

# STATE OF INDIA DEVELOPMENT EVALUATION

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## **INSTITUTE FOR HUMAN DEVELOPMENT**

NIDM Building, IIPA Campus, I.P. Estate, M.G. Marg, New Delhi-110 002

Tel: 23358166, 23321610; Fax: 23765410;

E-mail: [mail@ihdindia.org](mailto:mail@ihdindia.org); Website: [www.ihdindia.org](http://www.ihdindia.org)

## PREFACE

The regime of economic growth and high public expenditure in India has propelled the need for effective monitoring, evaluation and accounting systems in the country. The need for independent evaluation studies and strengthening institutions and research organizations which can conduct development evaluation is paramount in today's context.

The present study titled "*India: State of Development Evaluation Report 2010*" was carried out by the financial grant received by Institute for Human Development (IHD) from International Development Research Council (IDRC). We wish to express our sincere thanks to IDRC for entrusting the Institute with the responsibility of carrying out the study. The study relied on qualitative methodology and the emphasis has been more on case based understanding of some purposively identified consultations/interviews.

This study intends to provide an overview of the status of development evaluation in India. The major objective of the study is to provide evidence-based analysis on the present state of development evaluation processes and systems in India to inform various stakeholders involved in development evaluation. The state of evaluation in the report is informed by the interviews of distinguished officials of State and Central Governments, Rural Development Institutes and Research Organizations conducted across 13 states of India. We hope that this study will be a meaningful contribution towards understanding the state of development evaluation in India. We are extremely thankful for the immense cooperation received from various stakeholders in the course of the study.

A primary issue of development evaluation in India that emerged from the study is that institutions which conduct development evaluation are under-staffed. Highly competent staff proficient in developing the right survey tools is indispensable for good quality evaluation. We learned that there is need for better training and sensitization of staff and augmenting capacity of evaluation systems and stakeholders as well. For external agencies conducting evaluations, interpersonal skills of staff conducting evaluations are crucial as there was increasing concern that government departments do not fully cooperate with external evaluators.

Another key problem of monitoring and evaluation is budget and financial allocation. A key point raised by stakeholders is that there is a danger that the process of evaluation is becoming completely government oriented as is usually the practice in recent times. For independent and unbiased outcomes, conflict of interest needs to be avoided and the matter needs to be managed, utilized and interpreted with caution.

The feedback mechanism needs to be strengthened to incorporate the results of the evaluation study in the planning and implementing process and care should be taken to avoid inordinate delays in completion of studies, often cited as one of the stumbling blocks on the path to effective evaluation. A dedicated Evaluation Policy may be one of the ways to institutionalize the process and facilitate effective evaluation.

IHD has privilege to engage experts who were chosen to evaluate evaluation reports. We would like to put acknowledge the valuable contribution of Prof. S Madheswaran, Prof. R.S. Deshpande, Prof. Surjit Singh, Prof. Indira Hirway, Prof. Ravi Srivastava, Prof. Ajit Kumar Singh, Prof. P. P. Ghosh, Dr. SumitMazumdar and Prof. Rajesh Shukla.

Finally, I would like to acknowledge the sincere efforts put by IHD research and field team for completing the study.

**Alakh N. Sharma**  
Director  
Institute for Human Development

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## Chapter - 1

### INTRODUCTION

#### 1.1 Why this Study - Need for Development Evaluation

Development efforts must be examined through impact evaluations of the programmes and initiatives that are meant to produce them. In India, as early as 1952, the Programme Evaluation Organisation (PEO) was instituted by the Planning Commission based on a recognized need of evaluations of public social development programmes. Evaluations are commissioned by many levels of government on a consistent need but there is a critical need to assess where all the public money being spent on it is going, to review if the commitment to evaluation and development impact is more rhetoric or action. Evaluators of public schemes consistently list limitations of low sample sizes, lack of baselines, lack of control groups, and non-representative sampling, all indicators that the impact evaluations lack adequate planning and resources. The Planning Commission's own Working Group on Strengthening M&E Systems for Social Sector Development Schemes (2001) even lays out glaring gaps in the implementation of evaluations in its 39 recommendations for improvement, from over-generalized and generic objectives, to diversion of monitoring staff to other divisions, to concealment of shortcomings and manipulation of data (Mathew and Sprague, 2010).<sup>1</sup>

Besides, it has been rightly noted that, "Monitoring and evaluation serves the purpose of bringing information to the forefront and making changes in the existing system of delivery and planning to ensure results only if important considerations are made. There are many aspects involved in the evaluation and monitoring of a project and none can be ignored if we are to ensure an effective and relevant evaluation. It is a difficult choice to make while planning an evaluation as to which elements should be given priority and considered."<sup>2</sup> Evaluation can be a powerful tool to improve the ways governments and organisations perform and achieve results, not just for the public sector, but also for civil society, non-governmental organisations, and donor

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<sup>1</sup> See Elizabeth Mathew and Joanne Sprague (2010), 'Impact Evaluations and Public Sector Programs in India: What Can we Do *Right Now?*', *India Review*, Vol 9, No.2, April-June, pp.230-265,

<sup>2</sup> Sharon Weir and Payal Mulchandani (2011) 'Monitoring and Evaluation for Social Development', *India CSR – Corporate Sustainability and Responsibility*, October 24, accessed at <http://www.indiacsr.in/en/?p=2893>



organisations that seek to support development among the poor (Imas and Rist, 2009)<sup>3</sup>.

The need for evaluation of development intervention cannot be overemphasized, especially in the context of countries like India that has been off late looking for an “inclusive growth path”. Evaluation can effectively inform the future strategies for development in several ways. Firstly, evaluation findings can be used as key inputs towards resource allocation during the processes of planning, decision-making, prioritising and particularly during budget preparation. Secondly, evaluation helps result-based management of programmes and projects. Thirdly, evaluation helps management of accountability through reality testing and open dialogue about evidence, thereby enhancing the governance capability of the intervening agency. Finally, evaluation helps measure development effectiveness in demonstrating the extent to which development intervention has been successful. It thus facilitates estimation of “rate of return” on investments – albeit qualitatively – in development intervention made out of tax-payers’ or donors’ money – be it domestic or from other countries and helps identification not only of sectors to be freed to private sector or civil society interventions but also those to be kept primarily within the domain of public interventions. Designing of effective mechanisms for private-public-community partnership (PPCP) is also contingent upon evaluation of interventions made so far.

## **1.2 What questions does this study seek to answer?**

Against the issues mentioned above, the present study titled “**India: State of Development Evaluation report 2010**” intends to provide an overview of the status of development evaluation in India. The background of this study was an interrogation of questions like

- What are the important drivers of demand for development evaluation?
- How did such drivers change over time with changes in development paradigm and/or socio-political scenario?
- What have been the organizational changes – in public sector as well as in private sector [in response to corporate social responsibility] along with the

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<sup>3</sup> Linda G MorraImas and Ray C Rist (2009) *The Road to Results – Designing and Conducting Effective Development Evaluations*, The World Bank.

changes observed among those from civil society engaged in development evaluation [NGOs] – in response to the changed pattern in demand for development evaluation? An associated and crucial query is what have been the associated changes in particular organizational capacities – both qualitative and quantitative — for development evaluation? How does organizational capacity relate to broader capacity in the research setting around evaluation supply? For example what is the state of evaluation curriculum and formal / informal training in evaluation in India?

It is imperative today to seek to understand if evaluation studies provide any effective input for designing subsequent programmes and policies taken up by government, private sector enterprises and civil society organisations for development interventions? The effectiveness of development evaluation may be considered from two distinct perspectives – the inputs may not be relevant for future planning or the inputs, even though effective, are not utilized for future planning due to several possible reasons. We need to ask what are the existing gaps between contributions expected from development evaluation professionals and what they deliver today from the perspectives of those engaged in development interventions. What has been the role of civil society organisations in contributing to the field of evaluation, particularly in creation of demand for evaluation results and modifying development policies in India? Have non-state stakeholders occupied the space left vacant by PEO and the SEOs both in demanding and/or conducting evaluation studies? If yes, have evaluation exercises carried out by the non-state actors provided necessary information to the overall development intervention process?

With the questions at the background, the general objective of the study is to ***provide evidence-based analysis on the present state of development evaluation processes and systems in India to inform various stakeholders involved in development evaluation***. The specific objectives are to undertake diagnostic analysis to identify the present state of demand and supply side strengths and weaknesses in the delivery mechanism of development evaluation in India through:

- Identifying the users/demanders of evaluation;
- Capacity audit of the key agencies engaged in development evaluation to understand the state of supply; and

- Initial analysis of other dimensions of the field of evaluation in India (including availability of evaluation training / curriculum) and initial exploration of the challenges and opportunities around evaluation use.

In its endeavour to achieve its objectives, the proposed Report is engaged in

- Identifying potential factors that influenced development evaluation in India over time
- Identifying the contributions of major stakeholders in creating demand for development evaluation and their respective interests in the process not only in terms of making effective use of the lessons learnt from evaluation studies, but also developing and adhering to strict standards of evaluation.
- Identifying the problems that confront development evaluation in India today.

The state of capacities of evaluation systems managed by different stakeholders was determined by some key variables. The key variables that emerged are:

- Staff Strength of the evaluation agency
- Extent of financial resources available to the evaluation agencies as percentage of the funds available for intervention
- Number of evaluation studies done and the regularity with which they were carried out
- Outsourcing of Studies and in-house evaluation
- The nature of interface between planning, implementing and evaluating agencies to facilitate the feedback mechanism
- Development evaluation capacity: Capacity Development, Training and Constraints
- Contribution of development evaluation towards the improvement of the performance of projects/programmes in Ministry.
- Need to enhance and reform quality of existing capacity of Non-Governmental Institutions

### 1.3 How did it do so - Methodological Challenges?

The sampling framework had been designed in consultation with the members of the designated advisory committee on methodology to facilitate collection of primary data from the stakeholders on both demand<sup>4</sup> and supply<sup>5</sup> side of development evaluation. Information on development evaluation was collected through interviews from Central Ministries, state governments, research organisations and non-governmental organisations. The research team at Institute for Human Development (IHD) established contact with all major stakeholders at every level by engaging them through structured discussion.

The methodological emphasis has been more on case based understanding of some purposively identified units and *Meta Data Evaluation* to see if the studies adhered to the standards of evaluation (best practices) in terms of “quality” and methodological rigour, if they properly answered evaluation questions and were useful to the users of evaluation results.

During the course of primary data collection some *methodological challenges* were encountered that consisted primarily of unwillingness to share information from those from whom it was being sought, especially from the central government ministries. Detailed quantitative information on evaluation capacity, expenditure, training, output and use of evaluation findings as sought in the structured questionnaires could not be gathered for a large number of sample respondents, partly because of lack of

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<sup>4</sup> *The major stakeholders of development evaluation identified under the demand sides include* Central Government Ministries engaged in development intervention, Planning Commission, Planning Departments of the State/ Union Territory Governments, Bilateral and Multilateral Donor Agencies, UN Agencies engaged in development intervention and finance, International funding agencies providing supports to Civil Society Organizations Corporate sector entities engaged in development interventions under corporate social responsibility, Civil Society Organizations engaged in development interventions, etc.

<sup>5</sup> *The major stakeholders of development evaluation identified under the Supply demand side include* Monitoring and Evaluation Units of Central Government Ministries engaged in development evaluation; Captive research institutions of different Central government Ministries: NIRD, NCERT, NIHFW, Agro-Economic Research Centres funded by the Ministry of Agriculture and Co-operation; Programme Evaluation Organization (PEO) of the Planning Commission; Comptroller and Auditor General of India; Evaluation Organizations managed by the State and UT governments – their nomenclatures are not identical across the states; Captive research institutions of different state government Ministries: SIRD, SCERT, Tribal Research Institutes; Autonomous research institutes managed by Indian Council for Social Science Research (ICSSR); Reputed professional institutions – IIMs, IITs, NCAER; For Profit Professional Evaluation Organizations; Not for profit civil society based Evaluation organizations, etc.

organised evaluation activities in most cases and largely because of unwillingness of respondents to part with details of quantitative information for public consumption. This study has reflected, therefore, qualitatively on the evaluation activities, capacities and demand for both the central and state agencies along with research organisations. Such a deviation from the methodology developed in the earlier study is warranted due to non-existence and/or non-availability of structured set of comparable information from the relevant respondents.

Besides the methodological emphasis in the meta-data evaluation was to see if the studies adhered to the standards of evaluation (best practices) in terms of “quality” and methodological rigour, if they properly answered evaluation questions and were useful to the users of evaluation results.

#### **1.4 Organization of the Report**

The report is organized in six chapters followed by annexure. The first chapter ‘*Introduction*’ is the introductory chapter which discusses the need for development evaluation, objectives of the study and the methodological challenges faced in conducting the study. The second chapter ‘*Overall Findings*’ discusses the overall findings which primarily emerged from the interviews with various stakeholders. The third chapter ‘*Development Evaluation in Central Government Ministries/ Planning Commission*’ deliberates on the development evaluation experiences of several ministries and Planning Commission. The fourth chapter ‘*Development Evaluation in State Governments*’ deals with the development experiences of various departments of 13 states. The fifth chapter ‘*Development Evaluation in Research Organisations*’ discusses the development evaluation experience of research organizations. The concluding chapter ‘*Key Observations and Recommendations*’ summarizes the key observations and recommendations as suggested by various stakeholders for improving the system of development evaluation in the country.

## **Chapter -2**

### **KEY FINDINGS**

#### **2.1 Staff Strength of the Evaluation Agency**

Generally, it was reiterated that well trained and dedicated staff is indispensable for conducting evaluations. There are government departments, for example the Ministry of Rural Development that has a separate cell to cater to its evaluation needs which is headed by a Chief Evaluation Advisor (CEA) who is drawn from Indian Economics Services (IES). This cell also has good support staff and technical capabilities. Nonetheless many evaluations are outsourced and this leads to the basis for a need for further enquiry as to why.

An official from the Ministry of Rural Development also pointed out that there was a Research Advisory Committee of each Programme division of the Ministry which funds and approves research projects including evaluation; there was a separate economic and monitoring wing within the Ministry whose main responsibility is to conduct monitoring and evaluation studies periodically; and for each evaluation under this wing, a technical advisory committee was formed having at least one expert from outside. The committee suggested the research methodology, sampling and terms of reference at initial stage. Thus there have been examples where trained and qualified staff is seen to be overseeing the government evaluation process, at least on paper.

The right training and sensitization of staff conducting development evaluation is essential. As was evident all over of one of the biggest problems with evaluation studies is the available quality of staff and personnel to do these studies. Most of these staff members do not know how to distinguish between a TOR and a Concept note. If the TOR is good then fifty percent of the work of the evaluation is already done.

Having competent staff alone is not enough. The staff also needs to be proficient in developing the right survey tools. On closer examination it is seen that nearly half of the questions asked in the evaluation questionnaires are irrelevant.

In Tamil Nadu current staff levels (current staff of 38, out of a sanctioned staff strength of 65, which had not been filled due to administrative reasons) were limiting

DEAR to a maximum capacity of about 20 reports per year, despite growing government demand for evaluations. This had led to outsourcing of a number of evaluations to independent institutes and NGOs. It was stressed that the only way of meeting the challenges ahead and of improving the quality of evaluations was by giving importance to staff experience.

While the Tamil Nadu State Planning Commission (SPC) used to insist it needed different kinds of experts in-house, the preferred approach now was to keep a basic statistical and economic-based staff strength available, while turning to outside experts for more specific assignments, in an effort to remain 'lean' and flexible. Although SPC outsources evaluations, while also improving in-house capacity in all its divisions, it has traditionally been very difficult to recruit people from within government to work on planning and evaluation issues, as *this was not a preferred focus area of many government officials*.

There were complaints voiced regarding other actors in the field of evaluation, that often 'big names', generally end up not devoting the required amount of time on the assignment, which becomes a big problem in terms of maintaining quality standards. In addition, there was a tendency among many providers of evaluation services to attempt to add retired staff onto the projects. A specific problem related to studies outsourced to academic institutions also was that some study teams showed an inclination to start collecting data on parameters unrelated to the objectives, which sometimes leads to loss of focus, and deviation from the ToR, and can be exacerbated by having too many team members from too many different disciplines involved.

Inter-personal skills of staff conducting evaluations are also a crucial element. In Andhra Pradesh there was expressed concern that some government departments may not fully cooperate with external evaluators, unless the officer in charge had a personal rapport with the researcher involved. This often led to questions about the quality of their data collection. In addition, as an official of the Regional Evaluation Office pointed out that most of the REO officers had prior experience working in other government departments, which had familiarised them with the respective data and the way it was being stored, thus facilitating easier access to specific information required for an evaluation.

Thus staff strength must be increased. There were many unfilled vacancies at the officer and sub-staff level, from Economic Investigators (EIs) to Economic Officers (EOs) to Research Officers (ROs) and the capacity of the PEO & REOs should be increased to keep pace with the growing need for evaluations. Officials in Haryana also complained about the shortage of staff.

In Rajasthan a distinguished official of Evaluation Organization, Govt. of Rajasthan, pointed out that, although they conduct government's evaluation studies for various departments but due to staff shortage they could not meet all the demands for evaluation. Many of the schemes are outsourced to private organizations for evaluation by various departments. According to the official the organizational strength should be increased so that they could perform maximum studies. Moreover, the officials there are deputed for relevant courses as per the schedule, but it's a general training not evaluation specific. Besides, at the Department of Agriculture in Rajasthan the officials admitted that there is a shortage of staff and fund in the evaluation and monitoring department. For an instance TA (travelling allowance) is not provided to the field investigators.

In West Bengal, since the past 4-5 years recruitment had been stopped. The technical staff had retired and it is a burden on those who are here. There is a Research Officer and a Senior Research Officer but no Deputy Secretary, only Joint Secretary. The absence of trained staff leads to a lot of problems. For example, the exact words of an official of Evaluation, Monitoring and Manpower division, Department of Planning and Development of the Government of West Bengal, were "If I say 'stratified sampling' there is no one here who will understand what I am trying to say." There is extra effort thus needed to explain what needs to be done so that the processes and the outcome can be easily understood and accordingly action can be taken.

In Kerala, an officer of the Evaluation Division mentioned that they had their own Evaluation Division within the Kerala State Planning Board but that they were grossly understaffed and that they had just put out an advertisement for outsourcing evaluation studies.

At the Delhi Office, an officer of the Evaluation Cell, Planning Department, Govt. of Delhi, pointed out that there were only two staffs working under evaluation cell.



There was an acute problem of staff shortage, which had been brought into notice but no any fresh recruitments had been done so far.

Besides, when it comes to the qualifications of evaluation staff, analysis of cost effectiveness – which was very important to the government and funding agencies – was a very specialised skill often missing from the portfolio of social scientists. Also there was a general lack of detailed field knowledge among many consultants, which was essential for most development evaluations. In addition, there was a shortage in specialised technical skills, such as creation of databases and digital data management, as well as a lack of evaluation-specific research skills.

## **2.2 Extent of Availability and Usage of Financial Resources**

Budgeting and financial allocation for monitoring and evaluation has emerged as the key problems are for central government departments. The Department of Higher Education in the Ministry for Rural Development had no separate budget head for evaluation and thus as such undertook no evaluation or impact studies of institutions and/or the regulators. As officials pointed out, “Wherever schemes or programmes are implemented, internal review for ensuring effective outcomes and deliverables are carried out by the respective Bureaus as a regular activity.” Besides, externally aided projects were reviewed by the concerned funding agency.

The state of Karnataka had strict guidelines in place that laid down that the cost of evaluation was to be 1per cent of project cost subject to an upper ceiling of Rs 5 lakhs. Strictures like these ensured that there was a budget forcibly allocated towards development evaluation. Besides, as an official of the Karnataka Evaluation authority pointed out the problem today is that with the increasing proliferation of schemes and the huge amounts of money being allocated to keep them running it becomes difficult to see whether and how they are running properly.

In Bihar, officials stated that with respect to evaluation studies, earlier overseas grants used to go directly to the civil society and the NGOs and the donor agency conducted internal and external evaluations. Now the grant component has become less and all funds are coming through government so the process of evaluation has become completely government oriented. The government is now using the civil society and NGOs in the form of a contractor and not as a partner according to officials. “The evaluations conducted have no correlation with the activity on site and are an

eyewash. Evaluation is for certification and there is selective evaluation undertaken by the government to project itself.”

### **2.3 Frequency and Management of Evaluation Studies**

In all interviews and questionnaires it was seen that the regularity stated of evaluation studies conducted was periodic and the time taken for completion ranged from 3 months to 2 years. A delay in completion of studies was often cited as one of the stumbling blocks on the path to effective evaluation.

It has been seen that despite the existence of an in-house monitoring cell and internal review mechanisms, Government Departments like the Department of Higher Education, (MoRD) assigned many schemes for evaluation to the PEO and also had its own autonomous bodies like EdCIL, NUEPA including NCERT which undertook evaluation studies. The Department of School and Education Literacy does not have its own evaluation division but ensures that rigorous and regular ‘monitoring’ of its programmes like the Sarva Shiksha Abhiyaan (SSA) through other organisations like the PEO, NCERT etc. Often institutes of social sciences and universities are entrusted with the responsibility of conducting statutory and annual financial audits and concurrent financial reviews, independent review missions on program progress and field level monitoring of government programmes. On the other hand the Ministry of Health and Family Welfare conducts in-house evaluations.

Senior officials interviewed have repeatedly stressed on the importance of transparency and accountability. For example according to an official, at the Ministry of Rural Development, “an independent and un-biased outcome cannot be achieved through in-house evaluation.”

The KEA has laid down very good replicable regulations to be followed in case of in-house evaluation. There are: - Any evaluation taken up by the line departments from their own resources shall be referred as an internal evaluation; as there is a conflict of interest in such cases the same needs to be managed, utilized and interpreted with caution; it shall be mandatory for all the line departments to take advice from the KEA on TOR, data collection tool, methodology, vendor/outsourcing agency selection and all other technical matters pertaining to the internal evaluation and follow the rules, procedures etc. prescribed by the authority; the department may earmark 1% of the plan fund for such evaluations; in a year all the departments

together may take up 40-60 such evaluations; KEA will monitor the progress of such evaluation and will receive and safe upkeep in archives all TORs, data tools, soft copy of the data collected and reports etc., for future use.

In Tamil Nadu while the DEAR focuses on evaluation in the fields of agriculture and agricultural engineering, in addition to education, health, and forestry, the department solicits consultancy assistance from the concerned departments, especially with regard to technical inputs and field-related training related to evaluating a particular scheme. However, it was noted that previous experience had shown that outsourced studies did not always meet expected quality criteria; as a main reason for this, the official identified the institutional constraints faced by third parties (such as NGOs) in collecting secondary data from the concerned departments, which would sometimes not cooperate with non-governmental evaluators. Even for collecting field data from beneficiaries, they would often require government assistance in providing access.

