are involved in some form. The outputs at each of these stages have been shown in the figure below. Evaluation outputs are generally in form of reports and briefs based on these reports. Monitoring outputs are collected data, generally in form of a Management Information System (MIS), which may be designed based on the use of the collected data. This data can be a centralised monitoring of sanctioned, initiated projects (such as PRAGATI and OCMS, refer to section2.3) or a programme/ project implementation follow up (most MIS of specific schemes, such as OMAS, NREGASoft, etc.) or a sectoral outcome based (Health-MIS) or a dashboard for following up progress (SDG-India Dashboard, OOMF-dashboard for

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[14] Interpersonal communication: survey and studies feedback, 1968

updates on Output-Outcome Monitoring Framework in the budget). All of these, at core, are multi-level data-entry, data-validation and visualisation systems which allow monitoring of progress of indicators of interest (generally to the program implementors).

Figure 5.1: M&E outputs at different stages of a project

So, looking at monitoring outputs, it is important to look at various types of MIS, most of which deal with progress in planning/ sanctioning/ implementing projects under a program. Apart from this, two attempts to measure outcomes are being done through the SDG dashboard and the OOMF dashboard. It will be interesting to pick up a sector and look at all the different monitoring mechanisms and outputs set around it at the national level and check whether we are measuring the important factors and what overlaps and gaps exist in the collected data.

In Indian context, the attempts to monitor programs, and their impact started with Outcome Budget in 2005-06, which improved with the Results Framework Document in 2010-11 and later gave way to Output Outcome Monitoring Framework in 2017-18. A brief description of these three monitoring processes ties to the budget is present in the following sections.

5.1.1 Outcome budget

Outcome Budget (OB) was first introduced in 2005-06, to overcome the lacunae in performance budget which was being prepared every year since 1969 (Department of Expenditure, 2005). In December 2006, Outcome Budget and Performance Budget were merged together in the budget process, requiring the Ministries to link release of funds with progress in achieving

monitorable physical progress and putting in place formal monitoring mechanisms to monitor progress against commitments made in the OB. This combined budget was first presented to the Parliament in 2007-08 (Department of Economic Affairs, 2013). Standard template of Outcome Budget is shown in Table 5.1.

Table 5.1: Template of Outcome Budget Document

Sl. No.	Name of Scheme / Pro- gramme	Objec- tive / Out- come	Plan Outlay 2010-2011 (in Rs. crore)			Quantifiable Deliverables / Physical Outputs	Pro- jected Out- comes	Pro- cesses / Time Lines	Re- marks / Risk Factors
1	2	3	4			5	6	7	8
			4(i)	4(ii)	4(iii)				
			Non-Plan Budget	Plan Budget	Comple- mentary EBR				

Source: (Ministry of Finance, 2010)

5.1.2 Results Framework Documents

The RFD was introduced by the Performance Management Division of the Cabinet Secretariat as part of the Performance Monitoring and Evaluation System (PMES) (Krishnan, 2014) introduced in September 2009, after the President of India, Pratibha Patil, announced to a joint session of Parliament her commitment to create PMES for its national government as a system for monitoring and evaluating the performance of Government Ministries and Departments (Kamensky, 2013). Dr Prajapati Trivedi was made Secretary, PMD and launched the PMES to reduce institutional fragmentation and multiple reporting across the government and established a Results-Framework Management System, with RFDs being its major tool. (Kamensky, 2013). The system addressed three basic questions (MoSPI, 2015):

    a.   What are the basic objectives of the Ministry/Department?

    b.   What actions are proposed to achieve these objectives during the year?

    c.   How would we know at the end of the year the degree of progress made in implementing these actions, i.e. what is the relevant success indicators?

This moved focus from process-oriented to result-oriented management and provided an objective and fair basis for evaluating the department's annual performance (Performance Management Division, 2014).

Under this system, at the start of each financial year, all Ministries/ Departments prepared an RFD comprising the priorities set out by the concerned Ministry, corresponding success indicators and time bound targets to measure progress in achieving these objectives. At the end of year, all Ministries/ Departments would review and prepare a report listing their achievements against the agreed results, which would be tabled before the Cabinet for information. These documents contained six 6 sections, namely (Performance Management Division, 2014):

1. Section 1: Vision, Mission, Objectives and Functions
2. Section 2: Inter se Priorities among Key Objectives, Success indicators and Targets
3. Section 3: Trend Values of the Success Indicators
4. Section 4: Description and Definition of Success Indicators and Proposed Measurement Methodology
5. Section 5: Specific Performance Requirements from other Departments
6. Section 6: Outcome/Impact of Ministry/ Department

The first section gives objectives of the Ministry, the second focuses on success indicators and their targets for each objective and action proposed under it. Results Chain/ Logical Framework Analysis was employed in preparation of activities and indicators. Third section provides trend of indicators through actual values of previous two years, target for current year and projected value for next two years. For each of the success indicators, description, definition and measurement methods are proposed in the fourth section, followed by comments on convergence/ prerequisites from other departments. As the second section also provides weights for each activity/ indicator and each objective, a summation of scores is given in the last section as the impact of the Ministry/ Department (Performance Management Division, 2014).

RFD was an important step towards accountability at highest levels of the government as it was backed by both Secretary of the Ministry/ Department and the Minister, who had to approve it, thus administrative and political heads jointly committed to the objectives and measurable targets, which became binding and non-performance had to be explained. As the targets

were self-defined, any failure to deliver reflected poorly on the leadership, so there always was an attempt to perform well (Krishnan, 2014).

Before the budget, the proposed RFDs, which were to be in line with five-year plan priorities, were reviewed by the Cabinet Secretariat and then independent Ad-hoc Task Force (ATF) formed of retired bureaucrats, academicians, domain experts, etc. These were then approved by a High-Power Committee chaired by Cabinet Secretary, and comprising Finance Secretary, Expenditure Secretary, Secretary (Planning Commission) and Secretary (Performance Management). After this, revised and finalised versions had to be put up on departmental websites by 15th of April every year. This ensured transparency of the objectives and targets of every Department/ Ministry. A half yearly-review and a year-end evaluation of the RFD would be conducted and tabled to the HPC and Cabinet (Performance Management Division, 2014). This well laid-out process, with fixed responsibilities for everyone, ensured that the RFDs were adhered to and used for monitoring the performance of the Ministry/ Department.

In 2013-14, beyond 80 Ministries/ Departments, their roughly 800 Responsibility Centres (autonomous organizations / subordinate offices/ attached offices) also prepared RFDs. 16 of the 35 States and Union Territories were making a similar effort (Kamensky, 2013).

Criteria	Budget	Performance Budget	Outcome Budget	RFD
1. Are the objectives prioritized?	No	No	No	Yes
2. Are the success indicators prioritized?	No	No	No	Yes
3. Are the deviations agreed ex ante?	No	No	No	Yes
4. Is there an independent scrutiny of targets as well as achievements?	No	No	No	Yes
5. Is it linked to performance-related incentives?	No	No	No	Will be

Figure 5.2: Key methodological difference between RFD and previous approaches
Source: (Mehrotra, 2013)

It is not completely clear how RFD and OB were linked, as OB documents for many years are available before and after introduction of RFD. On the other hand, OB finds mention in all budget circulars post RFD introduction, i.e., between 2011-12 to 2020-21 but not in the budget circular of 2009-10. Previous budget circulars or combined OB documents were not

found during online searches. Thus, it is safe to say that RFD and OB were linked, and in later years, RFD was used for preparation of OBs by the Ministries and Departments (Mehrotra, 2011). Also, it is safe to assume that after abolition of PMES based RFD, OOMF succeeded it.

Output-Outcome Monitoring Framework replaced RFD-OB

In its few years, RFD ran into multiple problems, such as low target-setting by ministries and departments to improve their performance; dependence on states for implementation affects performance of ministries, inability to design right outcome indicators, lack of inter-ministerial cooperation, etc (Sharma & Dhoot, 2011) (Sharma A. , 2015) (Mehrotra, 2011).

With change in political equations in the country and in attempt to replace earlier planning systems, the responsibility given to the leaders of the Ministry/ Department was centralised in the budget process as OOMF, which was prepared by DMEO, NITI Aayog in coordination with the Ministries/ Departments. Initially, PRAGATI and e-Samiksha were introduced instead of PMES for frequent reviews of programs and important projects. These two are directly monitored by the Prime Minister and Cabinet Secretariat. But this may just be history repeating itself, a case of cosmetic changes with little fundamental design changes (Mehrotra, 2011).

5.1.3 Output-Outcome Monitoring Framework

Output-Outcome Monitoring Framework (OOMF) was introduced in 2017-18 in addition to the financial outlays of schemes of Ministries and Departments being indicated in the Budget document. The expected outputs and outcomes of the schemes are presented in a consolidated Outcome Budget document, along with the Budget. The financial outlays, outputs and outcomes are presented to the Parliament in measurable terms, bringing-in greater accountability for the agencies involved in the execution of government schemes and projects. Outlay is the amount that is provided for a given scheme or project in the Budget; while output refers to the direct and measurable product of program activities, often expressed in physical terms or units. Outcomes are the collective results or qualitative improvements brought about in the delivery of these services (Department of Expenditure, 2020).