At the Andhra Pradesh State Planning Department, most of the evaluation studies were outsourced, due to capacity and time constraints. However officials noted that difficulties arose in the procurement process for outsourced studies, the process was too time-consuming and beset with problems like the absence of information on particular institutes' capacity or their pricing policy.

In Haryana, an official of the Department of Economics and Statistical Analysis suggested that the senior bureaucrats prefer outsourcing the evaluation studies rather than expanding the in-house capacities.

At the West Bengal Development Planning Department till now all the work done has been in-house and nothing had been outsourced. In Bihar, the Planning Department had a specialized Directorate of Evaluation which outsourced evaluation studies and approved them on completion. This department had hired external consultants to assist them in managing the process from the Request for Qualifications for the evaluation study up to the approval of the completed studies.

As far as actual evaluations are concerned, the UNICEF outsourced them to third parties, mostly freelancing consultants. However, among those, only a small percentage were what could be classified as 'evaluations' (and those were usually commissioned and managed by the Delhi office), since they rarely included the collection of baseline data.

## 2.4 Interface and Feedback Mechanism

Regarding the feedback process & use of evaluation reports, there seemed to be a consensus among the interviewees, particularly as emerged in the state of Tamil Nadu, that the reports are generally kept in-house and confidential. Findings would be forwarded to the concerned line departments, whose secretaries would then be responsible for taking up the reports' recommendations. Very little feedback on whether and to what extent this was being done in practice came back to DEAR.

At the Andhra Pradesh State Planning Department, an official when asked about the use of evaluations by the state government, said that there was no set formula by which the results were introduced into the planning process. "In general, studies trigger a report and a presentation, but it depends on the Chair of the respective committee to what degree they would like to assimilate the results." It was opined that in general, government's tendency to use these reports is increasing, in part due to the hiring of more qualified personnel throughout the various departments. The official stressed that, in general, short-term studies (completed in 3-6 months) produce better assimilation, whereas studies which take 2-3 years or longer often lead to fatigue within the concerned department, complicated by frequent staff turnovers.

There were recommendations that the Planning Commission should improve its method of publishing reports by making them available according to subject areas – this would also improve the quality standards of evaluations in the future by making the process more transparent.

At the Hyderabad Regional Evaluation Office(REO) the official pointed out that public authorities and governments often don't give evaluations the importance they deserve, and that, apart from centrally sponsored schemes which were being implemented under a specific Act, the quality of implementation and responsiveness to evaluations often depended on the respective state governments – as an example, it was mentioned the REO's findings about the implementation of SSA, which had found vast differences regarding its effectiveness between various states and regions, and sometimes within states. It was stated that often the quality of the respective evaluation would be determined to a large extent by the willingness of the state government to cooperate (by providing access and relevant data), as well as the

capacity and inclination of the concerned line departments – many of which maintain specific monitoring wings tasked with data collection for particular schemes.

At the Department for Agriculture in Rajasthan once the evaluation is done, the department prepares booklets of fact-findings and it is sent to Additional Directors to act upon the fact findings. For example after the implementation of the scheme “60 Hajjar Delhan” (under this scheme gram seeds were distributed among farmers), an assessment of the production was carried out and if there was a shortfall in the expected production, a study was conducted, reasons for the shortfall were investigated and a report was prepared under additional directors. Once the findings are out, there is also a mechanism to disseminate the output of assessment. Area-supervisors are informed about the reasons of the shortfall in the production, which are further disseminated among farmers by them

The root problem was the frequent disconnect between academic research and policy making, due to lack of issue-based focus and easily implementable recommendations. There is need to strengthen academic institutions in order to improve the timely delivery of evaluations and to develop a clear roadmap for research. There is the widespread lack of a systematic agenda for research, scarcity of resources, and the fact that, instead, many of the activities in the area of evaluation were driven by specific funding sources (whether from the World Bank, ADB, etc.), resulting in poor linkage of research with government programmes. In addition, there was a widespread absence of sharing of activities and research results in the Indian academic community, leading to duplication of efforts and missed opportunities for synergies between institutes.

Officials at UNICEF pointed out that it was the widespread resistance in government (and other agencies) to accept and act upon critical evaluation findings, which had produced various obstacles for researchers in the field, including the questionable reliability of data (citing as an example the recent controversy over malnutrition and the divergent picture of the situation given by NFHS sample survey data when compared against official state data).

## **2.5 Development Evaluation Capacity, Training and Constraints**

Manpower shortage has mostly been cited as the biggest obstacle in development evaluation capacity by many officials including those at the Ministry of Health and

Family Welfare. There is surprisingly even a noted level of overconfidence visible in such departments at the capacity of the existing officials leading to an expressed non-desire for capacity building programmes.

Other senior officials at MoRD stated the areas where improvement was needed according was academic credentials and training in research methods. It was crucial that the employees of the research organisations be well conversed and academically qualified for the tasks given to them. Secondly, training of officials periodically was necessary for skill development. “An improved organizational design and intensive capacity building can only lead to effective implementation of recommendations of any program evaluation system.”

Officials at the Ministry of Social Justice and Empowerment reported that the quality of research organizations that are available for evaluation is inadequate. They recommended that they needed a large research and evaluation unit within their ministry. At the Ministry for Women and Child Development it was suggested that financial training and awareness about systems and procedures need to be inculcated amongst evaluation officials.

In 2010 the Karnataka Planning Department developed a tool (March 2010) to collect information and consult departments why they are unable to implement their evaluation policy. The emerging issues or challenges confronting development evaluation in Karnataka can be broadly classified in the following categories –

- Administrative Dimension (Organisational Psychology)
- Technical (Intra Organisational ) Dimensions
- Technical (External to the Organizational) Dimensions (Agency)
- Issues in Financing and Tendering
- Programmatic limitations (Programme Design, Baseline, Indicators etc)

These indicators are also reflective of the shortcomings and problems faced in development evaluation all over the country.

Appropriate training of evaluation staff is also something that is usually neglected across departments. However in Karnataka there were best practices in this regard. There the Line Officers and the people who are to conduct evaluations at the KEA are

grilled on their job for nearly two hours which suffices like a semi-formal training. From the month of June 2012 formal training programmes were being implemented. The current KEA Office is preparing a 'Handbook in Evaluation Training' (draft is ready). There is a collaboration with the World Bank to bring together the best practices in development evaluation which will become a role model in India. In fact Karnataka is the first state in the whole of India to roll out such a program.

As an official of the Karnataka Evaluation Authority had succinctly noted, the other biggest constraint is that the government has no expertise. There is the need for a manual of better empanelment. There is need for capacity building even amongst NGOs. Most importantly, the Evaluation division and the work that is done by it, is not just any other normal division of the government. "It is intellectual work and the failures within it arise when/because the government fails to bring about an academic and government interface. When it is able to do so, then we have good governance."

At the State Planning Department in Andhra Pradesh, an official said that there was no dearth of money or initiative to do research work – what was lacking was the capacity to do proper M&E work – that kind of capacity was missing in the market. The concerned official said the Department did not have sufficient capacity to perform evaluations or M&E on its own – but for practical reasons, not due to financial constraints. It was not feasible or economical to employ a roster of specialists for a diverse range of fields. Rather, an inter-disciplinary team had been assembled over the last year, including an expert on institutional development, an expert on horticulture, on coastal regions, on vulnerability, women and child health, a full team on data analytics, etc. Most experts have been hired on a one-year contract basis; in addition, other consultants contribute on a part-time, short-term basis (30-100 days a year).

Besides, the general quality level of evaluations, apart from 15-20 big names in the country, was deemed to be quite low. There was a need to create reliable benchmarks for evaluations. There were suggestions that the GoI and the Planning Commission should become more involved in identifying potential evaluation agencies, and help establish broad pricing guidelines.

In West Bengal too most urgently capacity development was needed. Measures to enhance in-house capacity of staff were required; people were learning on the job but

that surely is not enough. There was honestly complete lack of orientation and focus when it came to addressing requirements of staff training programmes who will/do evaluation studies. At least a one-week in-house training programme was desperately needed.

In Kerala, the officers conducting the evaluations tried their best to incorporate the lessons drawn out into practice. They had held training programmes a few months back and there were plans to conduct more. But difficulties in getting orders cleared from superiors kept plans in pending.

In Assam, Training programmes are organized for capacity building of the officials. Chiefs of Division are trained at National University of Educational Planning and Administration, Delhi, while for Research officers and Assistant research officers training programmes are held at Assam Administrative Staff College, Guwahati, and National Institute for Rural Development, Hyderabad.

One of the biggest problems was the fractured methodology syllabus between different universities, which in most cases prepared students only with a limited array of skills necessary to attain their degree. This problem was compounded by the universal absence of post-graduate methodology courses for researchers in the field.

## **2.6 Effectiveness of Development Evaluation**

To improve the effectiveness of ongoing schemes, the recommendations of evaluations are incorporated. For example at the MHRD, schemes are modified based on internal review; suggestions on cost enhancement and nature of delivery are incorporated; and often schemes with similar outcomes are merged to avoid repetition. An official at the Department of Higher Education stated that development evaluation encourages schemes to move towards goals of universality and equity and urges deliveries in a time-bound manner. Through evaluation often many operational guidelines get ironed out. Besides, according to the official, “The periodic evaluation would help to modify the existing parameters of the schemes to harmonize with the overarching goals of access, equity and excellence.”

On the other hand, the recommendations of the in-house evaluations of the Ministry for Health and Family Welfare are used to improve the efficiency of programme implementation and the reports are also shared with the Planning Commission. An



official of the same Ministry also made a pertinent observation that development evaluations can be valuable only if they are conducted *independently*.

The fact that evaluation studies are further used for improvement in design and implementation of programmes is visible in the MoRD. Here, under the Sampurna Grameen Rojgar Yojana (SGRY) the evaluation study identified that the programme was not creating economic asset for the individual beneficiary that is why the programme shifted its focus on economic asset creation by providing housing instead of wage employment to the beneficiaries. Similarly, with respect to Swarnajayanti Gram Swarajgar Yojana, the output of two rounds of evaluation was used to design the new programme for National Rural Livelihood Mission. Thus the real challenge is converting the recommendations of evaluation studies into executable action points which concretely impact and improve quality of implementation. “While evaluation is at rarified level implementation has to be at the ground level.” This percolation of evaluation outcome from the top-down to the bottom is most crucial. The studies need to go deeper into reasons of tardy implementation of programmes and there should be measure whereby the normative points are translated into action points.

At the Ministry of Social Justice and Empowerment, once the evaluation study is finished, the report is submitted to the ministry by the concerned institutes. If recommendations get accepted they are recorded and considered for guidelines of the scheme when they are being restructured. For example the Post Matric Scholarship Scheme for Scheduled Caste in 2003 was revised in 2010 in terms of allocation. These are usually the processes through which evaluation feeds back into the execution of the developmental programmes. However officials also pointed out that the state government and the implementing agencies should be giving feedback to ministry on implementation of the schemes and its outcomes which does not come. There was also a noted observation and recommendation that for effectiveness there has to be a process of concurrent evaluation rather than the terminal evaluation for ongoing revision

At the Ministry of Women and Child Development it was specifically suggested that mid-term evaluation measures can help in mid-term corrective measures. Besides, the Department of Housing and Poverty Alleviation stated that the outcomes of evaluation studies were used there for further improvement in the design and

implementation of the programme. For an instance the guideline of SJSRY was revised in 2009 based upon the recommendations of the evaluation study carried out by Human Settlement Management Institute.

In the state of Karnataka currently the KEA puts up its evaluation studies to the Planning Department in front of the Chief Secretaries, which is then put forth to the KDP for effective mid-course changes in programme implementation. This kind of process is essential so that all evaluation work is utilized towards the purpose for which it was conducted. What is currently happening at the Karnataka state level does not even happen in the Central Government Ministries. Without such a feedback loop in place it would not be possible to incorporate the lessons of evaluation into future improvement. The biggest missing link in all evaluation work all over the country is the 'use' of Evaluation studies.

The Kerala State Planning Board believed a lot in transparency and put up a list of reports published by it since 2002, on its website.

At the Andhra Pradesh State Planning Department officials stated that the impact of evaluation studies, included improving resource allocation, altering programme components, or deciding to scrap a scheme altogether. Evaluations were especially important when the government needed to decide whether to convert a pilot into a regular programme.

There were suggestions that there should be more concurrent evaluations than just post-mortems: programme updates every 6 months may be more useful than a big report after 5 years.

Officials in West Bengal stated that there was need that quarterly meetings should be done of the concerned officials; status reports should be prepared on evaluation studies. There should be discussion on what are the obstacles confronting the proper conduction of evaluation studies in the state of West Bengal.

There were some extremely pessimistic opinions too as emerged from Bihar a distinguished member of the Institute of Social Sciences, said that the goal of development is poverty alleviation and removal of inequity; with that in mind it seems there has not been much success. Therefore, "when development itself has not been meaningful, how could the process of development evaluation have been meaningful". There are no tangible benefits in terms of change and improvement on

the basis of the development evaluation studies conducted.” An official of Industries Department and Secretary, Welfare Department, Government of Jharkhand stated that there had not been much done by the Planning Department in terms of monitoring and evaluation according to him. The evaluation process was not very extensive and there were concerns on capacity of evaluation

As an official at UNICEF succinctly stated, “evaluations in the social sector were beset by many challenges.” They require a combination of qualities and skills that are hard to find among consultants – on the one hand, the big consultancy firms, while possessing sufficient resources to enter a formal bidding process, as well as technical proficiency in filling out the bids, as well as conducting statistical analysis and evaluation of a programmes’ resource allocation, rarely had the required local and/or sectoral knowledge about the project they were actually evaluating, since their evaluation experience was usually heavily focused on the marketing sector; this led to a great amount of sub-contracting, which increases the cost of the evaluation itself, while not guaranteeing sustainable quality standards. Social science institutions, on the other hand, whose faculty were more suited to the subjects of many social sector evaluations, often did not have the time or resources necessary to respond to calls for proposals. This was a constant conundrum, and the main reason behind UNICEF’s and the government’s joint decision to forego evaluations for large programmes in most cases, and instead rely on periodic appraisals and quick feedback, based on field reports and immediate assessments.

## **2.7 Evaluation Division and Policy**

When it comes to development evaluation the state of Karnataka leads the way. Karnataka is the first state to set up the Karnataka Evaluation Authority which is analogous to that of Independent Evaluation Office of Government of India. The efforts of Government of Karnataka were appreciated by the World Bank, Planning Commission, GoI, UNDP and many other bodies. It had its own development evaluation policy in the year 2000, which was then revised in the form of the Evaluation Policy 2003 to cope up with the load of increasing number of schemes. In Karnataka rigorous processes to ensure effective evaluation were in place. Each line Department was to evaluate at least one important plan or non-plan scheme each year.

It was also laid down that progress in evaluation studies and key findings were to be discussed in the KDP meetings.

There was accountability also as State Evaluation Co-ordination Committee (SECC) (chaired by ACS) had laid down that no plan scheme should be continued beyond a plan period without evaluation and approval by the SECC. It is only when there is accountability that the evaluation can be effective. Here the principles and objectives of Karnataka Evaluation Authority (KEA) must be reiterated as they echo important concerns:

- i. Prescribing standards of policy and programme formulation, monitoring, evaluation and refinement.
- ii. Institutionalising enabled machinery backed by adequate financial resources and informed procedures to facilitate, supervise and enforce timely, useful and accountable evaluation.
- iii. Enhanced technical capacities within the departments of the Government and by the independent evaluation agencies to undertake and effectively utilize evaluation outputs for informed decision-making.
- iv. Enhanced Stakeholders' satisfaction through participation, transparency and accountability.

Besides as an official of Karnataka Evaluation Authority pointed out, there were certain reasons that led to the closing down of the Karnataka Development Evaluation Division. These reflected the pressing problems that beset development evaluation all over the country. The essential problem within most evaluation studies is that there is a difference between audit and evaluation as in reality the latter is more an evidence-based process. However, mostly those conducting audit end up mistakenly thinking that they are doing an evaluation.

According to an official at the Department of Economics and Statistical Analysis in Haryana pointed out that the evaluating agency should always be kept independent so that it can conduct impartial studies. Thus all the above points highlight the salient features of the state of development evaluation in India as we discovered them through our field work.

## 2.8 Meta Data Evaluation

In this study meta-data evaluation was carried out to gauge as to what extent the evaluation studies collected over the course of the field work were adhering to the standards of evaluation. Using Scriven's well known paper of 1969<sup>6</sup> as the starting point and taking cue from his 2007 paper<sup>7</sup>, features were adapted into a checklist that was made relevant to the Indian context for the present study with insights gathered from documents prepared for the purpose of meta-evaluation by UNFPA, UNICEF, ALNAP, IUCN and looking into evaluation standards prepared by American Evaluation Association, Swiss Evaluation Society and African Evaluation Association.

A sample of 110 evaluation reports from all those collected over the course of the field work were considered for meta-evaluation and sent to a team of eight experts. Through this meta-evaluation exercise it was attempted to glean out (best practices) in terms of "quality" and methodological rigour from the evaluation studies, to see if they properly answered evaluation questions and to check if they were useful to the users of evaluation results.

The results of the analysis are highlighted below in Tables 2.1 and 2.2 which are self explanatory.

**Table 2.1: Meta Data Analysis of Terms of Reference (ToR)**

S. No.	Indicators	Distribution of report (%)			
		Satisfactory	Unsatisfactory	Others	Total
1	Rationale of the evaluation is clearly defined	72.7	7.1	20.2	100
2	Use and users clearly defined	71.7	9.1	19.2	100
3	Scope and focus is clearly identified	62.6	16.2	21.2	100
4	Methodology specified	50.5	25.3	24.2	100
5	Roles and responsibilities of evaluators defined	27.3	31.3	41.4	100
6	Clear outputs, deadlines, formats specified	38.4	25.3	35.4	100
7	Expectations of the evaluating agency	25.3	9.1	65.6	100
8	Changes in ToR	16.2	2.0	81.8	100

<sup>6</sup> An Introduction to Metaevaluation, *Educational Products Report*, 2, pp. 36-38.

<sup>7</sup> *Key Evaluation Checklist*, The Evaluation Center, Western Michigan University, Kalamazoo.

**Table 2.2: Meta Data Analysis of Evaluation Studies**

S. No.	Indicators	Distribution of report (%)			
		Satisfactory	Unsatisfactory	Others	Total
1	Completeness of report	65.3	32.3	2.4	100
2	Quality of Executive Summary	69.7	18.2	12.1	100
3	Purpose of the evaluation outlined	73.7	22.2	4.1	100
4	Use and users clearly defined	64.6	29.3	6.1	100
5	Objectives of evaluation clearly defined	77.8	20.2	2.0	100
6	Quality of methodology	66.7	29.3	4.0	100
7	Considerations given to propriety and ethics	39.4	12.1	48.5	100
8	Evaluator values and bias outlined	28.3	22.2	49.5	100
9	The project/programme to be evaluated was clearly described	72.7	23.2	4.1	100
10	The role and contribution of different stakeholders clearly defined	41.4	37.4	21.2	100
11	Extent of Stakeholders/beneficiaries involvement	36.4	37.4	26.2	100
12	Quality of assessment of gender mainstreaming	27.3	12.1	60.6	100
13	Quality of assessment of capacity development	28.3	24.2	47.5	100
14	Quality of assessment of human rights	21.2	20.2	58.6	100
15	Evaluation enables to engage in evidence based policy dialogue	62.6	27.3	10.1	100
16	Quality of assessment of cultural issues	37.4	25.3	37.3	100
17	Quality of assessment of project/programme ownership	41.4	40.4	18.2	100
18	Quality of assessment of partnership and alliance building	34.3	28.3	37.4	100
19	Quality of assessment of results based management (RBM)	57.6	28.3	14.1	100
20	Quality of assessment with regards to relevance	73.7	21.2	5.1	100
21	Quality of assessment with regards to effectiveness	65.7	28.3	6.0	100
22	Quality of assessment with regard to efficiency	59.6	29.3	11.1	100
23	Quality of assessment with regard to sustainability	48.5	32.3	19.2	100
24	Quality of assessment with regards to impact	57.6	31.3	11.1	100
25	Quality of conclusions	70.7	23.3	6.0	100
26	Quality of recommendations	72.7	25.3	2.0	100
27	Quality of lessons learnt	74.7	24.2	1.1	100

## Chapter - 3

### DEVELOPMENT EVALUATION: CENTRAL GOVERNMENT MINISTRIES/PLANNING COMMISSION

#### 3.1 Key Observations

- Budget and finance are the key restricting factors as more often in most central government ministries there is no any separate budget head for development evaluation. Provision for monitoring and evaluation are included within the schemes usually.
- Transparency - Most departments were not able to provide a list of evaluation studies done.
- Use of evaluation - Inputs and recommendations are further incorporated in the ongoing schemes for enhancing their implementation and effectiveness; modification occurs based on the finding of internal review; whenever the scheme is revised either for enhancement of costs or in the nature of delivery/implementation, major suggestions are incorporated at this stage (at times schemes with similar outcomes are merged).
- Quality and quantity of staff - Due to manpower shortage many studies are being outsourced with a technical nodal agency; there is no capacity building programme held for the officials working in the evaluation cell of the department. Capacity with respect to both in house and outsourced man power is major issue of concern
- In-house vs. outsourcing - Many officials held that development evaluations can be effective for betterment of schemes and their implementation only if they are conducted independently. But in the field we found that most departments preferred not to conduct in-house evaluation studies at all and almost all the studies were outsourced. There is a separate economic and monitoring wing within many Ministries whose main responsibility is to conduct monitoring and evaluation studies periodically. But most of the programme evaluations are either outsourced through bidding or carried out by Planning and Evaluation Organisation, Planning Commission.

- Procedures - Major evaluation constraint was the existence of long drawn and cumbersome procedures.
- Improvement was needed in academic credentials of staff and their training in research methods and for skill development. It was crucial that the employees of the research organisations be well conversed and academically qualified for the tasks given to them.
- Problems - The major issue with the evaluation studies is that it does not result in execution and does not have impact in terms of improvement in quality of implementation. While evaluation is at rarified level implementation has to be at the ground level. The quality of evaluations needs more improvement; moreover evaluation does not seem to go deeper into reasons of tardy implementation of programmes. The normative points are not translated into action points. Evaluations need to go into concrete recommendations and implications. Also it should be dealt with that how should the implementing organizations be engineered and what are the financial implications of the same.
- The implementing agencies should be giving feedback to ministry on implementation of the schemes and its outcomes which does not come. For effectiveness there has to be a process of concurrent evaluation rather than the terminal evaluation for ongoing revision. But for that a large research and evaluation unit needs to be established at first place. There is urgent need of strengthening the Monitoring and evaluation Unit.
- Evaluations are crucial in maintaining transparency and accountability. Besides, mid-term evaluations also helped in mid-term corrective measures. However the crucial areas where Institutions needed improvement to deliver quality evaluation results were training and capacity building, financial training, and awareness about systems and procedures.

### **3.2 Ministry for Human Resource Development (MHRD)**

In order to assess the state of development evaluation in the Ministry for Human Resource Development, IHD conducted an interview with a distinguished officer of the Department of Higher Education, MHRD. On being asked whether any fund is allocated specifically for monitoring and evaluation by the department, it was pointed



out that there is no any separate budget head as provision for monitoring and evaluation are included within the schemes but in the Department of Higher Education, budgets are allocated to Central Universities, Technical Institutions either directly by MHRD or through UGC and AICTE. As such, no evaluation or impact studies were undertaken of institutions and/or the regulators. Wherever schemes or programmes are implemented, internal review for ensuring effective outcomes and deliverables are carried out by the respective Bureaus as a regular activity. The department was not able to provide a list of evaluation studies done.

Currently, the department reported that the evaluation of schemes which were launched in the XI Plan Period, such as, National Mission in Education through ICT (NMEICT), Sub-Mission on Polytechnics, Educational Loan Interest Subsidy and UGC schemes launched in XI plan will be commenced shortly or are on-going. Externally aided projects are reviewed by the concerned funding agencies, such as TEQIP, World Bank.

The inputs and recommendations from the various evaluation studies are further incorporated in the ongoing schemes for enhancing their implementation and effectiveness. The schemes are modified based on the finding of internal review. Furthermore, whenever the scheme is being revised either for enhancement of costs or in the nature of delivery/implementation, major suggestions are incorporated at this stage. At times schemes with similar outcomes are merged.

On its website the Department has listed the following reports under ‘Delivery Monitoring Report Unit’

S. No.	Title	Category
1.	<u>Status on implementation of Saakshar Bharat since inception</u>	School Education & Literacy
2.	<u>DMU Report for Quarter ending June 2012</u>	School Education & Literacy
3.	<u>DMU (PMO) on Saakshar Bharat</u>	School Education & Literacy
4.	<u>National Commission for Higher Education &amp; Research (NCHER)</u>	Higher Education
5.	<u>Innovation Universities</u>	Higher Education
6.	<u>Report to the People on Education</u>	Higher Education

### ***Department of Higher education***

The Department of Higher Education usually awards evaluation/review to the institutions like IIMs, IITs and Central Universities. The department has autonomous bodies like EdCIL, NUEPA including NCERT which also undertakes evaluation studies. The department has assigned many schemes in Higher education to the PEO, Planning Commission for evaluation. Besides, when asked on in-house evaluation of schemes an official of the Department mentioned that they had an in-house monitoring cell within the bureau and that it did carry out its own reviews and that its schemes were reviewed internally. Besides, for enhancing the capacity concerned officials involved in evaluation studies are deployed for suitable training programs in monitoring and evaluation.

When asked on how to use these inputs and what was the mechanism to incorporate the lessons for future improvement it was stated that the schemes were modified based on the findings of internal review. Further, whenever the scheme is being revised either for enhancement of costs, or in the nature of delivery/implementation, major suggestions are incorporated at this stage. At times, schemes with similar outcomes are merged. The official acknowledged the importance of evaluation studies in the development paradigm. It was reported that the schemes in higher education are directed increasing access, ensuring equity and improving the quality of education. Development evaluation can help to effectively achieve these goals and targets in time bound manner. It can also serve to ensure better and easier implementation of schemes by reducing operational difficulties. The periodic evaluation would help to modify the existing parameters of the schemes to harmonize with the overarching goals of access, equity and excellence.

### ***Department of School Education and Literacy***

A separate interview was conducted by IHD with the Department of School Education and Literacy in order to assess the state of development evaluation. The department does not have a evaluation or monitoring cell, although there is a rigorous monitoring system which has specifically been devised for Sarva Siksha Abhiyan (SSA), which includes statutory and annual financial audits and concurrent financial reviews, independent review missions on program progress, field level monitoring through reputed institutes of social sciences and universities. A monthly or quarterly progress

report has to be submitted on regular basis; also periodic review meetings by states are held to assess the implementation and effectiveness of the scheme. SSA is reviewed twice every year by JRM. Currently, the 16<sup>th</sup> JRM is going on.

The Programme Evaluation Organisation of the Planning Commission conducted an evaluation of the SSA programme in 2010. NCERT also conducts periodic Learner Achievement survey for assessing the effectiveness of the scheme. Apart from that there are 41 monitoring institutes which are involved in the field level monitoring of the scheme.

Evaluation of the programmatic components of SSA is undertaken through independent studies to provide valuable input for improvement. Some of the independent studies conducted under SSA include:

- Sample Survey of Out of School Children by SRI-IMRB in 2005 and 2009
- National evaluation of Civil Works under SSA
- Study of Deployment and Competence of Para Teachers by NCAER in 2008
- Study on effectiveness of academic report structures, namely Block Resource Centers (BRC) and Cluster resource Centers (CRC) in providing academic support and supervision to elementary schools in 2008
- Study of Teacher's Absenteeism in primary and upper primary schools in 2006
- Kasturba Gandhi Balika Vidyalaya- National Evaluation in 2007/08.
- The department outsources evaluation studies for Mid Day Meal scheme as well to independent research organisations.

### **3.3 Ministry of Health and Family Welfare**

An interview was conducted by IHD with the Statistical Advisor of the Ministry of Health and Family Welfare. The health department conducted four in-house evaluation studies during the tenth and eleventh Plans, which are listed below:

- District level Household Survey (DLHS-3) 2007-08
- Concurrent Evaluation of NRHM
- Coverage Evaluation survey 2009
- Annual Health Survey-2010-11, 2011-12, 2012-13

The inputs of these studies are incorporated in the programme implementation, also reports are sent to Planning Commission.

The official pointed out that although the department conducts in-house evaluation studies usually after a gap of 3-5 years but due to manpower shortage many studies are being outsourced with a technical nodal agency. Some studies are also conducted by government bodies like Annual Health survey is currently being conducted by Registrar General of India (RGI). Another study 'District Level Household Survey-4' is being carried out by Indian Institute of Population Studies, Mumbai.

There is no capacity building programme held for the officials working in the evaluation cell of the department as according to the respondent, the officials are already well equipped for conducting evaluation studies. The official concluded by stating that development evaluations can be effective for betterment of schemes and their implementation only if they are conducted independently.

### **3.4 Ministry of Rural Development**

For the assessment of status of development evaluation in Ministry of Rural Development a couple of interviews were conducted by IHD with officials of the Ministry of Rural Development, Department of Rural Development.

The Ministry of Rural Development (MoRD) has a separate cell for looking after monitoring and evaluation studies. The Monitoring and Evaluation Cell is headed by Chief Evaluation Advisor (CEA) who drawn from Indian Economics Services (IES). The other officials associated with the cell include one Evaluation Advisor (IES), one Advisor (Indian Statistical Services) and one director (ISS). There are four supporting officials under the director.

Although there is a separate evaluation cell equipped with technical capabilities but all the studies are conducted by independent research organizations. In other words MoRD does not conduct in-house evaluation studies at all and almost all the studies are outsourced. According to an official of MoRD, an independent and un-biased outcome cannot be achieved through in-house evaluation. Every scheme is evaluated once in 3-4 years of time period. As per the information collected from the Ministry, Monitoring and evaluation Unit have outsourced 2 evaluation studies for the years 2006-07 and 2007-08 each, while only one study was has been outsourced for the years 2008-09, 2009-10, 2010-11 each. For the year 2011-12 two studies namely

‘Indira Gandhi National Old Age Pension Scheme’ and ‘Special project for Skill Development & Planning under SGSY’ are being evaluated by third party organisations. (It was pointed out here that all evaluation studies here are conducted through independent research organisations on Lowest Financial Aid process or CQCCBS (Combined Outlay Cum Cost Based System).

The timeline for the evaluation study given by the department is usually six months, though delays in delivering the study report were found in almost all the evaluation studies, which according to the official was due to unavoidable periodical reasons. Few studies are mentioned in the table below with their titles, time taken in their completion, type of institutions and cost involved in the entire study;

<b>Title of Study</b>	<b>Year</b>	<b>Time Taken</b>	<b>Name of Institutions</b>	<b>Cost of the Study (Rs. Lakhs)</b>
Concurrent Evaluation of SGSY	2007	24 Months	Center for Management Development, Kerala Evaluating Agency	125.79
Evaluation Study of DRDA Administration	2008-09	15 Months	Development & Research Services New Delhi	39.72
Impact assessment of PMGSY	2008	20 Months	CMI Social Research Center, New Delhi	306.3
Evaluation Training Programmes conducted by State Institutes of Rural Development	2010-11	12 Months	LORDS, New Delhi	113.31
Evaluation of Accelerated Rural Water Supply Programme	2010	12 Months	CMI Social Research Center, New Delhi	85.97

The MoRD official pointed out that there is a Research Advisory Committee of each Programme division of the Ministry which funds and approves research projects including evaluation, although, the committee does not undertake any evaluation study. There is a separate economic and monitoring wing within the Ministry whose main responsibility is to conduct monitoring and evaluation studies periodically.

For each evaluation under this wing, a technical advisory committee is formed having at least one expert from outside. The committee suggest the research methodology, sampling and terms of reference at initial stage. The next stage involves bidding for the evaluation studies where the bidding agencies are evaluated on a Quality Cum Cost based system (QCBS) where the weight of the technical bid is 70% and that of the financial bid is 30%. The bid evaluation committee comprises of the Chief Economic Advisor, one person from the finance division, a representative of the concerned programme division and one person from the economic and Monitoring Wing (either Economic Advisor or Director).

There is no in-house evaluation cell in the Ministry of Rural development since most of the programme evaluations are either outsourced through bidding or carried out by Planning and Evaluation Organisation, Planning Commission. The evaluation studies are further used for improvement in design and implementation of programmes. For example, under the SampoornaGrameenRojgaryojana (SGRY) the evaluation study identified that the programme was not creating economic asset for the individual beneficiary, that is why the programme shifted its focus on economic asset creation by providing housing instead of wage employment to the beneficiaries. Similarly, with respect to Swarnajayanti Gram SwarajgarYojana, the output of two rounds of evaluation was used to design the new programme for National Rural Livelihood Mission.

On being asked about the constraints in conducting in-house evaluation studies the MoRD official pointed out that capacity with respect to both in house and outsourced man power is major issue of concern. They were outsourcing studies as in-house the technical capability existed but manpower capacity was a concern. Another important evaluation constraint was the existence of long drawn and cumbersome procedures. Since capacity of PEO and State Evaluation Organisations is limited there is need to enhance the reform and quality of existing capacity of non-governmental organisations. The areas where improvement was needed according to him was academic credentials and training in research methods. It was crucial that the employees of the research organisations be well conversed and academically qualified for the tasks given to them. Secondly, training of officials periodically was necessary for skill development.

Another MoRD official highlighted some issues which need further attention in order to make the evaluation studies more effective. It was pointed out that the major issue with the evaluation studies is that it does not result in execution and does not have impact in terms of improvement in quality of implementation. While evaluation is at rarified level implementation has to be at the ground level.

It was stressed that the quality of evaluations needs more improvement, moreover evaluation does not seem to go deeper into reasons of tardy implementation of programmes. The normative points are not translated into action points. Evaluations need to go into concrete recommendations and implications. Also it should be dealt with that how should the implementing organizations be engineered and what are the financial implications of the same.

It was further pointed out that evaluation is only a systemic requirement for outside corroboration as the insight of the officer on the ground is often not considered of value. An improved organizational design and intensive capacity building can only lead to effective implementation of recommendations of any program evaluation system.

### **3.5 Ministry of Social Justice and Empowerment**

There is a separate monitoring and evaluation cell in the Ministry of Social Justice and Empowerment but it is understaffed that is why almost all the studies are outsourced to independent research organisations. Two officials from the ministry were interviewed to get the insight of the status of the development evaluation in the department.

The evaluation cell with the Ministry is constituted of three research officers/senior research officers of the level of under secretary, two research investigators and is headed by Joint Director of the level of deputy secretary.

Once the evaluation studies is finished by the report is submitted to the ministry by the concerned institutes. If recommendations get accepted they are recorded and considered for guidelines of the scheme when they are being restructured. For example the Post Matric Scholarship Scheme for Scheduled Caste in 2003 was revised in 2010 in terms of allocation.

The officials reported that the quality of research organizations that are available for evaluation is inadequate. They also stressed that the state government and the

implementing agencies should be giving feedback to ministry on implementation of the schemes and its outcomes which does not come. They further opined that for effectiveness there has to be a process of concurrent evaluation rather than the terminal evaluation for ongoing revision. But for that a large research and evaluation unit needs to be established at first place. In other words they stressed upon the need of strengthening the Monitoring and evaluation Unit.

### **3.6 Ministry of Women and Child Development**

At the Ministry of Women and Child Development, IHD was met with a distinguished personnel at the National Resource Centre for Women and the Advisor to NRCW. Through the interaction with them it was learnt that the NRCW is the nodal agency of the MWCD which has a number of partner ministries and they are themselves in the process of collating data on past evaluations. They had a monitoring cell and studies were conducted frequently. They asserted that development evaluation can contribute towards the improvement of the performance of the projects/programs and also that evaluations were crucial in maintaining transparency and accountability. Besides, mid-term evaluations also helped in mid-term corrective measures. However the crucial areas where Institutions needed improvement to deliver quality evaluation results were training and capacity building, financial training, and awareness about systems and procedures.

### **3.7 Department of Housing and Urban Poverty Alleviation, Planning Commission**

An interview was conducted by IHD in the department of Housing and Urban Poverty Alleviation in order to assess the status of development evaluation. There is no any separate Monitoring and evaluation Cell in the department. The concerned divisions monitor implementations as per the guidelines, while the evaluation studies are outsourced to independent research institutes.

The department conducts the evaluation of **Swarna Jayanti Shahari Rozgar Yojana (SJSRY)** through the empanelled National Resource Centers. The department reported that the outcomes of the study are used for further improvement in the design and implementation of the programme. For an instance the guideline of SJSRY was revised in 2009 based upon the recommendations of the evaluation study carried out by Human Settlement Management Institute.



### **3.8 Others**

Other than the Central Government Ministries mentioned above, IHD was also able to gain access into the Ministry of Forest and Environment. However other than a list of the Status of Planned Schemes and the programmes, schemes, allocation of funds and expenditures during the 10<sup>th</sup> and 11<sup>th</sup> Plan it was not able to access any other information from the officials there. The questionnaire was also accepted at the Ministry for Road, Transport and Highways. However, there too, there was no information shared.

## Chapter 4

# DEVELOPMENT EVALUATION: STATE GOVERNMENTS DEPARTMENTS

### 4.1 Karnataka

The Evaluation Division in the Government of Karnataka's *Planning, Programme Monitoring & Statistics Department* undertakes evaluation of selected programmes/schemes under implementation by outsourcing them to recognized Universities/Institutes/Centres, as per the requirement of the various Divisions/Departments of the State Government. The Evaluation studies are designed to assess the performance, process of implementation, effectiveness of the delivery systems and impact of programmes, schemes.

Departmental Evaluation Committees (DECs) at the departmental level and Evaluation Co-ordination Committee (ECC) at State level have been constituted, to oversee the evaluation process. As serving agency to both DEC and ECC, the Evaluation division co-ordinates all the activities of the independent evaluation initiative. The division actively participated in the Independent Evaluation Initiative and assisted the Departmental Evaluation Committees (DECs) in identifying the schemes/agencies for evaluation, finalisation of the draft reports submitted by the agencies and suggesting actions on the recommendations of the evaluation reports. Recently, a meeting of the Evaluation Co-ordination Committee (ECC) held under the Chairmanship of Additional Chief Secretary pertaining to Industries and Commerce and Social Welfare Departments regarding approval of the 3 draft reports during 2009-10.

The first development evaluation policy in the state of Karnataka came up in the year 2000.

- All schemes with more than Rs 100 crore allocation during a plan period were to be evaluated by an external agency. The cost of evaluation was to be 1% of project cost subject to an upper ceiling of Rs 5 lakhs.
- Under this policy Action Taken Report was to be placed before the State Evaluation Co-ordination Committee (SECC) (chaired by ACS). No plan

scheme should be continued beyond a plan period without evaluation and approval by the SECC.

Then came the Evaluation Policy 2003. As the number of schemes was too many in the year 2003 the development evaluation policy of Karnataka was changed. Each line Department was to evaluate at least one important plan or non-plan scheme each year. It was also laid down that progress in evaluation studies and key findings were to be discussed in the KDP meetings.

- Practise of Progress of this policy has shown that -

Number of Evaluations to be taken up in seven years (2003-10)	Number of Evaluations initiated	Number of Studies completed	Number of Studies placed and accepted by the SECC	Number of studies used for mid course correction policy changes
700	73	39	27	Information not available

In fact the Chief Minister' speech (2009-10) mentioned 'AnusthanParva' – Objective Assessment and Performance Audit.

In July 2009, 11 State sector Plan schemes were identified for evaluation. The State Planning Board empanelled agencies and sent them to the line departments for further action.

In 2010 the Planning Department developed a tool (March 2010) to collect information and consult departments why they are unable to implement this evaluation policy. The emerging issues or challenges confronting development evaluation in Karnataka can be broadly classified in the following categories –

- Administrative Dimension (Organisational Psychology)
- Technical (Intra Organisational ) Dimensions
- Technical (External to the Organizational) Dimensions (Agency)
- Issues in Financing and Tendering

- Programmatic limitations (Programme Design, Baseline, Indicators etc)

### ***Karnataka Evaluation Authority***

The vision of evaluation is to keep in place a transparent, effective and efficient practice of evaluation of its development policies and programmes. The Government recognizes the need for an effective use of credible evaluation as a tool to benchmark the state of affairs, refine its public policies, and designing programmes and schemes with prudent and optimal use of resources for maximizing the intended and measurable outcomes and citizen satisfaction.

The principles and objectives of Karnataka Evaluation Authority:

- i. Prescribing standards of policy and programme formulation, monitoring, evaluation and refinement.
- ii. Institutionalising enabled machinery backed by adequate financial resources and informed procedures to facilitate, supervise and enforce timely, useful and accountable evaluation.
- iii. Enhanced technical capacities within the departments of the Government and by the independent evaluation agencies to undertake and effectively utilize evaluation outputs for informed decision-making.
- iv. Enhanced Stakeholders' satisfaction through participation, transparency and accountability.

In order to materialise the objectives of evaluation, Govt. of Karnataka has sanctioned the new scheme called “Karnataka State Evaluation Policy and Karnataka Evaluation Authority” with effect from 2011-12 vide Govt. Order No: PD 8 EVN (2) 2011, Bangalore dated 11-07-2011 (Page No: 1-11 CF). Vide Govt. Order No: PD 20 EVN 2011, Bangalore, dated 05-09-2011, Govt. of Karnataka has accorded its approval for establishment of Karnataka Evaluation Authority (KEA) at the State level with Memorandum of Association and to register the Authority as a society under the Karnataka Societies Registration Act 1960 with immediate effect. Accordingly Karnataka Evaluation Authority (KEA) has been registered under the Karnataka Societies Registration Act 1960 on 19-09-2011 vide Registration No: DRB-C/SOR/140/2011-12. Karnataka Evaluation Authority has been established vide GO No: PD 8 EVN (2) 2011 dated 11.07.2011.

Karnataka is the first state to set up the Karnataka Evaluation Authority which is analogous to that of Independent Evaluation Office of Government of India. The efforts of Government of Karnataka were appreciated by the World Bank, Planning Commission, GoI, UNDP and many other bodies.

- External Evaluation: All evaluation initiated by the Karnataka Evaluation Authority and paid by its own fund shall be referred as an external evaluation. The scheme which is earmarked by the authority for evaluation shall not be taken up by the line department for evaluation. Line department and its officers and implementing agencies will be duty bound to furnish all required information in time and extend all required help to the KEA for the success of the evaluation. In a year KEA may take up 20-30 evaluations which are vital for the key policy and programme refinement and assessment.
- Internal Evaluation: Any evaluation taken up by the line departments from their own resources shall be referred as an internal evaluation. As there is a conflict of interest in such cases the same needs to be managed, utilized and interpreted with caution. It shall be mandatory for all the line departments to take advice from the KEA on TOR, data collection tool, methodology, vendor/outsourcing agency selection and all other technical matters pertaining to the internal evaluation and follow the rules, procedures etc. prescribed by the authority. The department may earmark 1% of the plan fund for such evaluations. In a year all the departments together may take up 40-60 such evaluations. KEA will monitor the progress of such evaluation and will receive and safe upkeep in archives all TORs, data tools, soft copy of the data collected and reports etc., for future use.

In cases of certain key evaluations of prime importance, like the one mandated in an externally aided or Centrally Sponsored Programme, the concerned department may arrive at the likely cost of such evaluation and by mutual consent entrust such evaluations to the KEA and deposit the required amount with the KEA for taking up such evaluation. Empowered committee may entrust any internal evaluation at any stage to the KEA.

- Evaluation of Programmes / Schemes: In pursuance of the aforesaid objectives every Government programme both Plan and the Non-Plan category shall be

evaluated in a Five Year Plan period at least once. Based on such an evaluation giving proper justification for the continuation of extension, plan programme shall be continued beyond the original plan period.ii. As far as possible, small programmes / schemes shall be merged into larger generic schemes / programmes which are well formulated as per prescribed standards and in no case a department should have more than 7 to 10 such generic programmes so that they are better implemented and monitored to achieve the desired outcomes.

- Evaluation Responsibilities: It shall be the responsibility of the Principal Secretary/ Secretary of the Government Department concerned to draw up a five-year calendar of the evaluation programmes of the various Departments, Boards and Units etc., coming under her/his control. The calendar shall be in a prescribed format. One Senior Officer of the department shall be made the nodal officer for facilitating and following up of each such evaluation thus undertaken. An Officer shall not be given the concurrent responsibility of more than two programmes (Schemes). The Secretary of the department shall facilitate one or two key evaluation. Commissioner, Director, Additional or Joint heads should be assigned two programmes each. In future facilitation of evaluation work should compulsorily be taken as one of the important item of work enumerated in the Annual Appraisal Report of the Senior Officers and quality of evaluation and utilization of its feed back in programme design and implementation shall be used for their annual appraisal.
- Activities / Functions of KEA: a. The KEA shall be primarily responsible to supervise, facilitate, build capacity and handhold the departments for effective Planning, Monitoring and fine tuning the policies, programmes, and schemes for result oriented and outcome based implementation. b. The Authority may undertake or commission training, consultancy, advocacy activity to further goals of effective and meaningful scheme formulation, Monitoring and Evaluation. c. Authority shall keep record of all the TORs, data collection tools, evaluation reports in their data base and follow-up utilization of evaluation outputs d. KEA shall take a target to conduct at least 20 to 30 very important evaluations every year.