The stated aim of this exercise is "*to nurture an open, accountable, pro-active and purposeful style of governance by transitioning from mere outlays to result-oriented outputs and*

outcomes. This effort will enable Ministries to keep track of the scheme objectives and work towards the development goals set by them." (Department of Expenditure, 2020)

Each Ministry/ Department prepares an output-outcome statement for each scheme/ project allocation in measurable/ quantitative terms on an annual basis. Outcomes are given over the period of the Medium-Term Expenditure Framework of 3 years. Ministries are assisted by the Department of Expenditure and NITI in deciding the deliverables/ outputs/ outcomes for each scheme. Financial Advisers of the concerned Department/ Ministry sign the final output-outcome framework which forms a separate document presented with other budget documents. Department of Expenditure, with DMEO, NITI Aayog consolidates the Demand wise Outcome Budget Framework. The following table shows the standard format of OOMF

Table 5.2: Template of OOMF

FINANCIAL OUTLAY (Rs in Cr)	OUTPUTS 2020-21			OUTCOMES 2020-21		
2020-21	Output	Indicators	Target 2020-21	Outcome	Indicators	Target 2020-21

Source: (Department of Expenditure, 2020)

5.2 Assessing Quality of Monitoring Outputs

To assess quality of monitoring output, basic logic of evaluation can be applied. Following steps are adapted from logical sequence of concepts of evaluation proposed by Shadish (Shadish, 1998):

1. Select criteria of merit, on which MIS/output will be judged,
2. Set performance standards of these criteria
3. Gather data of MIS's performance on the criteria relative to the standards,
4. Integrate the results into a final value judgment.

Criteria for judging MIS can be taken from literature and previous work done at DMEO. Mehrotra proposes a framework for study of programmatic MIS (Mehrotra, 2012b) to assess if these MIS are adequate for monitoring.

5.2.1 MIS Maturity Index

DMEO has built a short MIS maturity index, which focuses on data granularity, updation frequency, technology integration, fiscal-physical linkage and transparency.[15] The paper by Mehrotra (Mehrotra, 2012b)focuses upon 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.

As can be seen, most parameters are common between the two approaches. Beyond combining these two lists, literature on evaluating MIS will be searched to identify more criteria and after contextualising them to India, they will be added to this list. This list will be discussed with experts to identify any other important factors that need to be considered. Work on this is proposed in next year for identified priority sectors in section 3.2.2.

There are roughly 600 Central Sector and Centrally sponsored scheme in OOMF document across 67 Ministries/ Departments totalling a budget of Rs 10 lakh crores. Even if all of these do not have an MIS, schemes with some form of MIS, will go into a few hundreds. As it is not possible to analyse so many MIS, scope will be limited to the priority sectors.

5.2.2 Output-Outcome Monitoring Framework quality assessment

OOMF replaced RFD/ OB in 2017-18 budget. It was said that the OB and RFD process were not good, both in quality of indicators and in their implementation, especially RFD, which was a self-scoring exercise. Still, RFD had a buy-in at highest level in the Ministry, compared to the OOMF or OB and it was verified by external experts. If the OOMF document is to be believed, it sounds as if outcome budgeting has been introduced for the first time in India, while in reality it is an attempt to improve upon existing practice. Also, apart from the small preface and some commentary by standing Committee on Finance, there is no documentation of OOMF development process. A tool named Strategic Outcomes Verification Process (SOVP) was developed by Grant Thorton for DMEO to assist Ministries/ Departments in formulating OOMF (Standing Committee on Finance, 2018). No further details about the methodology followed or guidelines providing definitions, procedures, roles, etc. is available online. This creates a doubt

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[15] https://dmeo.gov.in/sites/default/files/2019-11/Monitoring_Maturity_Assessment.xlsx

about the quality of OOMF and thus it is important to judge whether the quality has truly improved since introduction of OOMF, compared to OB or RFD.

For this, a simple quality assessment protocol is proposed. OOMFs and OB for the priority sectors will be accessed and compared, as OOMF and OB are scheme-wise. This will be done to see if there is any major change between the two and if OOMF has follows scheme defined activities, objectives and goals and addresses them effectively.

An attempt to collate all data for Department of Rural Development was done. Firstly, all the available OBs and OOMFs were downloaded and converted into tables. All Outputs and Outcomes cited were listed scheme-wise. Against each year a mark was placed, if the indicator was present in that year. The comparative tables for each scheme are provided below.

This is the first step in analysis. As a next step, for each of these schemes, guidelines need to be checked to identify which of these indicators are relevant as Output and Outcome indicators as defined in scheme documents. Also, it will be explored how data of these indicators is captured in the scheme-MISs. This analysis will allow to make a definitive comment about whether and how OOMF have improved over OB and will also point any lacunae vis-à-vis scheme guidelines and MIS.

In MoRD, it can be seen that once OB were introduced in in 2008-09 (or before), no changes were made till 2013-14. In 2014-15, the OB indicators were revised and these continued till introduction of OOMF in 2017-18. The OB revision preceded the change of government. As recently OOMF for 2020-21 have become available, the same will also be added to this data and the latest indicators will be used for relevance analysis.

5.2.3 SDG-dashboard indicators assessment

A similar assessment can be done by mapping schemes in priority sectors, to SDGs in the sector and comparing how the indicators under SDG-index developed by NITI Aayog are covered in the scheme MIS. Comparing SDG, OOMF, Twenty-Point Program indicators with each other and with the scheme MIS will show how well-integrated out MIS systems are. As this is a recent idea, it is yet to be worked upon, but is mentioned here for completeness of various assessments planned for monitoring outputs.

Table 5.3: OB and OOMF indicators for Department of Rural Development schemes 2008-2020

	item/year	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20
MGNREGS													
Out-puts	Employment demand	1	1	1	1	1	1						
	persondays generated							1	1	1	1	1	1
	Assets created							1	1	1		1	1
	new works registered											1	1
Out-come	Mandays generated	1	1	1	1	1	1	1	1	1			
	Assets created							1	1	1			1
	wage employment										1	1	1
	livelihood security										1	1	
	convergence									1			
	irrigation potential											1	1
	participation- inclusion (women, SC, ST)											1	1
IAY/ PMAY		IAY									PMAY		
Out-puts	No. of houses	1	1	1	1	1	1	1	1	1	1	1	1
	No. of masons trained										1	1	1
Out-come	No. of houses	1	1	1	1	1	1	1 (diff than O/P)	1 (diff than O/P)	1			
	housing deprivation										1	1	1
	basic amenities through convergence										1	1	1
	Employment generation through construction										1	1	
	indicator of amenities												1
PMGSY		SGSY			SGSY/ NRLM	Aajevika/ NRLM		DAY-NRLM					
Out-puts	No. of habitations con-nected	1	1	1	1	1	1	1	1	1		1	
	Length of new connectivity	1	1	1	1	1	1		1				
	Length of upgradation	1	1	1	1	1	1						
	length of roads							1		1	1	1	1
	NQM inspection												1
	unsatisfactory works												1

	item/year	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20
	maintenance of unsatisfactory works												1
	proportion of addressed complaints MeriSadak App												1
Out-come	To improve market access for agricultural produce	1	1	1	1	1	1	1	1	1			
	improve access to health care & educational facilities	1	1	1	1	1	1	1	1	1			
	To reduce travel time.	1	1	1	1	1	1	1	1	1			
	Increase in number of eligible habitations by all-weather roads connectivity.										1	1	1
	road length sustainable and green technologies												1
NIRD/ CAPART													
Out-puts	Training Programmes	1	1	1	1	1	1	1	1	1	1	1	1
	Research & Action Research Studies	1	1	1	1	1	1	1	1	1	1	1	1
	Publications							1	1	1			
	workshops/ Seminars							1	1				1
	FDS							1	1				
	No of participants- trainings												1
	No. of projects	1	1	1	1	Restructuring of CAPART, hence no data							CA-PART missing
	No. of Gram Shree Melas	1	1	1	1								
	No. of YPs to be trained	1	1	1	1								
	Assistance to VOs										1	1	
Out-come	quarter wise no. of trainings	1	1		1	1	1	1	1				
	improvement in trainees				1						1	1	1
	Dissemination of research findings				1								
	suggestions and recommendations to RD programs									1	1	1	1
	increase in RD professionals										1	1	
	Total no. of beneficiaries	1	1	1	1	Restructuring of CAPART, hence no data							

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	item/year	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20
	Sustainable development of rural areas										1	1	
	No. of publications												1
NSAP all					missing								
Out-puts	providing assistance in amount							1	1	1			
	No. of people assisted										1	1	1
Out-come	No. of people assisted							1	1	1			
	Aadhar seeding										1	1	1
	Financial inclusion										1	1	
	Improve safety net										1	1	
	Assistance to poorest												1
PURA/ RURBAN								pilot	blank	blank			
Out-puts	Next stage activities in phase 1										1		
	Commencement of activities in phase 2										1		
	Approval of phase 3										1		
	ICAPs										1		1
	IHHLs in phase 1 - 100%											1	
	SLWM in phase 1 - 100%											1	
	LPG gas in phase 1 - 100%											1	
	DPRs from states												1
	CGF released												1
Out-come	D/W										1	1	
	IHHL/ ODF										1	1	
	Zero waste										1	1	
	LPG saturation										1		
	street lights and drains										1		
	Last mile connectivity										1		
	electrification										1		
	No. of interventions proposed in DPRs												1

5.3 Evaluation Report Assessment

In previous section, the methods for assessing important monitoring outputs in use by Government of India is laid, while this section focuses on assessment of evaluation reports, the main output of an evaluation study. Evaluation of evaluation, termed as meta-evaluation (section 2.6) forms Research Question 4 and is partially addressed through this work.

5.3.1 Purpose

To assess the quality of evaluation studies, a meta-evaluation should look at content of output document for completeness and quality of content. The processes should be evaluated to identify limitations in the conduct of evaluations. In this research, focus is to assess the comprehensiveness of output document, i.e., the evaluation reports for completeness and quality. This limit is being put at this stage as it is easier to access the output documents than other process related documents. Some commentary though can be made by observing various evaluation studies. An attempt towards this will be made in the future.

5.3.2 Method

Based on existing checklists, overlapping/ prevalent components were selected, which were verified for presence in published evaluation reports of international organizations such as Independent Evaluation Group, World Bank, United Nations Evaluation Group and International Institute for Impact Evaluation (3iE). Further components were added through literature review. Quality component was added to each characteristic feature wherever possible. Index score was prepared by giving weights to each component, sub-component and characteristic features. This will be utilised for scoring a few Indian reports before applying to priority sectors.

5.3.3 Existing checklists

Important literature on global best-practices for checklist of an evaluation report is briefly described:

Evaluation Report Checklist by Gary Miron

The Evaluation Report Checklist (Miron, 2004) draws upon Program Evaluation Standards set by Joint Committee on Standards for Educational Evaluation in 1994. It has two applications for evaluation management, first as a tool to guide discussion between evaluators and clients regarding contents of reports and second as a tool to provide formative feedback to report writers, to act as a tool to delegate, coordinate and monitor progress among the contributors

UNEG Quality Checklist for Evaluation Reports

This checklist approved by United Nations Evaluation Group Annual General Meeting in 2010 (UNEG, 2010) serves as a guideline for UNEG members in preparation and assessment of evaluation reports and ensure expected quality. Its use at ToR level is encouraged.

USAID Evaluation Report and Review Template

Evaluation Report Checklist and Review Template (Bureau for Policy, Planning and Learning, 2017) are tools to assist in developing and reviewing USAID evaluation reports. The Report Checklist acts as a quick guide to understanding the minimal standards for an evaluation report, while the Review Template provides additional criteria for assessing the quality of the draft against evaluation standards.

Checklist for Program Evaluation Report Content

This checklist (Robertson & Wingate, 2017) compares three-four other checklists and combines it with the experience and training of the authors and other evaluators to describe the elements of an evaluation report. It is intended as a flexible guide for determining an evaluation report's content and focuses on the content of long- term evaluation reports, and is specifically meant to guide the development of a project or program evaluation.

These four checklists and literature cited earlier on meta-evaluations was initially compared. The output is presented below:

Table 5.4: Overlapping criteria of evaluation checklists

Broad Topic	Subtopics	UNEG	USAID	Gary Miron	Robertson & Wingate
Title Page	Title - clear and concise to facilitate indexing	1	1	1	1
	Author(s)' names and affiliations	0	0	1	1
	Date of preparation, timeframe	1	1	1	1
	identifies what was evaluated	1	0	1	1
	Location of evaluation object (country, region etc.)	1	0	0	0
	Name of client or funder(s)	1	0	1	0
	Clearly and properly arranged	0	0	1	0
	Preferred citation	0	0	0	1
Abstract	Abstract briefly describing evaluand, evaluation questions, methods, & key findings/ conclusions?	0	1	0	0
Executive Summary	Description of program/ project	1	1	1	1
	Evaluation questions & purpose	1	1	1	1
	methods & analytical strategy	1	1	1	1
	main findings	1	1	1	1
	Implications	0	0	1	1
	Recommendations	1	1	1	1
Table of Contents	accurate first & second level headers	1	1	1	1
	Page Numbers	1	1	1	1
List of Tables & Figures	Exact titles	1	0	1	1
	Page Numbers	1	0	1	1
Acronyms & Abbreviations	Arranged alphabetically with definitions	1	1	1	1
Acknowledgements	References sponsors, data collectors, informants, contributors to the report, research assistants, reviewers of the report, etc.	0	0	1	1
Introduction and Background	Purpose of evaluation and evaluation questions, if not covered in the methodology section	1	1	1	0
	Description of program/ project or phenomenon being evaluated (including goals, historical context)	1	1	1	0
	Identification of target population for program and relevant audiences for the evaluation	1	0	1	1
	Review of related research	0	0	1	0
	Overview of report structure	0	0	1	0
	Intended use	0	1	1	1
	Scope: Time period, location and program components	0	0	0	1
	Stakeholder engagement	0	0	0	1
	Responsiveness to culture and context	0	0	0	1
	Budget as % of total funding	0	1	0	1
	Total resources - Human sources and budget	0	0	0	0
	Evaluation team: Composition of evaluation team	0	1	0	1

Broad Topic	Subtopics	UNEG	USAID	Gary Miron	Robertson & Wingate
	Prior evaluation: key takeaways	0	0	0	1
	Info on country/ sector, etc.	0	1	0	0
Program Description	Goals and/or objectives	0	1	1	1
	Funder and funding	0	0	0	1
	Organizations involved	0	0	0	1
	Program design: activities, changes, literature or theories	0	0	0	1
	Context: Economic, political, cultural, social, historical	0	1	1	1
	History: program's stage of maturity, if new initiative	0	0	0	1
	List of persons interviewed and sites visited, documents consulted	1	1	0	0
Evaluation Methods	Purpose & questions, if not covered in the introduction	1	0	1	1
	Evaluation approach or model used with rationale	1	1	1	1
	Criteria used to judge program's performance	0	0	0	1
	Indicators measured for each evaluation question or criterion	1	0	0	1
	Design of evaluation, sample sizes & data collection timing	1	0	1	1
	Sampling frame: area & population represented, selection rationale, mechanics, sample size, population, limitations.	1	0	0	0
	data collection methods with description of instruments	1	0	1	1
	Data collection procedure	1	0	0	1
	Sources of information and data	1	0	1	1
	Description of stakeholder's consultation, with rationale for selecting particular level and activities	1	0	0	0
	Data Source Selection	0	0	0	1
	Instruments	0	0	0	1
	Timeline	0	0	0	1
	Data management/ privacy	0	0	0	1
	Data analysis	0	0	0	1
	Interpretation	0	0	0	1
	Limitations: Factors affecting the credibility and accuracy	1	1	1	1
Evaluation Results	evaluation findings clearly & logically described, reflect systematic & appropriate analysis	1	0	1	0
	Charts, tables, & graphs are understandable, appropriately & consistently labelled	0	0	1	0
	Discussion of findings is objective, with negatives & positives	0	0	1	0
	All evaluation questions addressed	1	0	0	0
	Findings adequately justified	1	0	0	1
	Reasons for successes & failures	1	0	0	0

Broad Topic	Subtopics	UNEG	USAID	Gary Miron	Robertson & Wingate
Summary, Conclusion and Recommendations	Summary findings in each chapter/ in summary chapter	0	0	1	0
	Discussion & interpretations	0	1	1	1
	Judgments about merit & worth of program, key evaluation questions	1	0	1	0
	Judgments based on findings & substantiated by evidence, provide insights on object & purpose of evaluation	1	0	1	1
	Substantiated, logically connected to evidence	1	0	0	1
	Provide identification/ solutions of important problems/ issues pertinent to prospective decisions & actions of evaluation users.	1	0	0	0
	Strengths & weaknesses of evaluand, based on evidence, taking due account of views of a diverse cross-section of stakeholders	1	0	0	0
	Recommendations relevant to object & purposes of evaluation, supported by evidence & conclusions, developed with relevant stakeholders	1	0	0	0
	Describes process of developing recommendations	1	0	0	1
	Recommendations identify target group for each recommendation	1	0	0	1
	Recommendations stated with priorities for action	1	0	0	0
	Recommendations are actionable, reflect understanding of commissioning organization& potential constraints to follow-up	1	0	0	0
	Recommendations for future evaluations	0	0	0	1
	Ideas for Consideration	0	0	0	1
References and Appendices	Consistent, suitable style or format	0	0	1	1
	Error-free	0	0	1	1
	Cover all in-text citations	0	0	1	1
	All appendices referenced in text included	0	0	1	0
	Data & information in appendices clearly presented & explained	0	0	1	0
	Supplementary data or findings of interest to the readers but not required to understand the report	0	0	0	1
	List of reviewed documents or artefacts, if not already mentioned	0	0	0	1
Gender and Human Rights	Report shows how the design and implementation of the object, assessment of results and evaluation process incorporate a gender	1	0	0	0

Broad Topic	Subtopics	UNEG	USAID	Gary Miron	Robertson & Wingate
	equality and human rights-based approach				
	Report uses gender sensitive and human rights-based language throughout, includes data disaggregated by sex, age, disability, etc.	1	0	0	0
	Appropriate analysis of gender equality and human rights issues identified in scope	1	0	0	0
	Reported findings, conclusions, recommendations and lessons provide adequate information on gender equality and human rights aspects	1	0	0	0

This table of overlapping criteria marks presence/ absence (1/0) of criteria in previously listed four evaluation reports checklists. Components like title page, executive summary and their features were common across almost all checklists. Abstract as an essential criterion was found in only one checklist. Though all checklists contained the Table of contents, tables, abbreviations, only one listed stakeholder involvement in project introduction and background. Components of funding and donor organization are also seen. While important characteristics of methodology was prevalent across all checklists, data-privacy is in only one. Evaluation results, conclusion and recommendations were common across all checklists, only one contained information on gender and human rights.