During 2011-12 Rs. 1000.00 lakh were allocated to Karnataka Evaluation Authority as Grant-in-Aid under the head of Account 2515-00-101-0-26 (Plan). During 2011-12, TORs for 85 studies have been cleared by the Planning Department, out of which 60 studies were outsourced and draft reports of 28 studies have been received by the departments. Further, 14 major studies were taken by the Planning Department, out of these 9 studies have been completed. Out of these 9 completed studies, 5 Study Reports have been used for mid course correction of the policy by the departments.

During 2011-12 the following Studies/Activities have been taken by the Karnataka Evaluation Authority in order to improve the implementation process of the Developmental Programmes: (1) Economic Survey 2011-12; (2) Preparation of District Human Development Report of all 30 districts in Karnataka; (3) Training for district level officers of all 30 districts on the preparation of District Human Development Reports by Administrative Training Institute, Mysore; (4) Performance Evaluation of National Rural Health Mission implemented in Karnataka; (5) Critical Study of Secondary & Pre-University Education Sectors in Karnataka; (6) Developing HR, Finance & Accounting Standards and Capacity Building of KEA Employees; (7) Preparation of 16 Sectoral Papers for 12th Five Year Plan of Karnataka; (8) Providing financial assistance from KEA for the Scheme on Integrated Decision Support System for Monitoring the Implementation and Programme of Developmental Schemes/Programmes of Government of Karnataka; (9) Preparation of Manual on the Preparation of DHDRs; and (10) Developing Empanelment Manual for grading and selecting/short listing the Universities/Research Institutes/Consultants for entrusting Evaluation Studies etc.

Out of Rs.1000.00 lakh were allocated for the year 2011-12 to Karnataka Evaluation Authority. Rs.500.00 lakh have been released during 2011-12, out of which Rs.200.00 lakh have been spent by the end of February 2012. Rs.100.00 lakh have been provided for this scheme in Annual Plan 2012-13 for taking up of the evaluation studies by Karnataka Evaluation Authority under the head of Account 2515-00-101-0-26 (Plan)-101 (Grant-in-Aid).

### **Progress of Karnataka Evaluation Authority: Handholding of Line Departments**

<b>Particulars</b>	<b>2003-10</b>	<b>2010-12</b>
Number of Schemes selected for Evaluation	700	105
Number of Schemes for which ToRs received	Nil	91
Number of Schemes for which ToRs cleared by PD	Nil	91
Number of Schemes Outsourced	73	60
Number of Evaluation Draft Reports received by PD	39	30
Number of Persons Trained	Nil	91

There were certain reasons that led to the closing down of the Karnataka Development Evaluation Division. The essential problem within most evaluation studies is that there is a difference between audit and evaluation and mostly those conducting audit would think that they are doing an evaluation. In reality the latter is more an evidence-based process. With the increasing proliferation of schemes and the huge amounts of money being allocated to keep them running it becomes difficult to see whether and how they are running properly. With the 2003 policy change there was an effort made to bring the line department in and for evaluations to be discussed and presented in meetings of the KDP when Principal Secretaries are present so definite mid-course changes if any needed, can be undertaken.

Another essential problem with evaluation studies is the available quality of staff and personnel to do these studies. Most of these staff members do not know how to distinguish between a TOR and a Concept note. If the TOR is good then fifty percent of the work of the evaluation is already done. On closer examination it is seen that nearly half of the questions asked in the evaluation questionnaires are irrelevant. As a distinguished official of the KEA, stated that when they at the KEA approved a TOR, they would usually have to end up rewriting it.

The Line Officers and the people who are to conduct evaluations at the KEA are grilled on their job for nearly two hours which suffices like a semi-formal training.



From the month of June 2012 formal training programmes would also be implemented. The current KEA Office is preparing a 'Handbook in Evaluation Training' (draft is ready). There is a collaboration with the World Bank to bring together the best practices in development evaluation which will become a role model in India. In fact Karnataka is the first state in the whole of India to roll out such a program.

Currently the KEA functions on its own as a separate division under the Planning Programme, Monitoring and Statistics Department of the Government of Kerala. The KEA needs more staff as till now it is functioning basically on the merit of two committed staff members- one is a professor (with no supporting stenographer or ministerial staff) and one officer (who has a lot of expertise in research and evaluation). They both function with the help of one Administrative Officer. There is definitely need of more committed staff members to take care of this division. It is out of the existing lacunae in the evaluation division in the state of Karnataka that the KEA was set up in 2010. The Kea has advertised for nearly 19 more posts which should get filled up by July 2012.

What the line department can also be termed as outsourced but it is termed as 'in-house'. But what it ends up providing is a 'jaundiced view' of evaluation. Currently the KEA puts up its evaluation studies to the Planning Department in front of the Chief Secretaries, which is then put forth to the KDP for effective mid-course changes in programme implementation. This kind of process is essential so that all evaluation work is utilized towards the purpose for which it was conducted. What is currently happening at the Karnataka state level does not even happen in the Central Government Ministries. Without such a feedback loop in place it would not be possible to incorporate the lessons of evaluation into future improvement. The biggest missing link in all evaluation work all over the country is the 'use' of Evaluation studies.

The other biggest constraint is that the government has no expertise. There is the need for a manual of better empanelment. There is need for capacity building even amongst NGOs. Most importantly, the Evaluation division and the work that is done by it, is not just any other normal division of the government. It is intellectual work and the failures within it arise when/because the government fails to bring about an

academic and government interface. When it is able to do so, then we have good governance.

## 4.2 Tamil Nadu

In Tamil Nadu IHD interviewed officials in the **Department of Evaluation and Applied Research (DEAR)** of the Government of Tamil Nadu, based in Chennai. The DEAR has been in existence since 1972. It is a nominally independent body, but integrated under the Planning Department for administrative purposes. The three component parts of the Planning Department are: (1\_ Department of Planning & Development; (2) Department of Evaluation and Applied Research (DEAR); State Planning Commission. [In addition, there is the Directorate of Economics & Statistics (DES), which gathers statistical data relevant to the planning process]. The State Level Evaluation Committee (SLEC), an independent body (consisting of the Principal Secretary, Chief Secretary, the Member-Secretary of the State Planning Commission, and the Director of DEAR, who is the Member-Convenor) meets annually and fixes a schedule of schemes to be evaluated for the coming year.

DEAR contributes to the analysis of Five Year Plans (as well as generating input into forthcoming FYPs), but its main work focuses on evaluating a limited number of specific government schemes on an annual basis – currently about 20 per year [see list provided on questionnaire]. Both concurrent and impact evaluations are undertaken. Most of these are of centrally funded, recurring schemes, but DEAR is also sometimes called upon by the state government to perform ad-hoc studies, e.g. of particular state-specific flagship programmes such as free distribution of milch cows, distribution of free rice, etc.

DEAR's main sectoral focus [and in-house expertise] is on agriculture and agricultural engineering, in addition to education, health, and forestry. In addition, the department will solicit consultancy assistance from the concerned departments, especially with regard to technical inputs and field-related training related to evaluating a particular scheme.

Regarding the feedback process & use of evaluation reports, there seemed to be a consensus among the interviewees that the reports are generally kept in-house and confidential. Findings would be forwarded to the concerned line departments, whose secretaries would then be responsible for taking up the reports' recommendations.

Very little feedback on whether and to what extent this was being done in practice came back to DEAR. As a caveat, the official added that, while none of the reports were generally in the public domain, they were all accessible in principle to the public following the implementation of the Right to Information Act; however, as it was remarked, the public generally would not be very interested in some of the more technical reports; by contrast, the Tamil Nadu Economic Appraisal (prepared by DEAR in collaboration with DES) was publicly available, including via their website.

On the subject of constraints to its evaluation capacity, it was reiterated that, while financial support was no concern, current staff levels (current staff of 38, out of a sanctioned staff strength of 65, which had not been filled due to administrative reasons) were limiting DEAR to a maximum capacity of about 20 reports per year, despite growing government demand for evaluations. This had led to outsourcing of a number of evaluations to independent institutes and NGOs.

When asked about evaluation capacity and quality levels outside DEAR, it was stated that, while DEAR itself was not outsourcing any of its core work, previous experience had shown that outsourced studies did not always meet expected quality criteria; as a main reason for this, the official identified the institutional constraints faced by third parties (such as NGOs) in collecting secondary data from the concerned departments, which would sometimes not cooperate with non-governmental evaluators. Even for collecting field data from beneficiaries, they would often require government assistance in providing access. [However, when pressed to identify particular studies undertaken by NGOs or independent research institutes, the official could not name any and simply inferred that most of their work would probably rely on desk research].

On the issue of challenges going forward, it was stated that in general, the quality level of evaluations should be improved, but when pressed on what steps would be necessary to achieve this – improved funding, staffing, training – remained relatively mum, pointing only towards the importance of staff experience. When asked about the significance of international benchmarks in evaluation, and whether his department had had any discussions with other agencies about the issue of benchmarking and quality standards in evaluation, it was stated that debates had not taken place.

At the **Tamil Nadu State Planning Commission (SPC)**, IHD interviewed a few distinguished officials of the State Planning Commission (including the Vice Chairperson Member-Secretary, Head of Division of, Agricultural Policy and Planning and Division of Land Use), Government of Tamil Nadu to have an idea of the state of development Evaluation in the State.

One of the officials explained that the Tamil Nadu State Planning Commission (SPC) fulfils an advisory role to the government. It is responsible for the Five Year and One Year Plans, as well as mid-term appraisals. In addition, it commissions specific studies to evaluate the implementation of particular schemes and programmes. It coordinates its activities with the Department of Evaluation and Applied Research (DEAR), as well as the concerned line departments responsible for the programmes being evaluated. In the past, the Land Use Board has also made use of the SPC for the commissioning of studies.

The SPC's thematic responsibilities are divided between seven Divisions (Agricultural Policy and Planning; Industries, Power and Transport; Land Use; Education and Employment; Health and Social Welfare; District Planning and Rural Development; Plan Coordination)

These are each headed by a Head of Division, and have a core staff of 3-4 persons each. This means that the divisions' main role lies in commissioning and coordinating the outsourced studies, for which they maintain a roster of individuals and institutions from the respective fields. In the past, these have included Gandhigram University; Institute of Remote Sensing, Anna University; Madras Institute of Development Studies (MIDS); Madras School of Economics (MERS); the Daan Foundation; and others.

The evaluation process usually includes the submission of a proposal, board meeting, selection of consultants, a stakeholder meeting, and a presentation to the SPC and concerned department(s), who will then decide in which manner to take forward the results and recommendations from the evaluation. The SPC commissions about 2-3 studies annually per Division. There appears to have been a particularly heavy workload in Rural Development and Agriculture, compared to the other divisions.

In a separate meeting another official of the State Planning Commission, Govt. Of Tamil Nadu elaborated on the role of the SPC vis-à-vis the Department of Evaluation

and Applied Research (DEAR), saying that the SPC was trying to focus on macro issues beyond the mandate of DEAR, and furthering inter-sectoral and multi-disciplinary research. The concerned official admitted that this was the result of a recent refinement of roles, and that the respective responsibilities of both institutions had not always been this clearly demarcated in the past. While the Commission had thus far been busy with the Approach Paper for the 12<sup>th</sup> Five Year Plan, the calendar of events for the current commission [re-constituted anew after each election] was currently being discussed and finalized; several focus areas for future studies, as well as for working papers and seminars, had been identified in preliminary meetings. In addition, the SPC was also hoping to reinvigorate the State Land Use Research Board (SLURB) [which was decommissioned in 2009].

Regarding staff capacity, the official said that while in the past, the Commission used to insist it needed different kinds of experts in-house, the preferred approach now was to keep a basic statistical and economic-based staff strength available, while turning to outside experts for more specific assignments, in an effort to remain 'lean' and flexible. It was stated that the SPC would continue outsourcing evaluations, while also improving in-house capacity in all its divisions. The official explained that it had traditionally been very difficult to recruit people from within government to work on planning and evaluation issues, as this was not a preferred focus area of many government officials.

On the issue of the feedback process and transparency, the official informed that SPC was aiming to increase the public accessibility of the planning and review process by having studies presented and discussed publicly at their inception and after their conclusion – that should be the format of the future. Reportedly the Commission was looking for studies capable of delivering immediately actionable policy and legislative recommendations, rather than scholarly publications. Studies should assess the potential for change in a given sector.

When asked about the use of evaluations by government, it was stated that there had been an increased demand for evaluations and interest in external advice on the part of the government – but whether this advice would ultimately be taken up was a different matter. With regard to challenges and opportunities, Nair said that the Commission did not face any financial limitations as such, given the fact that its responsibilities were not large enough to demand a very big budget; only with regard

to the compilation of the Human Development Report [which was being conceptualized in a completely new manner] would additional funding be necessary. In terms of future potential, Nair expressed her desire to strengthen the Commission's role as a coordinating body for inter-sectoral research, helping to ease gridlocks, and working to address the lack of communication between silos in government. In addition, the official mentioned the potential of the SPC to function as an important data bank on such issues as well.

### **4.3 Andhra Pradesh**

Deliberations of some officials of the State Planning Department, Government of Andhra Pradesh are discussed below.

The Planning Department has two wings: an M&E and the Andhra Pradesh State Development Planning Society. Whereas the M&E Division is primarily involved with monitoring ongoing schemes, the Planning Society focuses on sector-wide analyses and gap analyses for future projects, working with multidisciplinary teams of consultants. This set-up, as SG explained, is relatively new, with the Planning Society having been established about 10-12 months ago, and having had its mandate expanded significantly about 3 months ago, on the initiative of the current Principal Secretary.

Regarding the Department's capacity to perform evaluations, Official of the State development Planning Society reported that there was no dearth of money or initiative to do research work – what lacked was the capacity to do proper M&E work – that kind of capacity was missing in the market. It was said that the department did not have sufficient capacity to perform evaluations or M&E on its own – but for practical reasons, not due to financial constraints. It was not feasible or economical to employ a roster of specialists for a diverse range of fields. Rather, an inter-disciplinary team had been assembled over the last year, including an expert on institutional development, an expert on horticulture, on coastal regions, on vulnerability, women and child health, a full team on data analytics, etc. Most experts have been hired on a one-year contract basis; in addition, other consultants contribute on a part-time, short-term basis (30-100 days a year).

When asked about the number and types of evaluations done by the Department (either in-house or outsourced), the official stated that their number was very large,

and it would be impossible to provide a comprehensive list. An additional administrative problem was the fact that, unlike specialised institutes such as CESS, government departments do not classify their studies as 'evaluations', nor do they prepare annual compilations of studies done. In addition, many big programmes contain their own internal M&E systems, which are being administered by the respective line departments, and for which the Planning Department often does not keep its own records.

Reportedly, most of the evaluation studies are outsourced, due to capacity and time constraints. Apart from institutes, other government agencies also perform evaluations that involve specialised technical skills, e.g. EPTRA (using remote sensing) on water and land use. Asked about the use of evaluations by the state government, the official said that there was no set formula by which the results were introduced into the planning process. In general, studies trigger a report and a presentation, but it depends on the Chair of the respective committee to what degree they would like to assimilate the results. It was pointed out that in general, government's tendency to use these reports is increasing, in part due to the hiring of more qualified personnel throughout the various departments. It was stressed that, in general, short-term studies (completed in 3-6 months) produce better assimilation, whereas studies which take 2-3 years or longer often lead to fatigue within the concerned department, complicated by frequent staff turnovers.

With regard to the impact of evaluation studies, it was reported that these include improving resource allocation, altering programme components, or deciding to scrap a scheme altogether; it was stated that this was especially important when the government needed to decide whether to convert a pilot into a regular programme. Regarding evaluation challenges, concern was expressed with the difficulties of the procurement process for outsourced studies – the fact that it was taking too long, and that there is often very little information on particular institutes' capacity or their pricing policy. The general quality level of evaluations, apart from 15-20 big names in the country, was deemed to be quite low. There was a need to create reliable benchmarks for evaluations. It was suggested the GoI and the Planning Commission should become more involved in identifying potential evaluation agencies, and help establish broad pricing guidelines. Thus, while the official stated that there were no

financial constraints to performing evaluations – either at the Planning Department or any of the line departments – the big issue were capacity and procurement.

On the efficiency of the existing evaluation process it was stated that there was potential for evaluations to play a larger role in the future. While evaluations had now become mainstreamed into the planning process, GoI should establish certain thresholds beyond which evaluations should be compulsory [thus freeing up some capacities as well] - i.e., the size of a particular programme should be commensurate with the amount of resources required for carrying out a full-fledged evaluation. In addition, there should be more concurrent evaluations than just post-mortems: programme updates every 6 months may be more useful than a big report after 5 years.

Regarding other actors in the field of evaluation, the official related his experience that, while responses to RFPs often include ‘big names’, they generally end up not devoting the required amount of time on the assignment, which according to him was a big problem in terms of maintaining quality standards. In addition, there was a tendency among many providers of evaluation services to attempt to add retired staff onto the projects. Many studies also created problems with time-overruns. A specific problem related to studies outsourced to academic institutions, according to SG, was that some study teams showed an inclination to start collecting data on parameters unrelated to the objectives, which sometimes leads to loss of focus, and deviation from the ToR, and can be exacerbated by having too many team members from too many different disciplines involved.

On the issue of publishing evaluation results, it was stated that all the Planning Department’s studies were available in the library for public access, but that they were in the process of being grouped and also published online. It was suggested that the Planning Commission should improve its method of publishing reports by making them available according to subject areas – this would also improve the quality standards of evaluations in the future by making the process more transparent.

In a brief separate meeting, another official of the M&E Division explained that the division used to do its own evaluations, but is now outsourcing all its work. In addition, many departments commission their own evaluation studies, especially the larger ones, such as Rural Development



At the Regional Evaluation Office (REO), **Hyderabad**, the officials informed that the Regional Evaluation Office (REO) is a division of the Planning Commission of the GoI, which is responsible for the evaluation of all centrally sponsored schemes. There are 7 REOs which carry out this work across the country – located in Hyderabad, Chennai, Mumbai, Kolkata, Jaipur, Lucknow, and Chandigarh; attached to these (and subordinate), there are 8 respective Project Evaluation Offices (PEOs), with Kolkata having 2 (to account for the larger geographical region they have to cover, which includes West Bengal, Orissa, and the entire Northeast); for the Hyderabad REO, the attached PEO is Bangalore.

Speaking about the types of evaluations carried out, an official of the REO explained that the REO mostly performed impact assessments and end-use evaluations, with very few concurrent evaluations. However, most of the schemes evaluated were continuous programmes (such as NREA, NRHM, MSP), so that [the evaluation would look at the end of a particular implementation phase], resulting in the possibility of course corrections based on the REO's evaluation reports. All studies were done in-house by its own staff – neither PEOs nor REOs did any kind of outsourcing. It was reported that the REO staff would take the cooperation of the concerned state governments for carrying out the evaluations (particularly in terms of data collection), interacting with the Planning Secretary, Finance Secretary, etc., working with the respective Principal Secretaries, commissioners, and officers. Fieldwork was being done exclusively by REO staff themselves. For larger assignments, or during periods of staff shortages, the office was able to draw on staff from the Bangalore office, or solicit deputed staff from other REOs as well, thus avoiding the need for external consultants. By contrast, it was pointed out that the Planning Commission itself could outsource some of its studies, and had done so in recent years (increasingly since c. 2007), primarily for quick evaluation studies of pilot projects.

On the issue of evaluation-related staff training, it was reported that the staff had attended c. 4-5 trainings over the last five years [see information in questionnaire]. When asked about the regularity of these trainings it was informed that trainings were need-based; offers originate from the PEO, which provided information about upcoming training opportunities about once a year, and sent a request for nominations for training programmes. In addition, there were certain internal training opportunities

which were offered to staff periodically to improve their technical capacity, such as the SPSS training in Kolkata.

Regarding the feedback mechanism & publication of results, the standard process of tabulation of results and preparation of a state-level evaluation report were explained in details, which followed a standard format, and submission to the Planning Commission. This would be followed by a presentation in front of the Commission, attended by the concerned line ministry. Ultimately, all reports would get published on the Planning Commission website.

When asked about the use of evaluations, it was pointed out that public authorities and governments often don't give evaluations the importance they deserve, and that, apart from centrally sponsored schemes which were being implemented under a specific Act, the quality of implementation and responsiveness to evaluations often depended on the respective state governments – as an example, mention was made about the REOs' findings regarding implementation of SSA, which had found vast differences regarding its effectiveness between various states and regions, and sometimes within states. It was stated that often the quality of the respective evaluation would be determined to a large extent by the willingness of the state government to cooperate (by providing access and relevant data), as well as the capacity and inclination of the concerned line departments – many of which maintain specific monitoring wings tasked with data collection for particular schemes.

On the subject of other actors in the field of evaluation, it was explained that, while it would be helpful to better synergise the efforts of REOs and other institutions, especially with large projects, many research institutes lacked the required institutional linkages [to government]. Some government departments may not fully cooperate with external evaluators, unless the officer in charge had a personal rapport with the researcher involved. This often led to questions about the quality of their data collection. In addition, another official also pointed out that most of the REO officers had prior experience working in other government departments, which had familiarised them with the respective data and the way it was being stored, thus facilitating easier access to specific information required for an evaluation.

In terms of constraints, it was stated that the required budget was usually available (although there may be an occasional mismatch quarter-to-quarter), but that the staff

strength had not been able to keep pace with the increased demand for evaluations, given the fact that massive flagship schemes like NREGA and NRHM were being implemented under Acts which all had built-in mandatory M&E components. In order to fulfil these evaluation requirements, the REOs would have to be strengthened further, particularly in view of the fact that currently, there were already many unfilled vacancies at the officer and sub-staff level, from Economic Investigators (EIs) to Economic Officers (EOs) to Research Officers (ROs). Thus, in the end the official said that the capacity of the PEO & REOs should be increased to keep pace with the growing need for evaluations.

IHD also interviewed an official at the **Office of the Accountant General (AG) Andhra Pradesh** (General and Social Sector). The official explained that the AG Office is part of the CAG office, Indian Audits & Accounts Department, with CAG headquarters in Delhi coordinating all audit-related activities in the country. In Andhra Pradesh, the AG Office splits its responsibilities between the Principal AG (responsible for account and entitlement functions of the state government employees) and AG Offices for: (1) General & Social Sector (formerly Civil Audit) (auditing all transactions of the state government in the general and social sectors); (2) Economic & Revenue Sectors (covering all transactions of the state government in the economic & infrastructure-related sectors); (3) Income Tax, Customs & Central Excise; (4) Commercial Audit (responsible for all central public sector undertakings in the state); and (5) South Central Railway operations.

Each Office is involved in performing 3 types of different audits: Financial Audit: expresses an opinion on financial activities of the government; Performance Audit: examines government schemes and determines whether goals & objectives have been met; and Compliance Audit: checks whether actions of the government comply with rules & regulations. The Office of the Accountant General (AG) Andhra Pradesh (General & Social Sector) is tasked with auditing the implementation of all government flagship schemes, including those of the central government, all of which fall under (2) Performance Audits. All its reports have to be approved by the CAG before being tabled in the state legislature. The office performs both concurrent and ex-post audits.

The office works in accordance with the annual audit plan, which is based on a risk analysis, and corresponding deployment of resources for audits in specific areas / for

specific programmes. In addition, it also produces some stand-alone reports specifically for the Andhra Pradesh state government, when there are subjects that need special attention. All reports have to be finalised within a year and are usually tabled in the winter-session, before the budget session.

Only internal staff is used – after passing the departmental examination, they receive additional training in the area where they will be allocated. This training is administered through an in-house training programme, as well as at Regional Training Institutes & Centres.

When asked about recent trends, it was noted that, in the field of performance audits [i.e., those covering development-related government programmes and schemes], there had been a move away from auditing individual sites (such as schools in the education sector), and towards looking at common themes over the last couple of years (for instance, assessing the implementation of particular policies regarding computer education). These common themes also include the All-India programmes. When auditing specific schemes, the official stressed the importance of sampling across a large number of districts, and for Andhra Pradesh in particular, the need to cover all three regions (Telangana, Coastal Andhra, Rayalaseema), gathering field data at district, mandal, village, and gram panchayat level.

#### **4.4 Uttar Pradesh**

In the state of Uttar Pradesh, IHD conducted an interview with an official of the Evaluation Organisation under the Planning Department of Uttar Pradesh that came into existence during the year 1965. Since then it has been continuously involved in conducting various evaluation studies of different schemes and programmes for state as well as central government, around 10-12 studies per year. There are ten different directorates under state planning department; evaluation organization is one of them.

- Economic and Statistical Division
- Planning Research & Action Division
- Evaluation Division
- Training Division (State officials are trained for various development schemes and programmes)
- Area Planning Division

- Man Power Division
- Monitoring and Cost Management Division
- Project Formulation and Appraisal Division
- Prospective Planning Division

Although in total 134 staffs have been sanctioned for this department but currently 100 staffs are working. The operational structure of the staffs is as follows: Director-Joint Director- Senior Evaluation Officers- Evaluation Officers- Field Investigators- Computer Operators. Currently there are 6 teams headed by senior research officers who conduct evaluation studies of various schemes and programmes based upon their respective expertise. Senior research officers are well qualified, most of them having Ph.D. degree.

***Demand:***

The three main sources which put demand for evaluation studies:

1. Planning secretary issues a D.O. letter to various departments for evaluation studies.
2. Chief Minister/ Chief Secretary on the basis of priority or urgency may ask for evaluating certain scheme or program
3. Finance department also may ask for evaluation of certain scheme in case of delay in its implementation or delivery of benefits or other financial discrepancies.

***Evaluation Process:***

Evaluation organization prepares a proposal list since a lot of proposals come for evaluation, all of which cannot be carried out, provided limited staffs and working capacity. In that case Principal Secretary selects all those proposals which are to be carried forward by evaluation organization. Once the approved list is issued to Director of Evaluation Division, there is a Monitoring Cell which allots these studies to different teams headed by Senior Research Officers.

Once the study is allotted to the team, the team leader writes a letter to the resource person of the concerned department (whose program is being evaluated) for data and secondary literature.

After receiving the data and literature, the team visits any of the districts of the state to study the implementation process 'top to bottom', identifying different stakeholders. Once back from field, they prepare a field note and out it up for senior officers, after that a meeting is held and based upon the field note and internal deliberation a study design is prepared.

General Structure of the Design:

- Background
- Objectives
- Coverage of the scheme
- Objective of the study
- Department's demand from the study
- Methodology
- Sample size
- Time Series

Once the design is prepared, a meeting is held with the concerned department, inputs are taken and accordingly changes or modifications are done. After that a final draft is sent to 1. Principal Secretary Planning, 2. Principal Secretary Finance & 3. Principal Secretary of the concerned department for their comments and suggestions. If there are any suggestions, they are incorporated and the proposal is finalized.

Based upon the objectives of the study questionnaires are prepared for two types of data: primary and secondary. Once schedule is finalized, a team is send to the field for a pre-testing of the schedules and then accordingly some changes, if required, are made and the questionnaires are finalized. After finalizing the questionnaires, team visits filed and interviews are carried out by field investigators. No external people are hired for primary data collection.

Once the schedules are filled, they are examined by senior evaluation officer at the end of the day, if there are some wrong entries; investigators are asked to get back to respondents and get it corrected. Field investigators are also asked to prepare field notes which are later on incorporated in the report. After completing the data

collection, a tabulation sheet is prepared. An in-house meeting is held to decide upon- which are the tables that should be taken out for the report.

Evaluation officers prepare a report based upon the tables and field notes. The report consists of three parts: 1. One para for data, 2. Second for field notes and 3. Observations of officers and field staffs.

This report is submitted to SEO, Jt. Director along with the schedules, secondary data and literature. SEOs and Jt. Director make their comments and suggestions which is further incorporated in the report. A meeting is held with the concerned department to deliberate upon the first draft of the report. Once the final draft is prepared, it is sent to Principal Secretary of the concerned department, P.S. Planning and P.S. Finance.

#### *Follow Up*

The concerned department, based upon the report findings and recommendations, asks respective district administrations to follow the policy prescriptions and recommendations. A copy of the letter is also sent to the evaluation division.

#### **4.5 Haryana**

In the state of Haryana, IHD was able to interview officials at the Department of Economics and Statistical Analysis.

During the interview a distinguished official stressed upon the shortage of staffs and officials as one of the major issues haunting the evaluation department. At present one Deputy Director, two Research Officers and two Assistant Research Officers are posted in the Plan Section of this department. The number of evaluation studies done in-house in the tenth and eleventh Plans are  $12+7=19$ . Currently the evaluation studies being done by this department are that of the Indira Awaas Yojana of Rural Development Department of Haryana and National Food Security Mission of Agricultural Department of Haryana.

On an average 1-2 evaluation studies are being carried out by the Evaluation Cell. DESA has put a proposal for establishing an institution, “Haryana Institute of Advance Planning and Statistical Evaluation System”.

DESA officially upholds that “Evaluation play a key role in assessing the performance of any development schemes/programs being implemented in the State. Evaluation is an integral part of planning process and indispensable input for policy

formulation and implementation. Evaluation system can play an important role in improving the process of implementation of development schemes/programmes ensuring that the benefits of schemes reach to the intended beneficiaries.”  
(<http://esaharyana.gov.in/PlanEvaluation.aspx>)

Functions of Evaluation Section are -

1. To evaluate the development schemes/programmes being implemented in the State.
2. To find out utility, impact, shortcoming, gaps in the implementation and reasons thereof of the development schemes/programmes.
3. To suggest necessary/corrective measures to the concerned department, for further improvement in the process of implementation of the schemes/programmes.
4. Submission of findings and recommendations made in the evaluation report to concerned department for consideration and necessary action.

Steps in Evaluation Study

1. After allotment of the Study the concerned department is asked to supply pre-requisite information, i.e., objectives, history and background note etc. of the scheme.
2. Designing of Performae for secondary data and collection of Secondary data.
3. Designing of the Survey Schedules on basis of objectives of evaluation and secondary data.
4. Pre-testing of different Survey Schedules at field level
5. Sample selection for field survey.
6. Training to the Investigators for data collection.
7. Field Survey
8. Scrutiny of the filled-in Survey Schedules.
9. Compilation of Primary as well as Secondary data.
10. Preparation of Statistical tables with reference to the objectives
11. Analysis of Primary data.



12. Analysis and interpretation of Secondary data.
13. Finalisation of the draft Report in consultation with the Senior Officers.
14. Submission of Report for approval after seeking comments from the concerned department on the Findings and Recommendations and inclusion of their comments.
15. Circulation of the report to the various departments /States including Planning Commission (Government of India).

#### Importance of Evaluation Study

1. It provides useful information on facts which hinder speedy implementation of developmental schemes/programmes.
2. It identifies weaknesses, as a feedback in designing and implementation of schemes/programmes, which help State Government in the formulation of Annual and Five Year Plans.

According to Mr. Bishnoi, the evaluating agency should always be kept independent so that it can conduct impartial studies. Currently the strength of the staff is only three- one Research Officer, one Associate Research Officer headed by a deputy director. Earlier the strength of the Evaluation Cell was quite good, till 2002 there were 18-20 staffs, which kept on decreasing to merely 3 currently. Shortage of staff originated because there have been no any new recruitments.

According to the deputy director, evaluation cell there are quite few demands for evaluation studies from the state government, moreover none of the recommendations or findings of the study are taken seriously or followed.

It was reported that the senior bureaucrats prefer outsourcing the evaluation studies rather than expanding the in-house capacities.

It was stressed that the evaluation studies should be carried out impartially, recommendations should be followed thoroughly and issues pointed out should be examined.

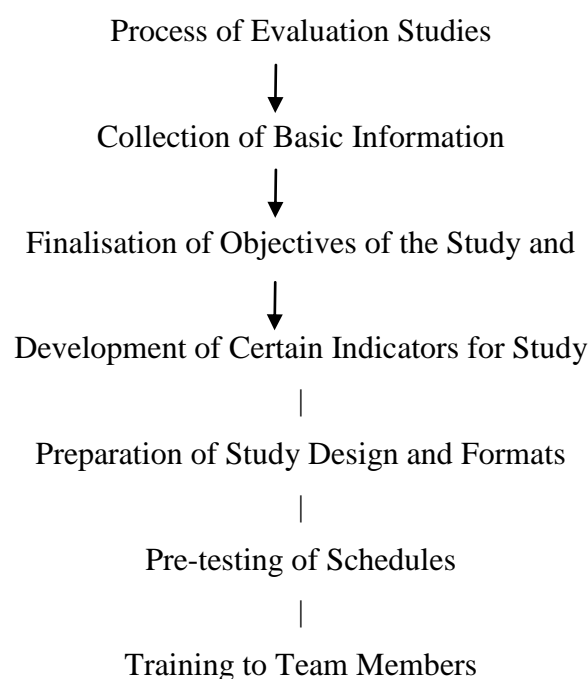
#### **4.6 Rajasthan**

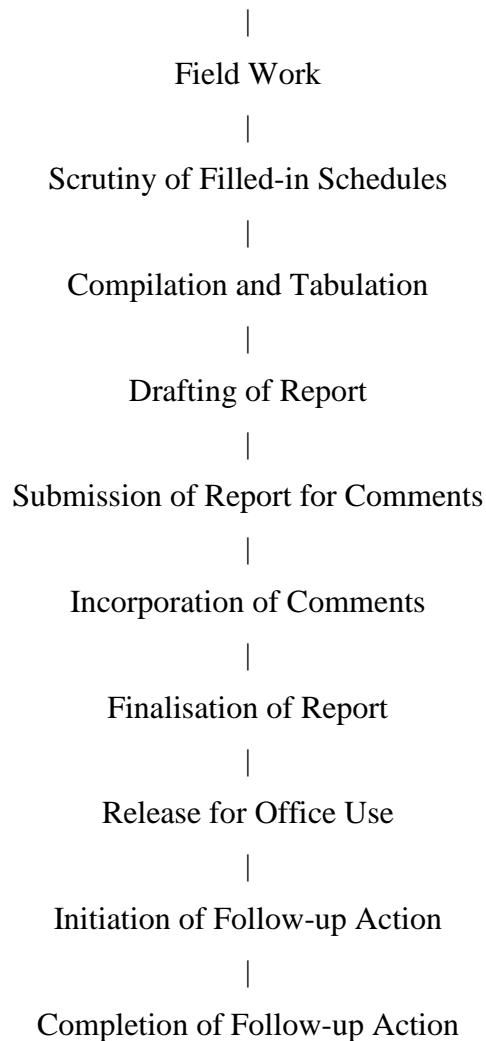
In Rajasthan IHD interviewed officials of the **Department of Evaluation, Jaipur, Rajasthan**. Established in April 1969, Rajasthan Evaluation Organization conducts

in-house evaluation studies for various state ministries and departments. Its functions and objectives are to evaluate development programmes and projects to focus their merits and demerits, to contribute the understanding of the development process and problems in the State, to carryout monitoring and concurrent evaluation, to provide technical guidance to evaluation cells working in different departments, to provide functional services, and to manage the initiation of follow-up action on the recommendations of the evaluation reports by the departments concerned. There are 154 staffs working under this organization, with 69 vacant posts yet to be filled. All the studies are carried out in-house, although some expert services are also sought occasionally from retired government officials.

During the conversation with Department of Evaluation official it emerged that although the department conducts government's evaluation studies for various departments but due to staff shortage they could not meet all the demands for evaluation. Many of the schemes are outsourced to private organizations for evaluation by various departments. It was reported that the organizational strength should be increased so that they could perform maximum studies. The officials are deputed for relevant courses as per the schedule, but it's a general training not evaluation specific.

The following flow chart, as provided in the organisation's website, gives the outline of how the process of evaluation is undertaken -





Organization prepares a compendium of all the evaluation studies at the end of financial year. Based upon their evaluation reports a detailed action points are prepared for different departments and sent to them. The organization also follows up the action point report with different departments to check whether actions are being taken or not. If need is felt meetings with concerned departments/secretariat are fixed to discuss the outcome and recommendations of the evaluation studies. Actions taken on the basis of action points are also assessed in the meetings. It was also pointed out that apart from economic aspect sociological aspects are also probed during the evaluation studies. The organization also looks at the changes in social structure brought about by the concerned schemes.

Since its inception till June 2012 State Evaluation Organisation has conducted 463 studies of various development programmes, projects and schemes pertaining to various sectors of economic development. 49 Quarterly Reports of Balance Sheets, 3

Yearly reports of Balance Sheet and 24 Compendiums of Summary findings and follow-up details have also been prepared.

IHD also interviewed at the two officials in evaluation department of Agriculture, **Department of Agriculture, Government of Rajasthan**. From them it was learnt that under PPP model an agency ATMA Yojana (Agricultural Technology Management Tender Agency) has been constituted for outsourcing evaluation studies for Agricultural Department through tenders.

The department conducts in-house evaluations depending upon the number of schemes. In total 8 in-house evaluation studies have been conducted during this year (2011-12). There are 68 staffs working in the Evaluation and Monitoring Department currently. There are additional directors appointed region-wise across Rajasthan. The officials admitted that there is a shortage of staff and fund in the evaluation and monitoring department. For an instance TA (travelling allowance) is not provided to the field investigators.

Once the evaluation is done, the department prepares booklets of fact-findings and it is sent to Additional Directors to act upon the fact findings. After the implementation of the scheme “ 60 HajjarDelhan” (under this scheme gram seeds were distributed among farmers), an assessment of the production was carried out and if there was a shortfall in the expected production, a study was conducted, reasons for the shortfall were investigated and a report was prepared under additional directors. Once the findings are out, there is also a mechanism to disseminate the output of assessment. Area-supervisors are informed about the reasons of the shortfall in the production, which are further disseminated among farmers by them

#### **4.7 West Bengal**

From information available and sourced from the Development and Planning Department of the Government of West Bengal, it was known that the most recent and nearly only Evaluation studies conducted in recent times (apart from the 2004 well-known West Bengal State Human Development Report) were those that resulted out the tripartite project between the GOWBPD, UNDP and the Planning Commission, between 2005 -2009. The West Bengal state took the initiative to release the Human Development Reports. For one book, i.e. one district Human Development Report in the year 2011 the budget was Rs. 20 Lakhs. During one year, a senior

official of the Evaluation, Monitoring and Manpower Division said that the Division tried to publish 2-3 books and the allocation for each was around 5 lakhs. The last State Development Report was expected in 2009 but that was still pending.

Thus till 2009 under this UNDP project 9 reports have been prepared. But till now all the work done has been in-house. Nothing has been outsourced till now. It must be added that many of these reports have received accolades and special mention for their superior quality.

So, yes, there is a monitoring cell and in-house evaluation of schemes takes place. There are still some pending state studies to be done. Different departments also do their own studies. The manner in which the evaluation division did their work, the processes they followed, it was all good. It was a model structure. But now since the past 4-5 years, recruitment has been stopped. The technical staff has retired and it is a burden on those who are here. There is a Research Officer and a Senior Research Officer but no Deputy Secretary, only Joint Secretary. The absence of trained staff leads to a lot of problems. In the exact of the official, "If I say 'stratified sampling' there is no one here who will understand what I am trying to say." There is extra effort thus needed to explain what needs to be done so that the processes and the outcome can be easily understood and accordingly action can be taken.

There was an evaluation study on NREGA that was done (in 2010) but that report has not yet been published. Then the same year a report on BADP was also done. There is an ongoing study of the services of sponsored libraries. But none of the reports are available.

The concerned official also stated that we try to/tend to use these outputs generated from the evaluation studies. We try to think of how to identify these gaps and then how to bridge these gaps with remedial action. But most urgently capacity development is needed. Measures to enhance in-house capacity of staff is required; people are learning on the job but that surely is not enough. There is honestly complete lack of orientation and focus when it comes to addressing requirements of staff training programmes who will/do evaluation studies. At least a one-week in-house training programme is desperately needed.

There is need that quarterly meetings should be done of the concerned officials; status reports should be prepared on evaluation studies. There should be discussion on what

are the obstacles confronting the proper conduction of evaluation studies in the state of West Bengal. If properly done periodical evaluation is the best for the betterment of the development process of the state. Without it development in the true sense is impossible.

#### **4.8 Bihar**

With respect to the process being followed in Bihar, the Planning Department has a specialized Directorate of Evaluation which outsources evaluation studies and approves them on completion. This department has hired external consultants to assist them in managing the process from the Request for Qualifications for the evaluation study up to the approval of the completed studies. In addition to the above, special organizations focused on Health and Education (State Health Society and the Bihar Education Project) also commission/conduct evaluation studies of their projects. The details with respect to the qualitative questions of our questionnaire are available in the completed questionnaire. While the department was very efficient in terms of completing the questionnaire the impression one got was of evaluation studies still being seen as a systemic requirement and one would need to study the reports to comment on quality of the same. Government of Bihar however, has a developed process commissioning of evaluation studies and the Directorate which indicates the importance given to the same activity.

A distinguished member of Asian Development Research Institute (ADRI), Bihar pointed out that the reports should be procured from the appointing authority namely the government and the donor agencies. It was learnt that number of NGOs undertake evaluation studies but in Patna the main bodies doing it are ADRI, A.N.Sinha Institute of Social Sciences, Chandragupta Institute of Management and Jagjivan Ram Institute of Parliamentary Studies. ADRI has done a total of 92 studies since 1991 which include the evaluation studies. A large number of evaluation studies are done from Delhi. Bihar Health Society and Bihar Education Project have undertaken a number of evaluation studies. The quality of evaluation varies depending on the organizations undertaking it. Often the evaluations undertaken by NGOs are for systemic reasons alone.

At the 'ADITI' NGO, it was learnt that Aditi's (founded on May 22, 1988 by Viji Srinivasan and others with help from the Ford Foundation and later Oxfam Asia and a

focus on women's empowerment) areas of work included economic activity of women, health, child marriage, education, women trafficking, female foeticide/infanticide and lot of work in Bihar and Tamil Nadu. With respect to evaluation studies, earlier overseas grants used to go directly to the civil society and the NGOs and the donor agency conducted internal and external evaluations. Now the grant component has become less and all funds are coming through government so the process of evaluation has become completely government oriented. The government is now using the civil society and NGOs in the form of a contractor and not as a partner according to him. The evaluations conducted have no correlation with the activity on site and are an eyewash. Evaluation is for certification and there is selective evaluation undertaken by the government to project itself.

The ADRI member, mentioned earlier, said that the goal of development is poverty alleviation and removal of inequity; with that in mind it seems there has not been much success. Therefore, when development itself has not been meaningful, how could the process of development evaluation be meaningful. There are no tangible benefits in terms of change and improvement on the basis of the development evaluation studies conducted.

#### **4.9 Jharkhand**

The Department of Planning and Development in the state of Jharkhand Planning machinery is required to ensure a system of scientific planning, monitoring and evaluation of the development plans, assessment of plan resources and optimal utilization at various levels. The State Planning Board is required to assess the priorities, challenges, suitability, possibility, viability, feasibility, direction, quantum and pace of developmental planning in the State. The Directorate of Economics and Statistics is entrusted with the responsibility of collection, compilation, tabulation and analysis of various types of statistical data required by the state govt. /central govt. and researchers. Various types of statistics collected by the Directorate are Agriculture Statistics, State income, vital statistics, price and other socio-economic statistics. Agriculture survey wing brings out reports on Agriculture Production, District wise crop yield, reports for agriculture insurance schemes and different use of land etc. Vital statistics wing is mainly entrusted with the work of registration of births and deaths. State income wing of the Directorate brings out data on subjects like State Domestic Product, Capital Formation etc. National Sample Survey wing of

the Directorate conducts surveys on selected topics selected by GoI. The Planning & Development Department of the State is the co-coordinating department for all plan related works.

Officials of the Industries Department and Secretary, Welfare Department, Government of Jharkhand stated that there has not been much done by the Planning Department in terms of monitoring and evaluation according to him. The evaluation process is not very extensive and there are concerns on capacity of evaluation. There has been a Cabinet approval of the Government of India Watershed Program evaluation by NABCON, the consultancy wing of NABARD. Human Resource Development, Rural Development, Agriculture, Health and Welfare Departments are the departments involved in development projects and they have commissioned evaluation studies. They mentioned that Government of Jharkhand identified two evaluation studies of programs that would be useful from the perspective of our study. The first is the aforementioned NABCON study and the second an externally aided project of IFAD for the Government of Jharkhand. With respect to the IFAD project across the 330 villages in the tribal districts of Jharkhand not only was there a Joint Review Mission of IFAD but the terminal evaluation study has also been conducted. Evaluation studies are outsourced to a panel of NGOs and semi government bodies like NABCON while in the case of donor agencies they have their own review missions which conduct the monitoring and evaluation.

An official of NRM and Livelihood, Citizens Foundation in Jharkhand, stated that they had undertaken an evaluation of the NAP for Jharkhand and a couple of evaluations for the Forest Department and the Agricultural Finance Corporation in the North East. In addition it has also conducted social audits for 8-9 districts in Jharkhand. According to the official, evaluations are not taken up stringently and is done more when there is pressure from the central teams. In the name of evaluation there is more of monitoring. Project implementing agencies are more accountable when they are funded by donor agencies. There isn't much of a formal process in government. The donor agencies have a log-frame which has to be filled while submitting the proposal itself which includes the monitoring indicators as well as the expected outcomes. In addition, they undertake a mid-term evaluation and gap analysis too. Once the project is completed, the evaluation team of the agencies match the proposal objectives and projected outcomes with the actual results and identify the



reasons for the gap. The nature of project is important too. Some of the outcomes can be captured only through ongoing monitoring while others can be done at the end post facto. At the basic level the distinction between evaluation by the donor agencies and the government stems from the process of selection of implementation agencies itself. The process and criteria for selection of the implementation agencies varies with respect to the government and the donor agencies. In the case of the government the focus is less on expected outcomes and concept than that by the donor agencies. However, when it comes to bilateral award of contracts by government they insist on deliverables and have stringent monitoring conditions too. Financial utilization is more of a concern for governments than the physical outcomes.