Starting from here, and consulting other evaluation reports related guidelines (Western Michigan University Evaluation Centre, 2018) (CDC, 2013) (USAID, 2017), a checklist is proposed below. This has been created keeping in view the requirements put forth in DMEO from such a toolkit.

5.3.4 Evaluation report quality assessment toolkit

The preliminary version of synthesised checklist is presented here. As this is currently work of two people, neither being an expert, this is kept open for inputs from various practitioners. Also, this checklist will be utilised a few times to improve clarity of characteristics and their criteria. This version has 10 components, 48 sub-components, and 101 elements for scoring.

Table 5.5: Proposed evaluation report quality assessment toolkit

Component	Sub-components	Characteristics	Criteria
A Title Page	**1- Title**	Brief (less than 12 words)	0 - Absence 1- Presence
		Clear	
		Concise (comprehensive)	
		Specific (predicts content)	
		Interesting	
		Important keywords	
	2- Author/ Organisation or Both		0 - Absence 1- Presence
	3- Location		0 - Absence 1- Presence
	4- Date		0 - Absence 1- Presence
	5- Formatting	Both Uppercase and Lowercase letters	0 - Absence 1- Presence
		Text size large enough, variation in sizes for title, author, date, location	
		Uniform colour scheme - same colour scheme followed throughout project	0- varied colour scheme 1- uniform colour scheme
		Overall look and feel of title page	0- poor visual appeal 1- average visual appeal 2- good visual appeal
B Tables	**1- Table of Contents**	All 1st, 2nd, level headers with page numbers	0 - Absence 1- Presence
	2- List of Figures	Exact titles	0 - Absence 1- Presence
		Page Numbers	
	3- List of Tables	Exact titles	0 - Absence 1- Presence
		Page Numbers	
	4- List of Abbreviations	Arranged alphabetically with Definitions	0 - Absence 1- Presence
	5- List of annexures/ appendices		0 - Absence 1- Presence
C Acknowledgement/ Preface	**1- Organisation/ author/ supervisor**		0 - Absence 1- Presence
	2- Research group / data collectors/ reviewers/ feedback providers		0 - Absence 1- Presence
	3- Administrative / technical support		0 - Absence 1- Presence
	4- Chapter-wise description of the report		0 - Absence 1- Presence
D References / Bibliography	**1- Suitable style and format for all references (same format for all references)**		0 - Absence 1- Presence
	2- Covers all in-text citations in an ordered manner		0 - Absence 1- Presence

Component	Sub-components	Characteristics	Criteria
	3- Arranged al-phabetically		0 - Absence 1- Presence
E Executive summary	**1- Overview**	Brief (up to 1/10th pages of the report)	0- not brief 1 - brief
		Concise	0- no 1- yes
		Adequate expression of the report, covering all key points without delving into minor details	0- very poor expression 1- poor expression 2- average expression 3- good expression 4- very good expression
		Easy to understand and readable	0- not easy 1- easy 2- very easy
		Interesting, compels reader to go through report	0- not interesting 1- interesting 2- very interesting
	2- Project background	Purpose	0- absence 1- presence
		Objectives stated	0- objectives not given 1- not all objectives are covered 2- objectives are stated
		Evaluation questions are clearly stated	0- evaluation questions not given 1- incomplete questions given 2- evaluation questions are provided 3- evaluation questions stand out 4- evaluation questions exactly& separately stated
		Time period of Evaluation	0- Absence 1- Presence
		Beneficiaries of project	0- Absence 1- Presence
	3- Methodology	Approach / design, method	0- Approach used not stated 1- Approach stated but no method 2- approach and method stated
		Rationale for choosing a particular approach and method	0- Not stated for approach & method 1- Stated for either approach or method 2- Stated for approach & method
		Methods of data collection and used data	0- data used is not stated 1- incomplete data stated 2- data given but not methods 3- data and methods of collection stated 4- data and methods are separately stated
		Geographical location and coverage	0- Absence 1- Presence
	4- Summary of main findings		0- No findings 1- few findings 2- all findings
	5- Conclusions /highlights and lessons learned		0- no conclusions 1- incomplete conclusions 2- all conclusions but not separately given / merged with findings 3- conclusions stated separately 4- conclusions separate with lessons learned

Component	Sub-components	Characteristics	Criteria
	6- Recommendations		0- no recommendations are given 1- recommendations are given in an incomplete and unstructured manner 2- all recommendations are stated in a structured manner separately
	7- Challenges and limitations	Challenges faced during the course of the study Limitations of the study	0 -neither challenges nor limitations 1- either challenges or limitations 2- both challenges and limitations
F Introduction, Background and Program Description	**1- Baseline information and context**	Geographical Location where project for evaluation was carried out	0- Absent 1- Present
		Context of area/ project for which evaluation is carried out- political, social, economic, historical	0- Absent 1- Present
		Previous laws/ policies, their features & impacts which motivated project	0- no such information given 1- brief information 2- detailed information with features & impacts
		Why the evaluation is conducted	0- no reason is stated 1- reason is stated
		Objectives of the program	0- Not stated 1- Stated
		Objectives of the study	0- Not provided 1- Provided 2- objectives in line with ToR
		Objectives - clearly and logically defined	0- not clearly and logically defined 1- few are clearly and logically defined 2- all are clearly and logically defined
		Objectives - relevant	0- not relevant to overall project 1- few are relevant to overall project 2- all are relevant to overall project
		What decisions will be informed by the evaluation	0- no decisions are given 1- decisions are given
	2- Timeline/ history	Duration of the project being evaluated	0- It is not stated 1- It is stated
	3- Funding arrangements	Who funded, details of loans, how much was the overall outlay of project	0- No details about funds 1- total outlay of the project is written 2- Total outlay & funding sources given
		Total outlay on the project stage wise	0- no details 1- details are
		Total outlay on the project component wise	0- no details 1- details are given
	4-Implementing agencies	All implementation agencies involved and their duties	0- no details 1- lists implementing agencies 2- lists implementing agencies and duties 3- lists implementation agencies at all levels 4- duties are stated along with the level of implementing agency
		Review of implementation milestones, major events and current status of implementation	0- no timeline is provided 1- it contains a brief description of the major events along the timeline 2- it contains a detailed description of the timeline and major milestones with

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Component	Sub-components	Characteristics	Criteria
			current status of implementation 3- detailed description is provided in a appropriate timeline format (graphical representation) 4- along with the timeline, it also contains the current status of implementation
	5- Evaluation questions	Linked to purpose	0- evaluation questions are not given 1- evaluation questions are given but they are not very clear 2- evaluation questions are linked to the purpose, are relevant and clear
		Clearly stated	0- evaluation questions are not stated 1- evaluation questions are stated but not clearly 3- evaluation questions are stated point wise and separately
		Exhaustive - the evaluation questions should cover all objectives	0- the evaluation questions are not linked to the objectives 1- evaluation questions are based on only a few objectives 2- evaluation questions cover all the objectives
	6- Timeframe of evaluation	Who conducted the evaluation and when	0- no mention of who conducted the evaluation and when 1-information on either of the two aspects is given 2- information on both these aspects are given
	7- Uses of evaluation	What purpose will the evaluation serve and to whom can it come to use	0- neither uses of evaluation nor who will use them is stated 1- either the uses or who uses the evaluation is stated 2- both the uses and users of the evaluation is stated.
	8- Beneficiaries	Who is expected to benefit from the project, nature of the benefit and how will they receive it	0- no beneficiaries are stated 1- incomplete beneficiaries are stated 2- beneficiaries are mentioned of all kinds - receiving both direct and indirect benefits 3- beneficiaries are mentioned along with the nature of benefit 4- beneficiaries are mentioned along with the nature of benefit and how will they receive it
	9- Stakeholder involvement in the evaluation	Who are the stakeholders and if they are involved beyond data collection, steps taken to maximise stakeholder involvement	0- no stakeholders are mentioned 1- stakeholders are mentioned 2- incomplete description of role of stakeholders along with who they are 3- detailed description of the role of the stakeholders 4- stakeholders along with their roles are clearly stated, along with emphasis on steps taken to maximise stakeholder involvement and their role

Component	Sub-components	Characteristics	Criteria
G Methodology	1- Purpose of evaluation	Purpose of evaluation	0- the purpose of evaluation is not stated 1- purpose is stated in brief 2- detailed purpose is stated
		Challenges faced in the project implementation	0- they are not stated 1- they are stated
	2- Evaluation questions	Indicators (what will determine if a particular evaluation question has achieved its target/goal- used for each evaluation question - why a particular indicator was chosen	0- no indicators are mentioned for the evaluation questions 1- indicators are mentioned only for a few evaluation questions 2- indicators are established for all the evaluation questions
	3- Evaluation approach/ model (participatory, outcome based)	What is it	0- evaluation approach is not stated 1- evaluation approach is stated
		Rationale for choosing that approach	0- no rationale is provided for choosing the evaluation approach 1- rationale is provided but not very appropriate given the project background 2- detailed rationale is provided for the approach given the project background
	4- Secondary data	Sources of data and why a particular source is being chosen	0- it does not mention what data is required and the sources of data 1- it mentions the data needed and what sources are used 2- it also provides the rationale for choosing a particular data source
		List of documents reviewed	0- it is not present 1- it is present
	5- Primary data	Source - area and population targeted	0- the source of data is not mentioned 1- the source of data is mentioned
		Sample size and sample selection methodology	0- it neither mentions the sample size nor sampling methodology 1- it mentions either of the two 2- it mentions both sample size and sample selection methodology
		Time period of collection	0- it is not given 1- it is given
	6- Evaluation design	Method of data collection - questionnaires/survey/group discussion with key interview questions or structure of the questionnaire	0- no methods of data collection are written 1- methods of data collection are stated 2- methods of data collection are stated with details of the interview questions/structure of the interview
		Justification of the use of particular instruments for data collection	0- no justification on the use of particular instruments is provided 1- justification is provided
		Who collected the data - composition of evaluation team, training for the evaluation team	0- neither the composition of the evaluation team nor the training measures are given 1- information on either of the two components is present 2- information is present on both these aspects
		Steps taken to ensure that the collected data maintains privacy and rights of individuals	0- the evaluation report has no mention of this aspect on how data is stored and rights of individuals are maintained

Component	Sub-components	Characteristics	Criteria
			1- the report does mention some information on these aspects
		List of people interviewed	0- it is not present 1- it is present
		List of sites visited	0- it is not present 1- it is present
		Steps taken to ensure credibility and quality of data collected	0- no steps are mentioned to ensure quality control 1- steps to ensure good quality data is collected are mentioned
	7- Limitations of data collected	Factors affecting the credibility and accuracy of evaluation results	0- no limitations are stated 1- limitations are stated briefly 2- brief limitations are stated in an appropriate format - point wise and easy to read 3- detailed description of the limitations with potential sources of bias 4- detailed limitations are stated pointwise and easy to read
	8- Evaluation matrix	Key Components of an Evaluation Matrix - Evaluation Objective/ Questions, Key Indicators	0- evaluation matrix is not present 1- evaluation matrix consists of only a few evaluation questions 2- evaluation matrix addresses a few evaluation questions but mentions the indicators 3- evaluation matrix addresses all evaluation questions without indicators 4- evaluation matrix addresses all evaluation questions and mentions key indicators
		Key Components of an Evaluation Matrix - Research tools employed to address area of enquiry, Key Stakeholders for each research tool	0- the matrix does not identify the research tools and key stakeholders for each 1- the matrix only contains the research tools employed but does not mention the key stakeholders 2- the matrix mentions research tools employed and the key stakeholders
H Evaluation Results and Findings	1- Details	Clear	0- Absence 1- Presence
		Logical	0- Absence 1- Presence
		Results & findings expressed in a hierarchical manner - at project level, district level, state level (wherever applicable)	0 - not stated hierarchically 1- stated hierarchically but all applicable hierarchies not covered 2- all applicable hierarchies covered 3- all applicable hierarchies covered separately 4- all applicable hierarchies stated separately and point-wise
		Represent Systematic and Appropriate Analysis of Data	0- absence of data analysis 1- Incomplete data analysis 2- appropriate data analysis of all data 3- systematic data analysis with all available data, appropriate formulae & techniques

Component	Sub-components	Characteristics	Criteria
			4- appropriate data analysis of all available data & systematic representation using necessary graphs and figures
		Address the Evaluation Questions	0- does not state which evaluation question/ objective is addressed 1 - does not address all evaluation questions/ objectives 2- addresses all evaluation questions/ objectives
		Clearly specify if the indicators for each evaluation question have achieved their desired targets	0- no indicators mentioned for evaluation question 1- indicators mentioned but not final outcome of indicator addressing evaluation question 2- outcome of each indicator establishes in what measure the evaluation question is addressed
		Objective and Adequately Justified	0- findings not objectively stated 1- objectively stated, not justified 2- findings both objectively stated and justified
		Includes both positive and negative findings	0- neither positive nor negative findings 1- either positive or negative findings 2- both positive and negative findings
	2- Charts, figures, tables, graphs	Easy to understand	0- no 1- yes
		Convey the Relevant Information	0- no 1- yes
I Conclusion	1- Restating Findings in a Comprehensive Manner	Discussion of findings, Interpretation of findings	0- few findings documented collectively 1- all findings documented collectively 2- with findings, incomplete interpretations given 3- all findings, interpretations given 4- all findings, meaningful interpretations given, not vague
	2- Judgements	Reasonable Judgements based on all evaluation questions, Insights pertinent to the object of worth and purpose of evaluation	0- no judgements provided 1- Judgements address some evaluation questions 2- All evaluation questions are addressed 3- Judgements are based on conclusions 4- Judgements are reasonable
J Recommendations	1- Relevant to object and purpose based on findings in report		0- Recommendations not provided 1- Recommendations not relevant/ realistic 2- Objective and purpose of evaluation is addressed through recommendations which are realistic
	2- Actions	What actions need to be taken, who needs to take the actions, timeframe with respect to follow up	0- Recommendations not broken into actionable items 1- Not adequate according the circumstances, not realistic, not clear who should implement and when 2- Recommendations include actions to be taken, but agency not given 3- clearly and explicitly establishes actions to be taken, relevance, agency

Component	Sub-components	Characteristics	Criteria
			4- timeframe and other components addressed with actions, agency
	3- Implications for the future		0- Implications are absent 1- Implications are provided 2- Implications are meaningful

Features of ERQAT

Following are some features of this tool:

- The toolkit is designed for development evaluation reports.

- The toolkit began with completeness aspect, and over time, quality assessment components were added, these were subjective. Attempt is made to provide pointers to inform scoring on such criteria.

- The 10 components are divided in 48 sub-components. There are 101 scoring criteria. The component wise weightage has been given by the maker of this report based on the collective opinion on the importance of these components in the report.

- Each component is scored out of hundred, such that the differently-weighted sub-components add up to 100. Further, weightages to components have been applied such that the maximum total score becomes 1000. Its proposed division is as follows-

Table 5.6: Component weights in ERQAT

S.NO.	COMPONENT	MAXIMUM SCORE	WEIGHTAGE
1	TITLE PAGE	100	100
2	ACKNOWLEDGEMENT/ PREFACE	100	
3	TABLES OF CONTENTS, LIST OF FIGURES, LIST OF TABLES, LIST OF 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

- Within each sub-component, all the scoring criteria have weightage based on their relative importance. The importance of criteria is currently subjective to the toolkit developers and will be modified based on inputs.

- Three types of scorings are used for the criteria. A 0/1 for absence/presence , 0/1/2 with 2 and 0/1/2/3/4 scoring is made where the evaluator makes a judgement. Wherever possible, associated justification and reason for each score is provided to make scoring transparent and uniform.

- As some evaluation reports have components cutting across sections, for scoring, it has the preface, acknowledgment and executive summary may be read together and graded for presence of components in all of them together. Similarly, if a report doesn't divide into typical report sections, but covers criteria elsewhere, it is suggested that they should be graded nonetheless.

5.3.5 Validation

This toolkit will be tested against some good quality evaluation reports, and against evaluation reports for which a value judgement by experts is available.

This work will be continued in coordination with DMEO, which is the primary consumer for this toolkit. Also, as multiple reports have to be scored, some manpower support can become available there.

5.4 Insights from Conducted Evaluations

While one can evaluate reports generated by others, it is more important to first judge one's own work. This is reflexive praxis, an important necessary skill in an evaluator. With this purpose, it was decided to document observations on the evaluation studies conducted in CTARA. As these studies also provide an opportunity to implement skills learnt, experience field- difficulties first hand and provide necessary clout while speaking with other experts in the field, just like active learning was sought through the Research for Impact Fellowship, similarly active engagement was done in a couple of evaluation projects. These were also an experience in team-working. In both the studies, learning on the DAC-evaluation criteria was applied. One study was a qualitative evaluation for a charitable foundation of their service-

oriented activities, while the other was a quantitative evaluation of a CSR project implemented by a large NGO for livelihood improvement and community development.

Other than observations on these two studies, it is proposed that in the next year, small interviews will be done with teams engaged in prior evaluation studies and get their insights about problems faced on field, with clients and their suggestions for better management of such studies. In the following section, summary observations from the two evaluations are given:

Evaluation of charitable foundation

This evaluation study was done in absence of any secondary or administrative data as the foundation didn't believe in keeping a centralised track of the beneficiaries beyond aggregated numbers. Thus, this was designed as a qualitative study. In absence of any indicators for which data already existed, even the indicators had to be defined. For this purpose, having studied theory of change, first the theory of change for each intervention of the foundation was prepared through multiple interviews with the team and field-observations. The outcomes pointed through these ToCs were tested on field during interviews with beneficiary and other stakeholders.