With respect to constraints of the evaluation system capacity is definitely an area of concern. Depth and competency factors are important and these are often lacking with respect to evaluation. A very low proportion of the total projects implemented are evaluated. Further, there is no platform in government which acknowledges the learning and reflections of the implementation agencies. Evaluations are often person and individual oriented. In Government departments, the energy level and the attitude of the individual occupying the position determines quality.

#### **4.10 Kerala**

**Kerala State Planning Board** was first constituted in this State in September 1967 with Chief Minister as Chairman and a non-official as part time Vice-Chairman. Apart from minister for Finance and Chief Secretary to the Government there were three other fulltime members. The Director, Bureau of Economics and Statistics were Member Secretary. The Board was formed with a view to enabling the State Government to formulate development plans based on a scientific assessment of the resources of the State and the growth priorities. The board was assigned the task of preparing the Annual Economic Review to be presented along with the Budget Document to the State legislature. This item continues to be a regular activity of the board.

The Evaluation Division of the State Planning Board is functioning since 1969. The Division undertakes Studies on the basis of requests received from State Government, Heads of Departments and from various Divisions of the State Planning Board. The Division since its inception has undertaken Monitoring and Evaluation of two

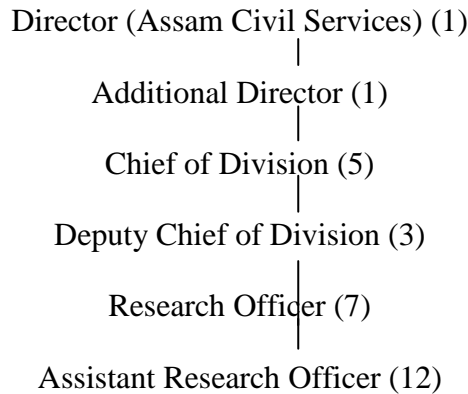
externally aided Projects: World Bank assisted Kerala Agricultural Development Project and EEC assisted Kerala Minor Irrigation Project. As part of the People's Campaign for the Ninth Five Year Plan of the State, evaluation studies on development programmes implemented by local bodies were taken up by this Division with the active involvement of Research Institutions, College Professors and Research Scholars.

The Kerala State Planning Board believed a lot in transparency and put up a list of reports published by it since 2002, on its website. These included evaluation studies like Ongoing Major & Medium Irrigation Projects in Kerala -A Quick Study(April 2002), Kerala Minor Irrigation Project - An Assessment(June 2002), SCA to TSP - A Review (1985-2000) (August 2002), Rubber Cultivation in ST Settlements (A Case Study of Achencoil&Kuttappara)(October 2002); Special Central Assistance to Special Component Plan (1999-2000 &2000-2001); A Review (January 2003); Sustainability of Three Model Projects initiated by Panchayats under Decentralised Planning in the Ninth Plan (September 2003); A Study on Priyadarsini Tea Estate/ Factory, Manathavady,Wayanad (October 2003); A study on Model Residential School, Kattela (May 2004); Joint Forest Management (A Case Study on VanaSamrakshanaSamithies)(August 2004) - (There are others whose soft and hard copies were attained from the meetings)

From meetings at the Kerala State Planning Board it was learnt that there were records/lists of studies done from 1962. There was meticulous attention to detailing however much of it was not accessible in the public domain. An official of the Kerala Planning board mentioned that they had their own Evaluation Division within the Kerala State Planning Board but that they were grossly understaffed and that they had just put out an advertisement for outsourcing evaluation studies. The officers conducting the evaluations tried their best to incorporate the lessons drawn out into practice. They had held training programmes a few months back and there were plans to conduct more. But difficulties in getting orders cleared from superiors kept plans in pending.

#### 4.11 Assam

There is an Evaluation and Monitoring Division under Planning and Development Department in Assam which conducts monitoring and evaluation studies for different departments. There are 101 staffs currently working in the evaluation and monitoring division. The organizational structure of the division is as follows:



The department has carried out 22 evaluation studies during Tenth and Eleventh five year plans. During 2010-11 Evaluation and Monitoring Division had undertaken 932 physical monitoring and 5 special monitoring assignments. Currently the division is evaluating two programmes namely BRGF (Backward Region Grant Fund) and ICDS (Integrated Child Development Scheme).

Training programmes are organized for capacity building of the officials. Chiefs of Division are trained at National University of Educational Planning and Administration, Delhi, while for Research officers and Assistant research officers training programmes are held at Assam Administrative Staff College, Guwahati, and National Institute for Rural Development, Hyderabad.

The constraints faced by the department in conducting evaluation studies includes insufficient infrastructure in collecting primary data and poor data base system of executing agencies.

The officials there stated that the inputs of evaluation studies are used for impact analysis. The reports along with the recommendations are submitted to the government for monitoring and evaluation. The question of outsourcing studies does not arise.

#### **4.12 Delhi Government**

At the Delhi Government Office an official of the Evaluation Cell, Planning Department, Govt. of Delhi, agreed to speak with IHD. It was reported that there was no separate fund allocated for the evaluation cell. In total there were only two staffs working under evaluation cell. There was an acute problem of staff shortage, which had been brought into notice but no any fresh recruitments had been done so far.

The Evaluation Cell performed mostly concurrent evaluations or physical monitoring of the ongoing projects undertaken by state government. Almost all the evaluations which are currently are being performed by the evaluation cell are concurrent evaluations. The types of programmes which are being evaluated currently are infrastructure related as well as include social security and development schemes. The infrastructural projects include the construction of Mandolijheel complex and housing complex Beautification.

It was clarified that when there was a demand either for further extension of a program or increment in its funding, a concurrent evaluation was conducted in order to get the real picture of its demand and effectiveness. For an instance in Aanganwaadi Scheme there is a demand for increment in its fund, for that planning department will conduct a concurrent evaluation to check whether existing funds are being fully utilized and if there is need to increase the funding.

In order to strengthen this unit the official came up with the following suggestions:

1. Staff strength should be increased
2. Inter state meeting for sharing common concerns (regarding planning and evaluation) should be organized
3. Funds should be allocated in separate head for the evaluation cell
4. Additional remuneration is also important for the staffs working in the evaluation cell
5. Evaluation studies should also be carried out apart from physical monitoring, concurrent evaluations and monitoring.

### 4.13 Orissa

In the state of Orissa, IHD was able to meet with an official of Planning and Coordination, Government of Orissa. From him it was learnt that allocation of funds for monitoring and evaluation were generally subsumed under the plan or scheme. In previous years there had been evaluation of the left-wing affected districts by the PEO. While various departments themselves have taken up evaluation studies there have also been 16 evaluation studies conducted by third parties. These third party organisations are very carefully chosen. No ordinary NGO is chosen and neither is just about any government agency. There is definitely truth in the allegation that the government is generally reluctant to commit adequate resources to evaluation and this becomes the biggest hurdle in effective development evaluation. Shortage of manpower is also a big constraint. When it comes to pitting donor agency projects against state funded projects, the latter is not very regular. The former usually has an in-built monitoring and evaluation component.

Another distinguished official of the Orissa Tribal Empowerment and Livelihoods Programs also stated that externally aided projects all have their own evaluation teams. In fact their mid-term evaluations are very rigorous and trigger indicators very specific. Through their analysis they see the real parameters that need improvement and accordingly changes are suggested. They have around 3000 Self Help Groups that are reviewed every year and the design has an in-built logical framework. They have the capacity but they insist on third party evaluation to avoid inter-manipulation.

## Chapter 5

# DEVELOPMENT EVALUATION: RESEARCH ORGANISATIONS/NGOS

### 5.1 Methodology and key features

The biggest challenge in examining the development evaluation occurring in research organisations or non-governmental organisations was the non-availability of information from them regarding the same. The IHD team had panned across all states in India and sent letters to all representative research organisations and NGOs. But only some from select states were willing to be interviewed and to share their data. Ironically most of these happened to be situated in South India. Hence the sample is so represented.

- NGOs had been trying to build and develop monitoring mechanisms into their programmes, with maximum-buy in from the government, which are supposed to deliver time-sensitive appraisals of ongoing activities, in order to allow for mid-term course corrections. As far as actual evaluations are concerned, organisations like UNICEF outsourced them to third parties, mostly freelancing consultants.
- A big challenge is absence of detailed field knowledge, shortage in specialised technical skills, such as creation of databases and digital data management, as well as a lack of evaluation-specific research skills among many consultants, which was essential for most development evaluations. This is attributed to the fractured methodology syllabus between different universities, which in most cases prepared students only with a limited array of skills necessary to attain their degree. This problem was compounded by the universal absence of post-graduate methodology courses for researchers in the field.
- Dissemination of evaluation/assessment reports also faces hurdles - the decision varies from case to case, sometimes depending on the political climate and the perceived impact of a particular report. The publication and public discussion of evaluation results often get limited by the directives of the respective client(s). The right to publish was the prerogative of the client, and

only very few had taken this process forward. Generally, there was more flexibility with regard to publishing when the Central Government was involved. Thus many evaluations were being carried out in isolation [from the public and wider academic discussion]; in an ideal situation, evaluations would lead to public debate and robust policy making, but this had not yet been achieved.

- Some organisations pointed out that it was unclear whether and to what extent either the Planning Commission or the Planning & Evaluations Department had significant impact on the policy making process. Officials also spoke of the widespread resistance in government (and other agencies) to accept and act upon critical evaluation findings, which had produced various obstacles for researchers in the field, including the questionable reliability of data. There was also the predominance of central vs state sponsored schemes in the evaluation portfolio as state agencies were very often unable to meet consultancy fees, which were considerably higher than those of state-funded research institutes.
- Political agenda - The officials stated that many central and state-level schemes in India are driven by certain political agendas and may have a shorter life span, necessitating a more dynamic and time-sensitive evaluation response. Methodologies followed in evaluation studies like parameters are also ideologically impregnated. Hierarchy of causation impacts the outcome of an evaluation study. Since the methodology of a study is itself limited by Terms of Reference, the outcome of the study is almost determined prior to the actual findings. Thus outcome/finding of an evaluation study get limited to the TOR and Objectives of the funding agency. When talking about impediments in doing evaluation studies, political interests and ideology become more relevant rather than the bureaucratic hurdles. Even the bureaucrats have to work under the instruction of politicians and the established ideological set up to which they are committed.
- There was a frequent disconnect between academic research and policy making, due to lack of issue-based focus and easily implementable recommendations. There was a widespread absence of sharing of activities

and research results in the Indian academic community, leading to duplication of efforts and missed opportunities for synergies between institutes.

- There was a particular shortage in the use and understanding of participatory evaluation methods, due overall capacity shortages and lack of understanding and academic guidance. This had contributed to a disconnect between academia and the evaluation practice field, which would need to be addressed. Many social science-based research institutions tended to be further removed from the realities of programme implementation, leading to evaluation reports that, while academically brilliant, often lacked concrete policy advice on the way forward. In addition, there was concern expressed over the expansion of activities of the main commercial audit firms into the field of development evaluations, often using young, inexperienced researchers without the requisite expert knowledge and experience, and without familiarity of local conditions. There was objection expressed to the presence of management consulting firms, who had entered the development evaluation arena, but who often lack the required sectoral knowledge, which lead to a dilution in academic rigour in the reports, due to an overemphasis on quantitative data gathering at the expense of qualitative analysis, caused by using standard templates.
- Capacities needed to be constantly upgraded; independent third party evaluations had become the norm at central government level, whereas many state governments were just catching up
- There is the problem of language, which required several instances of translation to and from the local language into English, thus delaying the availability of evaluation results.
- Cost effectiveness of evaluations themselves was another challenge, since the amount of time, resources, and effort devoted to an evaluation should be congruent with the project being evaluated.
- An attitude change was needed to tackle the problem of manipulated data, which affected both social science and industry/management sectors. “Evaluation should not create fear, but be seen as helpful and supportive, as a tool for improving the delivery and quality of work.”



- Three areas where, (according to CGG), non-governmental institutions needed improvement to deliver quality evaluation results viz., methodology, objectives and qualitative methods. First, most action research is carried out with inadequate emphasis on methodological robustness, which, ironically, is the most important basis, on which the results are either reliable or otherwise. Secondly, there is a need to reformulate study objectives ‘pointedly’. Thirdly, statistical tools and analysis need to be better incorporated in research studies.
- There is also need for more monitoring and evaluation trainings. There should be increased efforts at setting certain standards for evaluations, following a drive to sensitise different ministries and agencies about the issue.
- There was a general lack of qualified applicants in the market, since the posts would require a combination of technical expertise and field experience and there was particularly the dearth of good statisticians with an interest in development issues as a particular issue.
- Communities should be involved in monitoring and evaluation activities through training and developing community friendly research tools for self evaluation and learning.
- There was a concentration of social science institutes in Delhi. Many researchers preferred to be located in the big cities, whereas ground level experience and knowledge of local languages and customs was very important for social scientific research.
- Some officials opined that the Government had become much more receptive towards evaluations, and now saw them as important for long-term strategy.
- Evaluations have been carried out for central and state government agencies in a rather mechanical fashion, inhibited in their analytic potential by ToR which seemed aimed at fulfilling mandatory reporting requirements, rather than seeking genuine inputs. The majority of these evaluations as having been drawn out and painstaking, as a result of bureaucratic delays and interference in the process, without yielding particularly useful results.
- For an evaluation study parameters adopted for the study are of primary importance. For instance if economic growth is being given priority for a

study, it will lose out various findings on socio-economic accounts. Also the parameters are by and large dependent upon the nature of the funding agencies or the organizations demanding the evaluation studies.

- There is need to bring about change in the attitude of bureaucrats and government officials towards evaluation. The evaluation studies are effective only when evaluating agency is impartial and autonomous. A procedure should be followed to ensure that the recommendations and findings are acted upon.
- Governmental in-house evaluations are always biased, so evaluations should be only done by autonomous universities and research institutions/organisations.
- The evaluation studies are just carried out as routine work which has nothing to do with its further repercussions or impact upon the development schemes or programmes, although it is quite important to give inputs of the studies to policy makers. It was stated that the institution is being asked for many evaluation studies but most of the researchers are not interested since these studies due to lack of serious research component involve in the evaluation.
- In house evaluations by government have declined because they are cutting back on their expenditures on research work. There is a lack of staffs in the evaluation directorate, department of planning, with no new recruitments done. Evaluation studies are taken up quite casually by the evaluation department since there is a common belief that all the schemes are working quite well.
- Some officials alleged that the governmental evaluation organisations do not have critical understanding of the socio-economic factors, do not have theoretical insights and lack expertise and specialisations.
- The major limitations of evaluations studies are: understanding of evaluation itself, conceptual approach and a proper methodology is lacking in majority of the studies.
- The problem existed in the reality that government departments do not take these evaluation studies seriously. Since there is a compulsory provision for

evaluation in each government schemes, evaluation is just treated as a routine work.

- Thus the biggest hurdle is that Government departments are sometimes hostile to the findings and suggestions of the evaluation studies.
- There is also an attitudinal problem as whether a department will accept the findings and work on it also depend upon the subjective opinion of the officers. In most of the cases it is just followed as normative work and no special emphasis is put on evaluation process.

## **5.2 UNICEF Field Office for Kerala and Tamil Nadu**

IHD conducted interviews with Education Specialist, Child Protection Specialist and Planning and Monitoring Specialist at the UNICEF Field Office for Kerala and Tamil Nadu in Chennai

The Education Specialist explained that, as implementing partner for many government programmes, UNICEF does not really do any ‘evaluations’ itself. Rather, the organisation had been trying to build and develop monitoring mechanisms into their programmes, with maximum-buy in from the government, which are supposed to deliver time-sensitive appraisals of ongoing activities, in order to allow for mid-term course corrections. As far as actual evaluations are concerned, the education specialist said that UNICEF outsources them to third parties, mostly freelancing consultants. However, among those, only a small percentage were what could be classified as ‘evaluations’ (and those were usually commissioned and managed by the Delhi office), since they rarely included the collection of baseline data. It was elaborated that evaluations in the social sector were beset by many challenges. They require a combination of qualities and skills that are hard to find among consultants – on the one hand, the big consultancy firms, while possessing sufficient resources to enter a formal bidding process, as well as technical proficiency in filling out the bids, as well as conducting statistical analysis and evaluation of a programmes’ resource allocation, rarely had the required local and/or sectoral knowledge about the project they were actually evaluating, since their evaluation experience was usually heavily focused on the marketing sector; this led to a great amount of sub-contracting, which increases the cost of the evaluation itself, while not guaranteeing sustainable quality standards. Social science institutions, on the other hand, whose faculty were more

suitable to the subjects of many social sector evaluations, often did not have the time or resources necessary to respond to calls for proposals. In addition, analysis of cost effectiveness – which was very important to the government and funding agencies – was a very specialised skill often missing from the portfolio of social scientists. According to the specialist, it is very difficult to come across an evaluation that does a good job of both.

In addition, there is the problem of language, which required several instances of translation to and from the local language into English, thus delaying the availability of evaluation results. Another problem lay in the size and duration of many government schemes in the development sector, which makes comprehensive evaluations extremely time- and resource-intensive, as well as difficult to manage (in terms of choosing samples, providing access, choosing appropriate cut-off points for data collection, etc.). By contrast, it was felt that many NGO projects were much easier to evaluate, since they were based on pre-existing partnership agreements, and contained clearly defined end-points, etc. Thus, the projects that would actually benefit from large-scale evaluation, that had significant public impact, were the ones that did not lend themselves to evaluations, whereas the ones that had small, localised impact, were much easier to evaluate. This, in the specialist's opinion, was a constant conundrum, and the main reason behind UNICEF's and the government's joint decision to forego evaluations for large programmes in most cases, and instead rely on periodic appraisals and quick feedback, based on field reports and immediate assessments.

Cost effectiveness of evaluations themselves was another challenge, since the amount of time, resources, and effort devoted to an evaluation should be congruent with the project being evaluated. In terms of feedback mechanisms for evaluation results, the response from the state government had been very good, since UNICEF had managed to build reporting mechanisms into most of their supported programmes, so that there was a guaranteed buy-in from government into the process. This had functioned well, regardless of the respective party in power, as a result of sustained efforts at institutional relationship building on the part of UNICEF.

When asked about the current capacity for evaluations in India, the education specialist said that there was a general lack of detailed field knowledge among many consultants, which was essential for most development evaluations. In addition, there

was a shortage in specialised technical skills, such as creation of databases and digital data management, as well as a lack of evaluation-specific research skills. This, in the specialist's opinion is a result of the fractured methodology syllabus between different universities, which in most cases prepared students only with a limited array of skills necessary to attain their degree. This problem was compounded by the universal absence of post-graduate methodology courses for researchers in the field (which supposedly MIDS used to offer some time ago, but for which there were now no sponsors). Neither the universities nor the Planning Commission had put any emphasis on this. Regarding the publication evaluation/assessment reports, it was reported that the decision varies from case to case, [sometimes depending on the political climate and the perceived impact of a particular report].

The Child Protection Specialist and the Planning & Monitoring Specialist gave some examples of recent evaluations, including a DFID-funded evaluation of the Krishnagiri project across 14 states, wherein the baseline, mid-term and end-line surveys were all organised by the UNICEF Delhi office, and carried out by third party consultants, with the Chennai office playing a coordinating role for Tamil Nadu and Kerala. They explained that some smaller, local studies were conducted locally through partners, aimed at trying to give recommendations and developing monitoring mechanisms. The office's role in these assessments was mainly to help with coordination, give advice on technical tools, incl. methodology, sampling, etc. They also monitor these assessments while they are going on, since the results are later used for advocacy purposes at state level.

With regard to state institutions, they said that UNICEF had been involved with the State Planning Commission in various sub-groups constituted for the 12<sup>th</sup> Plan Approach Paper (e.g. on education), but that it was unclear whether and to what extent either the Planning Commission or the Planning & Evaluations Department had significant impact on the policy making process. Regarding academic institutions, they said there was a frequent disconnect between academic research and policy making, due to lack of issue-based focus and easily implementable recommendations; therefore, UNICEF had been attempting to strengthen these academic institutions in order to improve the timely delivery of evaluations and to develop a clear roadmap for research. They ascribed the widespread lack of a systematic agenda for research to the scarcity of resources, and the fact that, instead, many of the activities in the area of

evaluation were driven by specific funding sources (whether from the World Bank, ADB, etc.), resulting in poor linkage of research with government programmes. In addition, they stated that there was a widespread absence of sharing of activities and research results in the Indian academic community, leading to duplication of efforts and missed opportunities for synergies between institutes.

They also touched upon the widespread resistance in government (and other agencies) to accept and act upon critical evaluation findings, which had produced various obstacles for researchers in the field, including the questionable reliability of data (citing as an example the recent controversy over malnutrition and the divergent picture of the situation given by NFHS sample survey data when compared against official state data). In order to address this issue, UNICEF had been involved in a pilot project on sentinel monitoring, in which research teams were attempting to gather at least 5% of the data from every department and validate them through field observation with another team also accepted by the government.

### **5.3 Administrative Staff College of India (ASCI)**

IHD interviewed distinguished officials at the Administrative Staff College of India (ASCI), Hyderabad belonging to the departments of Infrastructure and Urban Governance, Poverty and Rural Development and Human Development.

ASCI's involvement in M&E activities and evaluation studies is split between three of its main centres: the Centre for Infrastructure and Urban Governance focuses on urban governance & also environmental issues; the Centre for Poverty and Rural Development, specialising in rural development programmes; and the Centre for Human Development, with evaluation and training expertise in gender, health, and education. The college's main focus is on training courses, some of which have either specifically catered to M&E requirements of government officials and NGO representatives, or have included specific M&E themes. The courses result in certification, degrees are not awarded (with the exception of the 2-year post-graduate course on health care management offered at the College's second campus in Banjara Hills).

Thus while 90 per cent of its work revolves around research projects, only around 10 per cent is devoted solely to evaluation work. Some examples of evaluation studies conducted by ASCI in the last 3 years are 'Study of Evaluation and Assessment of

Energy Efficiency Efforts by HMDA: NRDC Initiative’ (in the field of energy efficiency and climate change); ‘Impact Assessment of Continuous Water Supply – Pilot Project of Dharampath Zone’ (in the field of Water Supply and Urban Governance) and ‘Evaluation of Aarogyasari’ (evaluation of health scheme by the government of Andhra Pradesh). The time taken to complete these studies range from 6 months to 3 years. The staff of ASCI has been involved in all stages of the evaluation studies from preparation of study design to report writing.