This exercise highlighted the importance of case-studies as a method of collecting qualitative impact data for interventions where any baseline or monitoring data is absent, and outcomes are quality-of-life related. Benefits of background study through available literature on the subject was also realised, where it validated the ToC and impacts observed on field.

Informal monitoring through interaction between the team leaders and ground staff was observed, but it was felt that if activities are scaled up, this will not work and some formalised direct communication channels should be established. The team effectively uses WhatsApp for daily reporting and promoting collaboration and competition. But its effectivity in larger groups to pull-up non-performers is doubted. For this purpose, literature on use of WhatsApp for monitoring was searched, but none was found. As it is evident that WhatsApp is today extensively used for daily reporting by implementors in various fields, it will be interesting to look at how it works as a monitoring system.

Overall, this evaluation study allowed hands-on practice of needs assessment study, development of Theory of Change (both of these should ideally happen at start of a project),

qualitative assessment of impacts and enquiry along the five evaluation criteria by DAC (OECD-DAC, 2018).

Evaluation of a large NGO's project

PSU CSR implemented by a national NGO, geographically focused implementation of agriculture based livelihood generation and Community development project

Purpose of evaluation study -

1. End line assessment of project cycle
2. To support decision of extending and expanding the project
3. Required by AGM. Report finally submitted to them

No ToR by the client, discussion led to submission of proposal which was modified and accepted. Initially use was not clear, proposed impact assessment under assumption of quality baseline data. Monitoring and internal evaluation and case studies data was available and shared. This allowed to preselect stratified sample based on benefits received by the farmers.

The existing case studies were of successful farmers. This would give a skewed, very positive picture of intervention. So stratification was done by response to the program and farmers who had not taken any benefits were also selected, along with farmers who took benefit from only 1-2 activities and farmers who received all the benefits. Such purposive sampling is important in impact assessment as we do not want to either over-estimate or under-estimate the benefits of the program.

During this study, field-work was conducted with a team of 10 people, a training and pilot were also conducted. This was also the first time when we used Computer Aided Personal Interviewing system. The typical stages of questionnaire development from objectives of study, translating it to local language, converting it to ODK-based questionnaire, training team on it, editing and piloting and then finalization were implemented.

The benefits of piloting were observed first-hand, where we had to replace many words with locally used words to make the questionnaire culturally contextual. It also allowed us to remove many unnecessary and repetitive questions.

While hiring a team for such a project, it becomes important that the team should be exposed to the project. Our team, till we did the pilot and talked to the functionaries of implementing NGOs, had problems in visualising what the questions mean, what other follow up information they should ask, etc. Even though all of them were social science students from rural background, they had to be explained a lot of agricultural interventions and their intended benefits before they started to make notes based on their observations apart from administering the questionnaires.

During report writing stage, we realised the importance of doing analysis of secondary data beforehand, which can feed into better inquiry on field.

When the final report was compared to the evaluation report assessment toolkit, the report is found to be lacking on many fronts. Having such a report writing checklist before-hand can assist in better study design and data-collection as well.

Chapter 6

Conclusion

"There are a wide variety of initiatives aimed at supporting better monitoring and evaluation, and some show real promise, but their impact and sustainability can be diluted by a lack of scale, a focus on projects rather than systems, and limited coordination. There is also a need now for more programs of support that look beyond knowledge transfer."

- Alison Evans (Evans, 2019)

When this PhD research was started two years ago, the initial idea was to work on decentralised and localised M&E at District-level and below, to understand the current processes, then suggest improvement and try to implement the same. But as literature was studied, especially India-centric, it was found that the M&E systems in India at sub-national level are not documented and hence there is no awareness about the performance and processes at State level either. So, last year, while framing research objectives, focus was shifted to first understanding the national and sub-national situation, suggesting improvements to it and then trying to implement some suggestions through capacity development at local levels. In the past year, after interaction at DMEO, the objectives became clearer and well-defined to document and assess the M&E systems in Ministries and States, to assess typical M&E outputs of MIS and reports, propose a national framework by putting together existing pieces in the form of a National M&E Policy and finally prepare plan for implementing this through capacity development.

Chapter 4 and 5 describe the preliminary work towards the first two objectives. In both, the progress has been up to creating an assessment framework. Next stage of data collection and analysis are also being started. Over next one year, these are expected to yield some results. Simultaneously, now work is being started on the National Monitoring & Evaluation Policy draft preparation. Since a clarion call for the same has been sounded by the DMEO, in response to persistent demands for the past decade by international agencies, national organisations, practitioners, etc., it is important to get involved in it immediately and collaborate with all stakeholders.

6.1 Plan for Next Year

At different places in the chapters, next steps in work have already been described. All of them are being summarised here.

1. Complete documentation of history of National M&E system in India (RQ 1)
2. Collection data as per M&E offices' assessment framework from sampled offices in Ministries/Departments and States/UTs (RQ 2)
3. Triangulation and Validation of the collected data (RQ 2)
4. Assessment of MIS using MIS Maturity Index (RQ 3)
5. Assessment and commentary on OOMFs (RQ 3)
6. Completion of ERQAT and assessment of reports based on it (RQ 4)
7. Analysis of Terms of References of evaluation studies, propose standard ToRs (RQ 6)
8. Preparation of draft M&E policy for India (RQ 5)
9. Documentation of participant observations at DMEO, documentation of evaluation case studies using instrumental case study approach (RQ 6)

Since work on different tasks across research questions is being pushed ahead simultaneously due to similar need for literature, basic data and available opportunities, only in 4th year it is expected that clear results for various research questions will be obtained.

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Annexures

Annexure 1: Tool for Organisational Assessment of M&E offices in India

	Area	Component	Question	Responses	Type	Re-mark
A	Basic Information					
		Identifying details	Name of Ministry/ State		Text	
			Name of concerned Department/ division containing M&E office/ unit		Text	
		Contact person	Name of responding official from M&E office/ unit		Text	
			Position of responding official		Text	
		M&E office	Provide details about the M&E office	Name of section/ office, reporting office	Para-graph	
		Contact details	Official mail id		Text	
			Office phone number		Integer	
B	Enabling Environment					
		History of the Ministry/ State	When was the Ministry/ State created?	Year	Integer	
			Was the Ministry/ State department housing the M&E office majorly restructured during last decade?	Yes No	Select one	
		Evaluation function	Is there a well-defined evaluation unit?	Yes No	Select one	

| | | | | If yes, What M&E related activities are carried out in the Ministry/ State? | Develop performance indicators and clear program logic to enhance evaluability
Collect data on inputs and outputs according to performance indicators
Develop baseline data
Document project/ programme implementation process
Measure results
Conduct mid-term review of programme or project and mid-course correction
Development and organization of databases for access for M&E
Surveys to get feedback from staff, programme participants, beneficiaries and other
stakeholders
Informal or formal meetings of expert/ working groups, task forces, etc. (including those that are for the purpose of review, reflection or assessment)
Risk Assessments
Needs Assessments
Policy analysis reports/studies
Report/studies on other topics
Presentations and sharing of evaluations
Other (please specify) | Select multiple | If yes |
| | | | | If no, why is there no well-defined evaluation unit? | There is no demand
The added value of evaluation is not well understood or appreciated.
Evaluations are perceived as not necessary.
The organization is new and still establishing its systems and does not see evaluation as a priority at this stage.
The budget is limited and does not leave room for evaluation
The organization does not have an organizational culture for results, accountability and learning for development or change.
Other reasons (please specify) | Select multiple | if No |

			What other systems support accountability and decision making in the Ministry/ State?	Office of oversight for audit, inspection and/or investigation Research and analytic office for information generation Knowledge management system Other systems (please specify)	Select multiple	
		Policy	Does the Ministry/ State have a documented M&E policy or Law?	Yes, there is an approved policy or law for either M, E or both Yes, there is a draft policy or law for either M, E or both No, there is no policy or law for M or E	Select one	
			If yes, is it available in public domain?	Yes/ No	Select one	
			If approved, when was the policy or law approved?	Month, Year	Date	
			If draft, when is it expected to be approved?	Near future, a timeline is in place Process was started, but currently there is no progress Delayed from decided timeline, cannot comment	Select one	
			If an approved or draft policy or law exists, please provide a copy of the same	Provide document	Attachment	
			If no, is any process for formulation of the policy being started/ planned?	Yes, a process has been started, first draft is awaited No, no work towards a policy for M&E has been done or planned	Select one	
		Buy-in by leaders	Does monitoring and evaluation information get used directly by the ministers for decision making?	Yes, information from M&E about various programs is regularly demanded for decision making No, whatever information is available is used Can't comment	Select one	
			Is there any Central/ Ministry/ State level evaluation committee/ evaluation advisory board looking after evaluations?	Yes, an evaluation committee Yes, an evaluation advisory board No	Select one	
			If yes, provide details of existing committees	Provide details		

			M&E is a standing agenda item in review meetings at Ministry/ State level	Yes/ No	Select one	
		Staffing pattern	Officers from which services are allotted to the M&E office	Statistical Economics other services	Select multiple	
			Are new staff being appointed at the office to replace staff leaving/ retiring from the office?	Yes, from regular service cadres Yes, Contractual hires Yes, on deputation No, vacated posts are not filled up quickly	Select multiple	
			What is the policy governing hiring of staff/ recruitment rules?	Give details	Paragraph	
		Schemes/ budgetary allocations	Under which schemes does the M&E office receive funds?	Name of scheme and budget code	Text	
			What are the budget heads under which funds are provided?	Name of budget head and codes	Paragraph	
		Departmental hierarchy	Under which Ministry/ Department does the M&E office fall?	Give details	Text	
			is it a separate office, or a division in some other office?	Give details	Paragraph	
			Nature of the M&E office in parent department	Independent office (Authority/ Department/ Directorate) Attached office to another Department/ Directorate Division/ Section within an office Other setup, give details	Select one	
			Reporting officer of head of M&E unit	Post, department	Text	

		Dissemination/ Utilisation of M&E	Do other departments/ divisions/ offices within the Ministry or State take data/ information/ insights from the M&E Office in their functioning?	Yes, they actively take inputs at different stages of program implementation Yes, they ask it as a part of processes laid down by finance division/ others Little, input is taken No, no input is taken	Select one	
			How do the Program Implementation Divisions interact with M&E office?	Request to conduct evaluation studies Request for data/ previous reports/ research inputs Assistance in M&E plan preparation Approval during project proposal appraisal/ budget formulation stages Little to no interaction	Select multiple	
C	Organisational Motivation					
		History	When was the M&E unit established?	Month, Year		
			Was the organisation restructured?	Yes No	Select one	
			If yes, when?	Month, Year		
			What important recognitions has the unit received?	Give details		
			Has the organisation been scrutinised by CAG/ parliamentary committees/ finance department/ others?	Yes No	Select one	
			Who conducted the scrutiny/ review?	Name of agency		
			When did the last scrutiny/ review take place?	Month, Year		

			If yes, were the concerns raised in the report addressed/ corrective measures taken?	All concerns raised in the report were addressed Most concerns were addressed Few concerns were addressed None of the concerns were addressed	Select one	
			Provide copy of the report of the committee and action taken report	provide documents		
		Motivation of organisation	Is there a written mandate for the office to carry out M&E functions?	Yes, M&E is a core function of the office, defined in its objectives at the time of inception Yes, M&E was added to functions of the office No, but it is expected that the organisation provide M&E support for the Ministry/ State	Select one	
			Does the office have mission, vision statements; stated objectives and functions?	Yes, the office has its own statements Yes, the office's statements are same as the parent office (Ministry/ department/ directorate/ division), which includes M&E objectives and functions No, the office doesn't have specific statements, objectives and functions defined for M&E, either internally or at the parent office	Select one	
			If yes, please provide details	provide documents		
			How many meetings are held annually in the organisation to review planning, progress and discussion of M&E activities?	Number of meetings per year		
			Who conducts and chairs these meetings?	provide details		
		M&E Culture	Does the M&E office produce documented evidence before important decision making?	M&E office conducts field studies and provides research-based inputs M&E office provides literature review-based evidence Any necessary evidence is collected by respective agencies making the decisions No formal process for evidence based decision making involving M&E office exists	Select multiple	also gauge sincerity of answerer

			Are M&E plans, documents, methods, etc. proposed by other departments vetted by the M&E office?	M&E related plans, etc. are prepared through the M&E office M&E related plans, etc. are vetted by the M&E office M&E office is not involved in processes conducted by other departments/ divisions	Select one	
		Incentive systems	Promotion opportunities within the organisation exist	Career progression within the office is well established Promoted staff generally migrate to other offices Within office promotion opportunities are rare	Select one	
			Performance is recognised and awarded in the organisation	Internal employee assessment, feedback and rewarding is well established Good work by employees is commended, but a formal process doesn't exist There is no practise of performance recognition and commending	Select one	
			Underperformers have received warnings and other disciplinary actions in the past	Internal employee assessment, feedback and disciplinary action is well established While warnings are given, no formal process exists No practise of disciplinary actions	Select one	
		Processes	How are the evaluation studies conducted? Internally - through the office, externally - through consultants or another government institute	Multimodal - some studies are completely internal, some are completely outsourced while most are internally led but externally conducted Ownership, leadership and execution of all studies is internal Studies are owned by the office but executed through external agencies All parts of the study, including designing of evaluative questions is outsourced	Select one	
			How is tendering for external studies done?	open e-tendering as per GFR 2017 through Central/ State Public Procurement Portal open e-advertisement and tender but not through Central/ State Public Procurement Portal open e-advertisement but offline tender process NA, all studies are done internally or through roster/ fixed agency	Select one	
			Who can bid for the tenders	Limited tenders amongst empanelled members Open tenders Others, please provide details	Select one	
			Are the tenders RFPs, RFQs or RFTs?	Tenders are in the form of Request for Proposals Tenders are in the form of Request for Quotations Tenders are in the form of Request for Tenders	Select multiple	

				Are EOIs and RFIs also requested before tenders for award of the studies?	Yes, Expression of Interests are invited or Request for Information is released before the tender process No	Select one	
				How frequently are empanelled members updated?	Annually On a rolling basis Empanelled members have not been updated for more than 2 years No empanelled members exist	Select one	
				Critical review of results of evaluation studies is done	Evaluation study reports are reviewed by external experts/ consultants Evaluation study reports are reviewed by concerned department/ division experts Evaluation study reports are reviewed by M&E office team Structured review process of evaluation reports is not done before tabling them	Select one	
				Model Terms of Reference for awarding tenders for various engagements exist	Standard ToR with general clauses applicable as per GFR/ government guidelines is available Standard ToR is available and is being improved upon ToR from previous tenders is used and modified as necessary	Select one	
				Model Request for Proposal/ Quotation/ Tender/ etc. documents exist	Standard documents and processes for finalising them for any tender are available Standard documents are available Best documents from previous tenders are used to create new documents Documents are prepared as needed for each tender	Select one	
				Model report structure exists	Model report structure is well defined, including formatting and publishing guidelines Model report structure/ outline is defined Report structure is decided by the team in charge of report preparation	Select one	
				Processes to be followed for various engagements, including surveys, evaluation studies, data collection, data management, etc. exist	Processes are well developed and process documentation is easily accessible in the office Processes are well developed, process documentation is not at one place in the office Processes are followed but documentation is not available Processes are decided on a case by case basis, using over-arching GFR and other guidelines	Select one	

			Provide all available standard documents			
		Infrastructure	Office infrastructure and facilities are available for the M&E office	M&E office has separate office space, furniture and equipment M&E office shares its office space, furniture and equipment with other offices/ divisions	Select one	
			Establishment and accounts of M&E office	M&E office has separate establishment and accounts setup M&E office depends on the parent office for establishment and accounts support	Select one	
		Ethical considerations	Research ethics are followed through IRB	The office has tie-up with a regional Institutional Review Board for gaining ethics clearance The agency conducting the study gets approval from its regular IRB IRB process is ad-hoc or irregular No IRB process is followed for studies		
			Equity principles are given importance during sample selection	Yes No		
			Personal identifiable information of the respondents is separated from datasets and stored securely during studies	Yes No		
		Transparency	Information available on website	Detailed, updated information about all aspects of the M&E office are available on a website Limited/ outdated information is available on a website No information is available on a website	Select one	
			Self-declaration under RTI is done and available on a website	Updated information under RTI is available in office and on a website Limited/ outdated information under RTI is available publicly	Select one	
			Office has an assigned Public Information Officer	PIO is under parent department PIO is at M&E office level No PIO is assigned specifically for M&E office	Select one	
D	Evaluation Capacity					

			Human Capacity	Details of designations and number of posts - sanctioned and filled	Post-wise sanctioned posts, filled posts and vacancies		
				Is there an M&E training curriculum for staff available?	Yes/ no	Select one	
				If yes, please provide details	Details, attach copy		
				How many training programs were conducted in past 5 years for staff?	Year wise number of trainings		
				How many current staff in the M&E office have participated in such programs?	number of staff		
				What is the annual budget for these programs?	Rupees in lakhs		
				Who conducts these trainings?	Trainings are conducted internally External experts conduct trainings Staff individually participate in training programs		
				Are their linkages with regional training institutions?	Regional institutions are formally involved in the trainings Experts from institutions are individually involved No involvement of regional institutions	Select one	
				Which institutes partner for these trainings?	name, city		
				Is there a defined skill set for staff working with the organisations	A minimum competency level for each position is defined, staff falling short of it are trained A minimum competency level for each post is defined, staff are assumed to be competent Competency levels are not defined	Select one	
				If yes, please provide details	Details, attach copy		
			Leadership				