From the respondents it was learnt that evaluations are done both at the policy and the programmatic/project level; while there is no specific Evaluation Unit as such, the above-named centres carry out evaluations in their respective areas of expertise. Looking forward, ASCI was aiming to strengthen its cross-cutting competencies across sectors, and develop a cross-cutting M&E Unit (which will be hosted by the Centre for Human Development). The reasoning behind this was a perceived need to be able to respond in a more timely manner to the government’s evaluation needs, compared to, e.g., World Bank or UNDP projects, which tend to get evaluated only after their conclusion. By contrast, the officials stated many central and state-level schemes in India are driven by certain political agendas and may have a shorter life span, necessitating a more dynamic and time-sensitive evaluation response.

Regarding the types of evaluations performed, officials said most of them were concurrent ones, and that evaluations formed a rather small percentage of ASCI’s overall research work because a different skill set was required to carry out evaluations, which also led to ASCI contracting additional help from consultants for such studies. As far as the publication and public discussion of evaluation results are concerned, ASCI was limited by the directives of the respective client(s). In most cases, independent publication was not allowed, although the commissioning department/agency may choose to publish the report on its website. Results are usually presented only within the client circle, without public access. The feedback process of evaluation results into the planning process was very systematic, as most of ASCI’s evaluations were concurrent, [and thus easier to integrate into ongoing projects].

Regarding potential constraints, some Centres worked on a demand-response approach, i.e. they responded to requests to carry out certain evaluations. In that sense, there were no financial constraints. From a conceptual point of view,

programmes should have built-in evaluation components, which was more common in certain departments, such as Health and Education, while in many others, this was missing from the programme design, including an appropriate budget allocation for evaluations, which often complicates things [and leads to the last-minute commissioning of consultancies]. The overall capacity to perform evaluations in India needed to be expanded. When asked to reflect on other actors in the field of evaluation, the respondent was critical of the presence of management consulting firms, which had entered the development evaluation arena, but often lack the required sectoral knowledge, which lead to a dilution in academic rigour in the reports, due to an overemphasis on quantitative data gathering at the expense of qualitative analysis, caused by using standard templates.

There was overall division of responsibilities between centres, although depending on the capacity situation of each respective centre, there is some sharing of assignments between them on occasion. This collaboration was more of a regular and intended feature when it came to the training programmes, many of which were specifically designed to incorporate examples from different sectors. In this context, the official also emphasised the cross-fertilisation between evaluations and training programmes, wherein the College benefitted from taking on certain evaluation assignments because it gave them a ‘window’ into certain sectors, which in turn served to strengthen their core activity of training.

On the distribution between programme-specific and sectoral evaluations prepared by ASCI, it was stressed that it depended on the respective ToR, but that the Rural Development centre worked almost exclusively on programme-specific studies (even though some evaluations – such as that of NREGA, might make reference to other converging schemes, such as rural livelihoods programmes or water & sanitation programmes).

There was also the predominance of central vs state sponsored schemes in the evaluation portfolio as state agencies were very often unable to meet ASCI’s consultancy fees, which were considerably higher than those of state-funded research institutes, whereas ASCI was entirely self-supported. In addition, the College had on occasion turned down requests for state-sponsored studies in cases where they considered them poorly designed and/or prone to attempts of undue interference from the commissioning departments. Regarding other actors in the field of evaluation,



ASCI, as a management institute, was in a strong position to give strategic management-related design and implementation advice that was directly actionable at the policy level, whereas many social science-based research institutions tended to be further removed from the realities of programme implementation, leading to evaluation reports that, while academically brilliant, often lacked concrete policy advice on the way forward. In addition, there was concern expressed over the expansion of activities of the main commercial audit firms into the field of development evaluations, often using young, inexperienced researchers without the requisite expert knowledge and experience, and without familiarity of local conditions.

On the issue of how evaluations are used and the feedback system, it was explained that there was usually a combination of peer review, administrative review, and client review between the drafting and submission of final reports. However, evaluations submitted to government were purely for internal use, and would go through various intra-ministerial review cycles after submission. When asked on impressions regarding government attitude towards evaluations, it was stated that it has become more open, even during the last 2-3 years, triggered in part by some of the well-publicised scandals that had broken out recently. The sense was that government was now more willing to accept outside suggestions (including those coming from evaluations); this tendency had also been moved along by the increase in concurrent evaluations – such as that of NREGA – which allowed for course corrections during ongoing implementation phases.

The Centre for Human Development had a dual approach of (1) performing evaluations; and (2) offering capacity building in the field of evaluations. The latter was a major recent initiative that the centre had been involved in, i.e. the ‘TESA: Teaching Evaluation in South Asia’ project. Funded by IDRC, and led by a consortium of which ASCI was a member (under leadership of the Sri Lanka Evaluation Association [SLEVA]), the project’s aim had been to develop modules for teaching evaluation, and establishing these modules in teaching institutions across South Asia. The initiative was based on the perceived need for more structured approach to evaluation in South Asia among international agencies such as IDRC, UNDP, UNICEF and others. The ultimate goal was the establishment of longer-term courses in evaluation at post-graduate level at select academic institutions, as the

existing short-term capacity building programmes were considered insufficient to meet the growing training needs of officers, managers and other institutional actors involved in operationalizing M&E systems throughout the region. The core group currently consisted of ASCI; SLEVA; the Indian Institute of Health Management Research, Jaipur (IIHMR); the University of Dhaka; and the University of Jayewardenepura.

The project's current state was that a set of modules and instructional material for teaching evaluation had been produced (which would be peer-reviewed and published shortly), and it was now heading for next phase, which would encompass establishing curricula. Administrative arrangements had been made to introduce such courses initially at IIHMR and the University of Jayewardenepura. Some of the modules had gone through a process of testing in actual M&E-related training programmes, including MDPs (management development programmes) offered by ASCI over the last couple of years. These had included Executive Development Programmes aimed at officers of the Planning Commission and NGO representatives, as well as an M&E programme for the Directorate of Statistics & Evaluation, Government of Bihar. A stage had now been reached at which, based on this experience and the progress under TESA, ASCI was considering launching regular calendar events on M&E for government officials & NGO representatives and other civil society organisations.

In terms of evaluation studies done by the Centre for Human Development, its core competencies were in gender, health and education, and said that most studies were focused on specific schemes and programmes, given the existing evaluation capacities at the institute. Regarding evaluation constraints, as a public purpose institution, ASCI faced certain financial constraints, due to its having to enter bidding processes for evaluation projects, while not being able to compete with many publicly funded institutes (in terms of being bound by the L-1 process).

On the use of evaluations and the feedback process, the officials remarked that many evaluations were being carried out in isolation [from the public and wider academic discussion]; in an ideal situation, evaluations would lead to public debate and robust policy making, but this had not yet been achieved. Regarding publications in particular, the official said that the right to publish was the prerogative of the client, and that only very few had taken this process forward, e.g. UNDP, for whom ASCI had done an evaluation of R&R policy of the government of Orissa, which had led to

public discussion and amendments of existing policy. The strengthening of policymaking as a result of evaluation findings was an area that needed to be looked into and addressed. When asked about differences in approach between central and state governments regarding evaluation-related transparency, it was stated that generally, there was more flexibility with regard to publishing when the Central Government was involved, whereas state government projects would often not even come up for evaluation.

With regard to evaluation capacity outside of ASCI and challenges going forward, it was opined that capacities needed to be constantly upgraded; in his view, there was a particular shortage in the use and understanding of participatory evaluation methods, due overall capacity shortages and lack of understanding and academic guidance. This had contributed to a disconnect between academia and the evaluation practice field, which would need to be addressed. On the subject of other actors in the field of evaluation, it was said that there were some sparsely distributed capacities among private actors, NGOs, and CSOs in evaluations, but that government should take the initiative to improve the inclusion of these private actors [in evaluation processes] and lend them the necessary support.

When asked about the importance of universal quality standards and benchmarks for evaluations, officials admitted this was an important and as yet unresolved issue, which had recently been taken up by the Planning Commission; although the UN had developed certain standards and benchmarks in its own system, no agreement had yet been reached on how to contextualise these for different countries, including in South Asia.

#### **5.4 Institute of Public Enterprise (IPE)**

IHD also met distinguished personnel at the Institute of Public Enterprise (IPE), Hyderabad. IPE is a research and training institute which focuses primarily on subjects related to economics, banking, finance, and management, both in the public and private sectors. However, they have also branched out into a few other areas, including public policy and biotechnology. IPE offers a Ph.D. programme, as well as post-graduate programmes in management, including MDPs (management development programmes). In addition, the institute runs a multitude of specialised

management courses tailored to the needs of particular sectors (oil & natural gas, defence, public enterprises, etc.).

The research studies carried out by IPE include both sponsored and self-generated studies. Commissioned research relies mostly on secondary data analysis, whereas original research more often involves the collection of primary data. The institute's main evaluation-related activities, according to RKM, are: (1) evaluations for ministries; (2) training programmes; (3) publication of papers & books on evaluation; (4) creation of expert groups on particular sectors. Most of IPE's evaluations are ex-post studies of specific programmes, which the institute is invited to do, in the fields of industry; employment; energy; corporate social responsibility (CSR); corporate governance; sustainable development; manpower planning & deployment; and less frequently also on: education (e.g., scholarship schemes, equal opportunity measures regarding admissions); biotechnology. Generally, the type of evaluation depends on the project being evaluated – some areas, such as CSR, feature a broader palette of services, from policy formulation to identification of projects, to implementation, to assessment, to impact evaluation.

Asked about the institute's client base, the personnel explained that IPE used to undertake mainly national-level studies, but has in recent years also taken on state-level, as well as international studies (such as a World Bank study on power shortages; an OECD study on state-owned enterprises; an ADB study on corruption). On the issue of utilisation of evaluation results & the feedback process, it was stated that there was usually a presentation to government once the report had been finalised; this was attended by officers from the concerned departments, and sometimes by external experts – especially in the case of externally funded projects, e.g. DFID; it was up to the government whether to implement the recommendations.

In terms of a public discussion of the evaluations and concomitant publication, the concerned personnel said that third party funding agencies such as DFID and the World Bank usually publish reports, or otherwise IPE tries to publish the results on its own, whether in the form of books, journal articles, or occasional papers. The right to publish was usually guaranteed in the ToR, and where it was not, IPE asks for permission; it was stressed that this was very important to the institute, both in terms of transparency and as a way of documenting its research output. When asked whether there was a difference in approach to publishing and evaluation transparency between

government projects and those commissioned by international donors, it was acknowledged that, whereas organisations like the World Bank were “knowledge-driven”, in India there was still some reluctance to publish results, although government attitude had changed significantly in recent years, since the 1980s, in part driven by India’s growing global integration and the presence of third party donors. It was estimated that this approach would take another 5-10 years to take root, and pointed out that independent third party evaluations had become the norm at central government level, whereas many state governments were just catching up. According to the personnel, Andhra Pradesh specifically used to have a very good evaluation culture about 4-5 years ago, but standards had fallen over the last 3 years as a result of political instability and changes of personnel engaged in several government posts. It was also reported that Andhra Pradesh gets quite a bit of funding from abroad, and the government had generally been very open. It may be observed that, in India as whole, more pressure from civil society, the press, vigilance committees and the CAG has led to increased scrutiny of government programmes.

Regarding recent trends, the personnel stated that, at the government level, evaluations had become much more widely used and accepted, but there was a need to make evaluations more substantial in order to avoid them becoming a ritual – this would require an improvement in quality, an expansion of coverage, attempts to make them more comprehensive, insightful, and policy-oriented. It was also said that, in this regard, the worry was about the private sector than about government – as private corporations tended to be much less open than the public sector, and there was a widespread fear of being exposed and having to suffer competitive disadvantages [as a result of being evaluated]. Regarding constraints and challenges, it was remarked that, in his view, IPE’s current evaluation capacities were actually under-utilised. Given the fact that IPE had about 65 faculty members specialising in different disciplines, they should be able to take on more studies.

On the capacity to perform quality evaluations, outside IPE, it was reported that there was a general lack of networking in India, as evidenced by a widespread lack of awareness about the activities of other institutes and centres, the concentration and isolation of many resources in Delhi, and lack of information being available online. According to the personnel, there should be increased efforts at setting certain standards for evaluations, following a drive to sensitise different ministries and

agencies about the issue. Under the leadership of the Planning Commission, the government should decide what types of evaluations it prefers, and help define certain methods, tools, approaches to data collection & processing; only after that would a discussion on deployment of [additional] resources make sense. It was reported that an attitude change was needed to tackle the problem of manipulated data, which affected both social science and industry/management sectors. Evaluation should not create fear, but be seen as helpful and supportive, as a tool for improving the delivery and quality of work; in his view, it also has the potential to serve as a mechanism to voice problems and concerns (on the part of those being evaluated). Evaluation should be seen as a mechanism to perform better, not as a threat.

Since the capacity of Public Sector (Govnt. Evaluation Organisations) is limited, there was a need to enhance the capacity of non-governmental organisations and there are some areas in which institutions need improvement to deliver quality results. They should become adept at survey and interview techniques; at data analysis in terms of generating patterns; and in the ability to connect the project's objectives and outcomes along with the best fit strategy to achieve the same. When it comes to assessing how far evaluation studies were useful in improving the implementation and performance of the projects/programs, the personnel held that the various recommendations based on the findings of the studies are readily implementable by the organisations. Apart from the completion of the assignment, IPE also is involved in a hand-holding exercise which ensures that the implementation of the process/project is carried out.

### **5.5 Centre for Good Governance**

Officials at the Centre for Good Governance, in Hyderabad, opined that no civil-society evaluation can substitute regular, internal, oversight and monitoring/evaluation mechanisms within the government. There were three areas where, according to CGG, non-governmental institutions needed improvement to deliver quality evaluation results viz., methodology, objectives and qualitative methods. First, most action research is carried out with inadequate emphasis on methodological robustness, which, ironically, is the most important basis, on which the results are either reliable or otherwise. Secondly, there is a need to reformulate study objectives 'pointedly'. Thirdly, statistical tools and analysis need to be better incorporated in research studies. CGG's evaluation studies have been found to be useful by various departments of the Government of India, government of Andhra

Pradesh and other state governments. CGG's mandate requires it to undertake projects, evaluation of projects that are within the realm of governance and department/systems reforms. Findings from the evaluation and research studies undertaken by CGG are generally implemented leading to innovative changes/process changes. While at CGG there were no financial constraints to evaluation, inadequate manpower was one. There is also need for more monitoring and evaluation trainings. It conducted many training programmes for example for programme managers and knowledge managers on evaluation training and is a recognised training institute. Besides many of its evaluation reports were in the public domain accessible on its website.

At a time CGG was capable of conducting nearly 10-15 research and evaluation studies.

### **5.6 Society for the Elimination of Rural Poverty (SERP)**

IHD researchers also interviewed officials at the Society for the Elimination of Rural Poverty (SERP), Hyderabad, a government agency that was created in 2000 to act as a grassroots-level support system for self-help groups in Andhra Pradesh, that is engaged in poverty alleviation, and works by supporting small savings and skill development initiatives on the village, mandal, and district levels. The Society has been supported by the World Bank since its inception. In the list of 17 studies that IHD received that SERP had conducted between 2008-2012, it was visible that the areas of study varied from institution building, bank linkage, marketing, education, health, gender, social security and land.

SERP's activities in the area of evaluations are mostly focused on its own activities, rather than on evaluating other government schemes and programmes. For this purpose, the Society maintains an in-house Evaluation & Learning Unit, which does a limited amount of internal studies, whereas for evaluations of its activities, SERP depends on external consultants. Most of these are driven by the evaluation interests of the World Bank, which indicates certain areas that require evaluation on a regular basis, triggering SERP to issue a tender and recruit external consultants for the respective assignments. Some of SERP's regular overall evaluations have been carried out by CESS and the Society for Human Rights & Social Development (SocHuRSoD), Tirupati.

Most of the basic training there is directed at their internal staff at the local level, and not specifically evaluation-related. Recently, SERP – as a national resource agency for NRLM – had begun providing regular training support to other states, on subjects such as group formation and group management. Some of SERP’s internal thematic studies have examined the impact of bank loans, IPECB, etc. The role of the Evaluation & Learning Unit consisted mainly of the drafting of evaluation ToR and facilitating access to beneficiaries and project sites in the field, in addition to following up on the process of outsourced evaluations. It was desirable for the Unit to do more and different types of studies in the future (depending on its ability to recruit more staff – see below, ‘constraints’). One of the major training constraints was that training programmes were not undertaken by the Evaluation and Learning Unit but a Resource Cell had been established for the purpose of training similar project implementation across the country.

On the issue of publishing evaluation results, most of SERP’s reports were meant only for internal use; however, when pressed about whether the Society had considered publishing them in other formats, such as research reports or books, it was elaborated that a monograph series for the World Bank and FAO had just been launched, and that some thematic papers had been published on the World Bank website, e.g. on health & nutrition, community-managed sustainable agriculture, gender issues, etc. SERP was planning to expand these outreach activities in the future. .

On how far evaluation findings were useful in improving the design, implementation and performance of the projects, the officials stated that the findings of the study are crucial in reviewing and fine tuning the programme for better and focussed implementation. The evaluation findings have also helped in formulating new strategies in poverty reduction programmes in the state in terms of enhancement in quality of implementation as well as improved and focused outreach.

Regarding evaluation constraints, the SERP Unit currently comprised only 2 people and there had been efforts to recruit more staff for some time now. Officials complained that there was a general lack of qualified applicants in the market, since the posts would require a combination of technical expertise and field experience and there was particularly the dearth of good statisticians with an interest in development issues as a particular issue.



Besides, the areas where the officials of SERP stated that the Institution needed improvement to deliver quality evaluation results were field research, social audits, conducting PRAs, ICT and community empowerment. Firstly, in field research it was suggested that thematic areas of research can be undertaken on focussed specialist themes. Secondly, methodology for social audit can be built into the programme to be conducted by the Evaluation wing. Thirdly, while conducting PRAs the use of PRA tools in research should be strengthened. Fourthly, there should be increased use of ICTs for the purpose of research especially specialised analytical software and training. Fifthly, the communities should be involved in monitoring and evaluation activities through training and developing community friendly research tools for self evaluation and learning.

It was also further suggested that government evaluation organisations should have a very strong social responsibility in terms of the approach and methodology of the studies. The quality of the reports must be very high in terms of factual correctness and analysis, so that the realistic picture is revealed and constructive recommendations are made. The Evaluation Department must be unbiased and should promote transparency to help reach out to the grassroots for better and efficient programme implementation.

### **5.7 Centre for Economic and Social Studies (CESS)**

In Hyderabad, IHD also met with an important member of the Centre for Economic and Social Studies (CESS). CESS is an independent research institute devoted to social scientific analysis of development-related activities in the fields of Rural Development and Poverty, Agriculture and Food Security, Irrigation and Water Management, Public Finance, Demography, Health and Environment. CESS also conducts an M.Phil. and Ph.D. programme, although about 75% of its resources are devoted to research, according to the member. On request, CESS has in the past conducted training programmes for government employees, such as for the Office of Statistics or the Planning Commission, but these do not take place on a regular basis.

The Centre carries out commissioned evaluations of specific programmes, as well as macro-level and sectoral studies. The latter have included the recently published *Mid Term Appraisal of the 11<sup>th</sup> Plan of Andhra Pradesh* (published in two parts – (1) evaluation of flagship programmes; (2) general review of economic indicators),

ongoing research for the *Rural Development Report* for the Ministry of Rural Development (containing chapters on agriculture, sustainable development, NREGA, etc., and covering 6-7 states, incl. Andhra Pradesh), and its participation in the Human Development Report for Andhra Pradesh (jointly with other institutes); the former has included a study on a Rural Housing Scheme in Andhra Pradesh and studies on forests and dry lands [see separate list]. Both concurrent and ex-post evaluations are undertaken.

In many cases, CESS does these evaluations on invitation of the central or state government, or specific agencies such as SERP or the World Bank. The Centre also bids for contracts, such as the recent DFID-funded 'Young Lives' project (in collaboration with Oxford University). Regarding evaluation capacity at CESS, the member said that evaluations were a major activity for the centre, and there were about 14-15 faculty members who were involved in evaluations on a regular basis, but everyone was given at least 50% freedom to pursue their own research (and some were not involved in evaluations at all). Nonetheless, CESS was not able to meet all evaluation demands due to staff shortages. Occasionally, outside consultants were contracted to contribute.

On the issue of the feedback mechanism and publication of evaluation results, it was stated that reports were submitted, and occasionally published, either as a research paper or in book form. The ToR would usually delineate the conditions surrounding the publication (sometimes including a waiting period after submission), but it was very unusual for publication to be proscribed altogether. It was informed that on the occasion of too many restrictions, CESS would refuse to take up such work.

With regard to evaluation capacity in India beyond CESS, it was stated that it is generally good, with the exception of a few states, such as Orissa and Chhattisgarh. There is a concentration of social science institutes in Delhi. Another limitation, in his view, was that many researchers preferred to be located in the big cities, whereas ground level experience and knowledge of local languages and customs was very important for social scientific research. Regarding trends in government attitude towards evaluations it was reported that they had generally become more open – more studies were being commissioned, especially by the Planning Department (acting as a nodal agency), Rural Development, Education, Tribal Welfare, and Water/Sanitation Departments. It was explained that CESS had also been trying to nurture its

relationship with certain departments by contacting them directly when doing independent research, inviting them onto advisory committees, and soliciting their input.

It was admitted that there are sometimes tensions between the centre and government, when reports are not favourable to particular departments, and officials occasionally try to intervene and protest their findings. However, the member remarked there are forces in government - particularly in the Planning Department and the Planning Commission – that had an active interest in independent evaluations, and would defend CESS against interference from other departments. Thus government had become much more receptive towards evaluations, and now saw them as important for long-term strategy.

When asked about the involvement of consultancy firms in development evaluations, it was stated that is something governments should avoid, since they often lacked the required expert knowledge. International bidding processes often required the collaboration with these firms, who would then be required to look for local help in order to carry out the project. This was often difficult, especially when projects were expected to be concluded within a short time frame which was identified as another trend that should be avoided, because it is likely to lead to “impressionistic” studies, rather than in-depth analysis.

### **5.8 Council for Social Development (CSD)**

At the Council for Social Development (CSD), Hyderabad, the respondent described CSD as a social science research institute that was in the process of undergoing some major changes since the previous year. Whereas in the past, the institute’s activities had focused heavily on conducting evaluations for government on a regular basis, there was now more of an emphasis on independent research, as well as teaching – with a new Ph.D. programme just being launched in July 2012 (jointly with TISS Mumbai). As pointed out, the faculty profile had also changed significantly after a number of new hires with backgrounds in sociology, political science, law, and literature, respectively, giving the institute a more multi-disciplinary outlook and replacing the previous prevalence of economics as the main discipline.

It was reported that evaluations had, until recently, been a major source of income for CSD, with many of them having been carried out for central and state government

agencies (see separate list provided) in a rather mechanical fashion, inhibited in their analytic potential by ToR which seemed aimed at fulfilling mandatory reporting requirements, rather than seeking genuine inputs. Majority of these evaluations were being drawn out and painstaking, as a result of bureaucratic delays and interference in the process, without yielding particularly useful results. Regarding their typology, an estimated 90% of them had been ex-post evaluations.