			Governance	Does a Technical Working Group/ advisory group exist which discusses and takes important decisions related to M&E activities, such as commissioning studies, finalising evaluation questions, finalising MIS structures, etc.?	An active TWG/ advisory group exists and is consulted regularly TWG/ advisory group is formed but not involved No TWG/ advisory group has been formed	Select one	
				How frequently does the TWG/ advisory group meet?	Number of times in an year		
				How does the organization acknowledge and support good M&E performance and correct/ prevent weak or incorrect M&E performance?	Give details	Paragraph	
			Partnerships	External experts from academia, civil society, etc. as part of TWG/ advisory groups	External experts are active and constituent part of TWG/ advisory groups External experts are invited as necessary External experts are inactive/ non-cooperative External experts are not involved	Select one	
				Inventory of experts and technical institutions	Inventory is available and is regularly updated Inventory is available but potentially outdated No inventories	Select one	
				Inventory of empanelled institutions for carrying out evaluations	Inventory is available and is regularly updated Inventory is available but potentially outdated No inventories	Select one	
				Mechanisms (e.g., feedback reports, publications) to communicate about M&E activities and decisions exist, which help other stakeholders to understand what is happening	Reports are published and circulated, uploaded on website Reports are prepared and sent to concerned stakeholders Reports is shared as and when demanded Reports are confidential and hence not widely shared	Select one	

		Organisational planning	Is there an annual work plan	Detailed work plan is prepared every year and published Detailed work plan is prepared No work plan is prepared, business as usual is carried out No annual planning is done	Select one	
			Is the annual work plan in line with government priorities	Plan is prepared in consultation with parent office, finance department, follows government priorities Plan is made independently by the parent office as per its needs Plan is made at the M&E office, may be modified based on requests No plan is prepared	Select one	
			What percentage of budgeted cost of last year's M&E activities was achieved	100% and above 80% and above 50% and above 30% and above Less than 30%	Select one	cross checking
			guidelines, SoPs related to collection of information, reports and their distribution exist	Processes for dealing with data, information, reports, etc. is well defined and published Processes are followed, but not documented No set processes	Select one	
			The M&E office and M&E system in the Ministry/ State has been assessed (gap analysis, needs assessment, process review, etc.) and findings implemented	Reviewed and improved continuously Reviewed an improved in the past Reviewed in the past No review or improvement processes carried till date	Select one	
		Costed planning	M&E work plan and activities are costed	M&E plan clearly identifies activities, responsible implementers, timeframe, activity costs, and sources of funding Costing for M&E plan has been created, but not detailed	Select one	
			Are the committed resources for the activities sufficient?	The approved budget is sufficient for all planned activities More than sufficient budget is approved Approved budget is not adequate	Select one	

		Advocacy and com-munication	Reports submitted to and by the M&E unit are published and are accessible to all stakeholders	Complete reports are published on website Summary reports are published on website Reports are not published, are made available on demand Reports are confidential and hence not shared	Select one	
		Routine Monitoring	Essential tools and equip-ment for data management (e.g., collection, transfer, storage, analysis) are availa-ble	Essential resources, including qualified personnel are available internally Work is outsourced Data management activities are carried out haphazardly Data management is not a function of the M&E office	Select one	
			Inventory of all MIS at the Ministry/ State level are available with the office	Office maintains an updated list with details of all MIS and monitors them Office has a list of all MIS There is no list detailing all MIS	Select one	
			There are guidelines to doc-ument the procedures for re-cording, collecting, collating, and reporting rou-tine data from various Moni-toring Information Systems	Office has guidelines in place to use MIS data for preparing reports and follows them Office regularly uses MIS data for preparing reports Office doesn't use data from various MIS in the Ministry/ State	Select one	
			Data from M&E office is used in policy making/ pro-gram design and implemen-tation, public discourse	Important databases/ MIS at Ministry/ state level are monitored by M&E office, data is integrated and used for providing inputs M&E office maintains its own monitoring databases for providing inputs M&E office produced evaluation/ research data is used for providing in-puts Office doesn't use databases/ data or doesn't provide inputs	Select one	
		Research studies	Inventory of all evaluative and other studies conducted/ ongoing exists in the organi-sation	Inventory with details of studies is regularly updated and published on website Inventory is maintained, but not published on website Inventory is not upto date No inventory has been made	Select one	
			Protocols/ methods for the studies are available	Protocols/ Methods for all studies are available in the reports Available for some studies in the reports Not available Other	Select one	

					Select
			There is an inventory/ register/ database that is complete with details of research organisations (organisation profile, physical address, telephone, email contact, contact person)	Updated inventory is available Inventory is available No inventory exists	Select one
			There is a mechanism for including new institutions or entrants undertaking research and evaluation	Additions to and removals from the inventory happen on a regular basis Additions/ removals happen every few years No changes have been made since the inventory was prepared No mechanism for changes exists No inventory exists	Select one
			Organization-specific research agenda exists	Research agenda was made in consultation with TWG/ advisory group and is adhered to Research agenda exists and is adhered to Research agenda exists but is not adhered to No research agenda, but research activities are carried out No research activities are conducted	Select one
			There are organizational forums for dissemination and discussion of research findings	Dissemination of research within the Ministry/ State government is done, discussions are held Research is shared, but not discussed Research is shared on demand No forums for dissemination or discussion exist	Select one
		Audits	Data quality audits, process audits, internal audits, etc. are performed within the M&E office for course corrections	Audits are a regular, annual process Audits are conducted every few years Audits have not been conducted	Select one
			External audits of the M&E office are conducted for performance monitoring	External audits are done by statutory bodies (Parliamentary/ legislative committees, CAG, etc.) External audits are conducted by expert institutions External audits are conducted by Ministry/ Departmental teams	Select one

			M&E office undertakes routine supervision visits, audits, etc. as part of its functions	Routine field/ supervision visits are undertaken as per annual work plan and research agenda Visits are done as per demand Visits are done irregularly Visits are not part of mandate/ resources are unavailable	Select one	
			Annual report of the activities of M&E office is available	Report is prepared every year and published on website Report is prepared but not published Report is not prepared	Select one	
E	Organisational Performance					
		Effectiveness	number of studies planned and completed in past 5 years	Year wise - planned, commenced and completed studies		
			number of reports planned and published in past 5 years	Year wise - planned, prepared and published reports		
			number of dashboards maintained by the office	Total number of dashboards/ MIS maintained by M&E office		
			number of MIS monitored, data collated from, by the office	Total number of monitored MIS		
			Number of MIS, project proposals, M&E plans for which the unit gave inputs to in the past 5 years	Year wise - numbers of MIS, project proposals, M&E plans		
		Financial performance	What were the budget estimates, revised budget estimates and actual expenditure amounts of the unit in past 5 years	Year wise, head wise - BE, RE, AE		
		Efficiency	Total expenditure on studies in past 5 years	Rupees lakhs		
			average expenditure per study	Rupees lakhs		

			how many studies were conducted in planned timelines in past 5 years	Number of studies started and completed as planned		
			what was the average delay in completion of studies in past 5 years	Average delay in months in completion of studies from planned end date		
		Relevance	How many studies were demanded by the Ministries/ State/ department in past 5 years,	Number of studies conducted on demand		
			How were the outputs of these studies received by the Ministry/ State/ department?	Outputs received positively, corrective measures initiated immediately Outputs received positively, corrective measures contested/ delayed/ not taken Outputs not accepted	Select one	
			Are the activities at the unit increasing or decreasing in past 5 years?	Increasing Almost constant No definitive trend Decreasing		
		Impact	For how many studies are Action Taken Reports available?	No. of ATRs available with M&E office -		
			Cite incidences of Policy changes through M&E outputs of the office	Cite examples		

Annexure 2: Form for Preliminary information about M&E offices

	Question	Response
1	Name of Ministry/ State	
2a	Name of the head official of planning department/ division which oversees monitoring and/or evaluation function in the Ministry/ State	
2b	Designation of head official	
2c	Official mail id	
2d	Office phone number	
3a	Name of concerned department/ division/ directorate/ office entrusted with monitoring and/or evaluation function	
3b	Name of the office/ unit performing M&E function	
4a	Name of head official in M&E office/ unit	
4b	Designation of head official	
4c	Official mail id	
4d	Office phone number	
5	How many schemes/ programs/ projects are monitored by M&E office?	Attach list as annexure, with link to the MIS
6	How many evaluation studies have been conducted by M&E office in past five years?	Attach list as annexure, with complete name and year of study
7	Provide available documents about the M&E office (Annual reports, guidelines, policies, Government Orders, legal provisions, cabinet notes, etc.)	Kindly attach as annexures
8	Provide complete, updated information **about M&E office only,** in RTI Section 4 (1) (b) proactive self-declaration formats[16]	Attach requested article-wise manuals as annexure(s)[17]
8a	Particulars of its organization, functions & duties	Attach manual (i) as annexure
8b	Powers & duties of its officers and employees, with table of sanctioned, filled, and vacant posts	Attach manual (ii) as annexure
8c	Procedure followed in decision-making process, including channels of supervision and accountability.	Attach manual (iii) as annexure
8d	Rules, regulations, instructions, manuals and records, held by it or under its control or used by its employees for discharging its functions	Attach manual (v) as annexure
8e	Statement of boards, councils, committees and other bodies constituted as its part or for purpose of its advice (esp. evaluation advisory board/ committees)	Attach manual (viii) as annexure
8f	Budget allocated, indicating particulars of all plans, proposed expenditures and reports on disbursements made	Attach manual (xi) as annexure

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[16] Since information under RTI Act Section 4 (1) (b) should be available with the superior office, or the M&E office itself, kindly update it and provide information regarding only the M&E office.

[17] Manuals refer to the documents under each article/sub-clause (i to xvi) of Section 4 (1) (b).