The personnel detailed how CSD Delhi had had more of a “critical edge” to it, due to its having been set up and run by influential retired professors and bureaucrats with significant renommé and longstanding influence in government. It was the hope of both centres (Delhi and Hyderabad) that CSD Hyderabad would develop more into the direction of a [critical, independent think tank] in the near future as well. Evaluations, according to the personnel would only play a limited role in the future (with only two faculty members currently involved in finalising ongoing evaluations), and whenever they would be taken up, the institute was hoping to be able to have a more formative influence on the study design and use of results. As an example of an evaluation-like initiative, the respondent mentioned a recently launched social audit of a variety of government schemes targeting child marriage and their impact on tribal communities, and a planned social audit of the implementation of the Land Transfer Act.

In addition, there has been a push recently to have all evaluation results published, in a move away from earlier institutional practice. In terms of training programmes it was elaborated that, although there had been some level of training and capacity building activities for Panchayat workers in the past, CSD’s recent efforts in this areas had started to become more holistic, and had focused more on particular constituencies, rather than particular issues – an example of an 8-month refresher course for ST lawyers was given, which had been designed to address problems faced by tribal communities in Andhra Pradesh. This course also included a session on social audits and NREGA in its final week, thus contributing an M&E component to CSD’s training activities.

### **5.9 Institute for Development and Communication (IDC)**

In Hyderabad, IHD also met with a member at the Institute for Development and Communication (IDC). The member said that for an evaluation study parameters

adopted for the study are of primary importance. For instance, if economic growth is being given priority for a study, it will lose out various findings on socio-economic accounts. Also the parameters are by and large dependent upon the nature of the funding agencies or the organizations demanding the evaluation studies. According to the member, methodologies followed in evaluation studies like parameters are also ideologically impregnated. Hierarchy of causation impacts the outcome of an evaluation study. Since the methodology of a study is itself limited by Terms of Reference, the outcome of the study is almost determined prior to the actual findings. Thus outcome/finding of an evaluation study gets limited to the TOR and Objectives of the funding agency.

The member concluded that since outcome of a study is predefined by TOR and its objectives, so evaluation has not its autonomy, thereby imparting no serious impact upon the subject of the study.

#### **5.10 Andhra Pradesh Academy for Rural Development (APARD)**

Interviews were also conducted at the Andhra Pradesh Academy for Rural Development (APARD) in Hyderabad. APARD is the apex training institute for Panchayat Raj and Rural Development Departments in Andhra Pradesh, catering to the training needs of all elected representatives of local bodies. It also provides specialised training to functionaries involved in the implementation of various government programmes – including most of the flagship programmes incl. MGNREGA, watershed management programmes, disaster management – at the local administrative levels. APARD's thematic expertise is reflected in its 12 functional centres which together have a staff strength of nearly 40 members (Centre for Decentralisation and Planning, Centre for Natural Resource Management, Centre for Women Empowerment and Child Development, Centre for Management of Environment and Disasters, Centre for Research, Documentation and Training, Centre for Social Empowerment and Equity, Centre for Financial Management, Centre for IT and eGovernance, Centre for Media and Publication, Centre for Management and Rural Infrastructure (CMRI), Centre for Urban Studies, Centre for Geo-informatic Applications in RD (C-GARD))

APARD trains about 300,000 participants annually. The trainings are financed mainly by the Andhra Pradesh state government; in addition, funding for particular

training activities comes from the concerned ministries of the central government, such as Ministry of Panchayati Raj, Ministry for Rural Development, National Institute of Disaster Management, National AIDS Control Organisation (NACO). Although it is not a main component of its mandate, APARD is occasionally involved in evaluation activities, but has had to curtail its activities in this field in the recent past (about the last five years) due to the growing demand to provide training year-round, tailored to an increasing number of central and state government programmes to be implemented at local level. The interviewee added that APARD does have specific experts with practical experience and good knowledge of programme content in-house, who are able to perform certain kinds of evaluations, their time to do so is limited due to the demands on their main mandate, which is teaching.

Examples of recent evaluations undertaken by APARD include Evaluation of Watershed Programme for ICRISAT; Evaluation of Rural Development Programmes, e.g. Indira JalaPrabha (IJP); Impact Studies on Cyclone Flood Relief; Pre- and post-funding assessments of projects for the Council for Advancement of People's Action and Rural Technology (CAPART). When asked whether their training programmes contained any elements related to evaluation activities, officials answered in the affirmative. They stressed the built-in evaluation components of APARD's own training programmes (i.e., continuous, ongoing evaluation of its training activities via feedback from participants), and also spoke more directly to the question, explaining that there are modules on continuous monitoring of programmes in the training content (for both elected representatives and government functionaries). The focus of these modules thus seems more geared towards enabling concurrent programme monitoring, rather than supporting full-fledged evaluations as such.

Regarding the Academy's capacity to perform evaluations, it was stated that, apart from evaluation being a complimentary activity, not a mainstay, due to APARD's mandate, its Research wing – which would nominally be responsible for carrying out evaluations – had also been somewhat under-resourced, and had lacked the necessary support to expand its capacity to perform evaluations and impact studies. This was due to funding priorities being directed towards its core mandate of training – evaluation activities had instead been taken up increasingly by universities and other centres in the state, incl. MRCH and CGG. It was stressed that APARD's strengths lay in certain areas such as rural administrative bodies, programmes related to rural

development (incl. women's SHGs and MNREGA) and pointed out that the Academy would most likely continue to be asked to provide expertise for evaluations in those specialised areas, rather than attempt to expand its overall evaluation capacity.

On the issue of outside actors in evaluation, officials at APARD said that they welcomed the inclusion of NGOs in evaluation processes, and gave the example of a recent evaluation of the Bharat Nirman scheme, which was facilitated by APARD and carried out by local NGOs. They said that the Academy would continue to support such projects.

### **5.11 Centre for Research in Rural and Industrial Development**

IHD conducted interviews with an official at the Centre for Research in Rural and Industrial Development in Chandigarh. It was reported that the official conducted two evaluation studies for Punjab Government, midterm appraisal of the eleventh plan. The study came up with some critical findings regarding resource mobilization. Some of the suggestions regarding financial allocation were accepted, but whether concrete actions were taken or not, is not clear.

According to the official, there is need to bring about change in the attitude of bureaucrats and government officials towards evaluation. The evaluation studies are effective only when evaluating agency is impartial and autonomous. A procedure should be followed to ensure that the recommendations and findings are acted upon.

Governmental in-house evaluations are always biased, so evaluations should be only done by autonomous universities and research institutions/organisations.

### **5.12 Sardar Patel Institute of Economic and Social Research**

In Gujarat, IHD interviewed personnel at the Sardar Patel Institute of Economic and Social Research, Ahmedabad. A lot of development evaluations have been going on, for both central as well as state government there. From the details on the activities related to socio-economic research being conducted by the Institute it was understood that while most of them were based on primary data collected there were some where it was not. Nearly sixty percent of the studies were evaluations of a particular project. The time taken for the completion of the project ranged from three months to one to two years. They had a list of 20 staff members, amongst which only 25 percent were teaching staff and only 1-2 were dedicated to evaluation studies. However the Institute insisted that its staff was involved in all stages viz., preparation of study

design, developing survey instruments, conducting field survey, analysis of data and report writing. The Institute had conducted training on macro economics with research scholars that was funded partly by the ICSSR. However it had not conducted a full-fledged evaluation training course.

SPIESR is currently evaluating the Indian government's programme 'SarvaShikshaAbhiyaan' (SSA) on state level. Apart from state and central government, the institute also receives funding from private funders, for instance CAPART is currently funding one of their evaluation studies. The concerned personnel of SPIESR agreed that development evaluations are quite critical for knowing whether existing components of the scheme are relevant or not. "Evaluations also contribute a lot in enhancing and improving the scope and efficacy of the schemes and development programmes. While doing evaluation we focus on the major lacunas which are there in the schemes."

On being asked whether the institute follows up its recommendations or findings and they have been taken up by concerned department seriously or not, it was reported that once the report is submitted, task of the institute ends with that. The evaluation studies are just carried out as routine work which has nothing to do with its further repercussions or impact upon the development schemes or programmes, although it is quite important to give inputs of the studies to policy makers. It was stated that the institution is being asked for many evaluation studies but most of the researchers are not interested in such evaluation studies since these studies lack serious research component. In the words of the personnel, "Also state government wants us to paint the picture in a certain way which researchers do not agree to do that is why it becomes quite difficult." It was stated that for development evaluation there should be a pool of researchers across institutes, organisation catering to different expertise and specialisation so that schemes of different nature could be evaluated effectively.

### **5.13 Gujarat Institute of Development Research**

The Gujarat Institute of Development Research, in Ahmedabad also conducts socio-economic research based on both primary data collection and analysis and secondary data. It undertakes around 25-30 research studies at a time out of which around 12 are evaluation studies. From 2004 to 2011 40 per cent of the studies it conducted were on poverty and human development; 35 per cent on natural resources management,



agriculture and climate change; 22 per cent on industry, infrastructure, trade and public finance; and the remaining on employment, migration and urbanisation. It had recently conducted two training programmes on contemporary economic issues and research methodology and applications for Ph.D Scholars and young researchers.

#### **5.14 Centre for Development Alternatives**

In Ahmedabad at the Centre for Development Alternatives it was noted by a distinguished member that the institute conducts evaluation studies once in a while. Evaluation of NREGA was done by the institute last year. The demand for evaluations generally comes from Central government or global funding organisations, while there is not much demand from Gujarat government.

Advocacy is done for various schemes/programmes but not always taken up seriously by concerned department. State government rarely engage research organisation in evaluating its development programmes/schemes. The member stated “While conducting evaluation studies, we do not stick to TOR only, we also add something from our side.” When talking about impediments in doing evaluation studies, political interests and ideology become more relevant rather than the bureaucratic hurdles. Even the bureaucrats have to work under the instruction of politicians and the established ideological set up to which they are committed.

In house evaluations by government have declined because they are cutting back on their expenditures on research work. There is a lack of staff in the evaluation directorate, department of planning, with no new recruitments done. Evaluation studies are taken up quite casually by the evaluation department since there is a common belief that all the schemes are working quite well.

In the member’s opinion development evaluation needs further improvement; it should be regular practice, a mechanism for ensuring smooth functioning of the schemes. The evaluations should be carried out by the third party organisation since in-house evaluations are not of much use. The evaluations should not be restricted to financial auditing but should be multidisciplinary, encompassing other factors as well.

### **5.15 Entrepreneurship Development Institute of India**

Interviews were conducted by IHD at the Entrepreneurship Development Institute of India, Ahmedabad. The interviewee told IHD that evaluation studies do not need theoretical rigour, the questions or the objectives are basic and methodology is fixed. It tries to look whether there have been any positive impact of the schemes and programmes. But most of the studies look out for numbers rather than outcome and findings are superficial. Some studies try to find out how to prick the limitations, to criticise; some studies try to look in a positive manner. The evaluation studies must highlight the real picture.

The evaluation studies should be conducted by independent organisation because the in house governmental evaluating organisation would not be impartial while evaluating government schemes and programme. Evaluations should be done by the institutions having expertise and specialisation in this field. The governmental evaluation organisations do not have critical understanding of the socio-economic factors, do not have theoretical insights and lack expertise and specialisations.

The major limitations of evaluations studies are: understanding of evaluation itself, conceptual approach and a proper methodology is lacking in majority of the studies. It was stated that ICSSR institutes should be given the responsibility of conducting evaluation studies. These institutions have better understanding of the states they are situated in. They have a thorough understanding of the local political and socio-economic dynamics.

A national level evaluation organisation should be formed which further coordinates with the state level research organisations. It should have common methodology. Findings should be consolidated at state as well as national level. Also there should be an active/participatory evaluation (done by NGOs) as well as midterm evaluations so that one can have outsiders' (objective) view as well as insiders' (subjective) view, which can further be deliberated and discussed together. And then based upon both the views one can come up with findings and recommendations.

### **5.16 Giri Institute of Development Studies**

Interviews conducted by IHD in the Giri Institute of Development Studies (GIDS), Lucknow yielded information that on an average every year 10-15 evaluation studies are carried out by the institute. While the time taken to complete these reports ranged

from 2-3 months to one year, it may be noted that in the year 2011-2012 it conducted a specific evaluation project on the 'Contribution of PRATHAM in Early Reading and Numeric Skill Development Programme in UP' which was completed in 2 months.

The personnel at GIDS accepted that man power constraint exists and noted that staff constraints were a hurdle in conducting quality evaluation studies, that faculty strength should be extended, and that the current staff was overburdened. It was also suggested that there be proper follow ups of the evaluation findings and recommendations and that there should be a follow up interaction between the evaluation organizations and the concerned department. The problem existed in the reality that government departments do not take these evaluation studies seriously. Since there is a compulsory provision for evaluation in each government schemes, evaluation is just treated as a routine work. The findings and recommendations of these studies might be critical but the government staffs take it as an impingement upon their autonomy of their own way of working. Thus the biggest hurdle is that Government departments are sometimes hostile to the findings and suggestions of the evaluation studies.

There is also an attitudinal problem as whether a department will accept the findings and work on it also depend upon the subjective opinion of the officers. In most of the cases it is just followed as normative work and no special emphasis is put on evaluation process. Quite contrary to the usual attitude, in programmes like the SarvaShikshaAbhiyaan (SSA) there have been some steps taken by the concerned department on the basis of the evaluation findings. Government evaluation organizations are usually less critical than the independent evaluation organizations. The evaluation process is taken as routine work, in quite a defensive manner, the officials also try to dilute the critical aspects of the evaluation reports. There is thus a recognised need that senior officials be given a proper training so that they can inculcate a positive attitude towards evaluation studies.

The personnel recommended that training of faculty and research staff in evaluation methodology by experts be conducted as it was needed; that more funds be allocated for conducting evaluation studies; and that the government should outsource the studies to competent institutions.

### 5.17 Child in Need Institute

Interviews were conducted in CINI, an NGO based in Jharkhand. CINI has two types of projects in Jharkhand – one is to provide technical support and the other is to work in field for Government. Their role is to influence policy and provide handholding support to government. CINI undertakes evaluations as per requirement and it is an ongoing internalized process within the organization. For government projects it has undertaken evaluation studies and in the last 5 years it has submitted 3 evaluation studies to the Government of Jharkhand. As an internal process followed within the organization all projects go through the stages of need assessment, design, strategy of implementation, mid-term evaluation and rectification, ongoing monitoring and planning and redesign.

They have undertaken a performance need assessment funded by the USAID which is a root cause analysis of ICDS functionaries in Jharkhand which is at the draft report stage. They will share the same when finalized. Similarly with USAID funding they undertook an evaluation to understand the cause behind poor utilization of flexi-funds under the National Rural Health Mission (NRHM) at the Primary Health Centre (PHC) Level. Their recommendations included both banking and non-banking arrangements for transfer of funds to the PHCs. Based on the same, the government approached them to roll out the implementation of the recommendations and develop guidelines for it besides training workers with respect to the guidelines. It was found that implementers at the PHC level did not have the guidelines and thus did not have any understanding of monitoring mechanisms either so there was poor utilization. CINI undertook a CASCADE training program which is a hierarchical training program for developing the resource pool within the government system. 4 districts were chosen by CINI and based on the experience of the same the plan was approved by the government at the state level. The problem clearly lay in the dissemination of guidelines and so it was a communication system failure. The PHC workers did not even recall the letters received. This was a case study of successful implementation and systemic response to recommendations of an evaluation study.

ICCHN (the social branch of ICICI Bank) has funded two evaluation projects for CINI. The first was an action research for low birth weight babies and the recommendations for reduction in the same. Starting with a situational analysis, they undertook a baseline evaluation, recommended actions to improve it and then

undertook and endline study. The second project was to provide technical support to Government to put Asha Resource Centre in each village. These are accredited social health activist centres.

The personnel at CINI went on to distinguish between monitoring and evaluation. While monitoring is a continuous and ongoing process where activities have to be undertaken as per plan, evaluation is a static concept which can be periodic for rectification. For long term projects and programs periodic evaluation has to be undertaken including a mid-term evaluation. With respect to constraints in evaluation it was pointed out that data verification based on past data is a problem especially in case of terminal evaluations. The time gap between the program implementation and the evaluation means that the impact of the program cannot be measured objectively and when the evaluation is undertaken the data has changed significantly.

## Chapter 6

### KEY OBSERVATIONS AND RECOMENDATIONS

***Staff Strength of the evaluation agency:*** Inadequate staff strength and poor quality of staff and personnel of the evaluation agency were some of the biggest problems with evaluation agencies. Well trained and dedicated staff is indispensable for conducting evaluations and in absence of that many evaluation studies are outsourced. Also lack of application of right survey tools is another impediment in the way of good quality evaluations. It was observed that nearly half of the questions asked in the evaluation questionnaires are irrelevant. A specific problem related to studies outsourced to academic institutions also was that some study teams showed an inclination to start collecting data on parameters unrelated to the objectives, which sometimes lead to loss of focus, and deviation from the Terms of Reference (ToR). Thus officials at various state and Central Govt. levels reiterated that staff strength must be increased.

***Extent of financial resources available to the evaluation agencies as percentage of the funds available for intervention:*** Budgeting and financial allocation for monitoring and evaluation have emerged as the key problem areas for central government departments. For instance, in Karnataka, strict guidelines were in place that laid down the cost of evaluation to be 1per cent of project cost subject to an upper ceiling of Rs 5 lakhs. Strictures like these ensured that there was a budget forcibly allocated towards development evaluation. In Bihar, officials stated that with respect to evaluation studies, earlier overseas grants used to go directly to the civil society and the NGOs and the donor agency conducted internal and external evaluations. Now the grant component has become less and all funds are coming through government so the process of evaluation has become completely government oriented. According to officials, the government is now using the civil society and NGOs in the form of a contractor and not as a partner according to officials.

***Number of evaluation studies done and the regularity with which they were carried out:*** It emerges from the study that evaluation studies were conducted periodically and the time taken for completion ranged from 3 months to 2 years. Delays in completion of studies were often cited as one of the stumbling blocks on the path to effective evaluation.

***Outsourcing of Studies and in-house evaluation:*** It has been observed a good number of evaluation studies were outsourced due to capacity issues and time constraints. Therefore despite the existence of an in-house monitoring cell and internal review mechanisms, Government Departments like the Department of Higher Education, (MoRD) assigned many schemes for evaluation to the Programme Evaluation Organization (PEO) and also had its own autonomous bodies like EdCIL, NUEPA including NCERT which undertook evaluation studies. Often institutes of social sciences and universities are entrusted with the responsibility of conducting statutory and annual financial audits and concurrent financial reviews, independent review missions on program progress and field level monitoring of government programmes. But as pointed out by one of the Tamil Nadu officials that outsourced studies did not always meet expected quality criteria. The main reason for this was institutional constraints faced by third parties (such as NGOs) in collecting secondary data from the concerned departments.

***The nature of interface between planning, implementing and evaluating agencies to facilitate feedback mechanism:*** Regarding the feedback process & use of evaluation reports, there seemed to be a consensus among the interviewees that the reports are generally kept in-house and confidential. As pointed out by officials, public authorities and governments often don't give evaluations the importance they deserve, and implementation and responsiveness to evaluations often depended on the respective state governments and vast inter-state and intra-state differences may also be observed. There is a disconnect between academic research and policy making, due to lack of issue-based focus and easily implementable recommendations and often absence of sharing of activities and research results led to duplication of efforts and missed opportunities for synergies between institutes.

***Development evaluation capacity - Capacity Development; Training; Constraints:*** Manpower shortage has mostly been cited as the biggest obstacle in development evaluation capacity. Appropriate training of evaluation staff is something that is usually neglected across departments and the biggest constraint is that the government has no expertise. There is need for capacity building amongst NGOs and research organizations for conducting evaluation studies. In this regard, it is worth mentioning that Karnataka has done commendable work acknowledged as best practices worth learning from.

**Training and sensitization** of staff conducting development evaluation is indispensable for good quality evaluation. Having competent staff alone is not enough. The staff also needs to be proficient in developing the right survey tools.

For external agencies conducting evaluations, inter-personal skills of staff conducting evaluations are a crucial element as there was increasing concern that government departments do not fully cooperate with external evaluators.

Another key problem of monitoring and evaluation is **budget and financial allocation**. If all funds for evaluation studies come through Government as is usually the practice in recent times, there is a danger that the process of evaluation is becoming completely government oriented.

The general opinion is that independent and unbiased outcomes cannot be achieved through in-house evaluation as there is conflict of interest in such cases. So this matter needs to be managed, utilized and interpreted with caution.

The **feedback mechanism needs to be strengthened** to incorporate the results of the evaluation study in the planning and implementing process. It was recommended that the Planning Commission should improve its method of publishing reports by making them available according to subject areas – this would also improve the quality standards of evaluations in the future by making the process more transparent. In this regard, the efforts of the Department for Agriculture, Rajasthan is worth mentioning. Once the evaluation is done, the department prepares booklets of fact-findings and it is sent to Additional Directors to act upon the fact findings. The real challenge is converting the recommendations of evaluation studies into executable action points which concretely impact and improve quality of implementation.

**Contribution of development evaluation towards the improvement of the performance of projects/ programmes in Ministry:** In several ministries there is a system to modify schemes or improve their effectiveness based on internal review. In the words of an official at the Department of Higher Education, development evaluation encourages schemes to move towards goals of universality and equity and urges deliveries in a time-bound manner. Through evaluation often many operational guidelines get ironed out. The recommendations of the in-house evaluations are used to improve the efficiency of programme implementation.



## ANNEXURE I

### Questionnaire for Central Ministries/Planning

### Commission/CAG/State Planning Departments

#### **BLOCK-I: Identification Particulars:**

1. Ministry/ Department: \_\_\_\_\_

2. Designation of Head of M & E Division and Service Cadre: \_\_\_\_\_

3. Contact Person (Name, Designation, Tel/Fax Nos.) \_\_\_\_\_

#### **BLOCK-II: Plan/Year-wise details of Development Programmes/ Schemes and Financial Allocations during 10<sup>th</sup>& 11<sup>th</sup> Five Year Plans periods:**

1. Name of Sanctioned Development Programmes/Schemes, allocation of funds and expenditure during 10<sup>th</sup>&11<sup>th</sup> Plan:

Rs. lakh

Plan/ Year *	Dev. Programme/ Scheme*	Outlay	B.E./Allocation	Expenditure
10 <sup>th</sup> Plan				
11 <sup>th</sup> Plan				

2009-10				
2010-11				
2011-12				

\* Please attach separate sheet, if required.

2. Allocation of Funds and Expenditure under Monitoring & Evaluation (M&E):

Rs.lakh

<b>FY Plans/ Years</b>	<b>Outlays</b>	<b>Allocations</b>	<b>Expenditure</b>	<b>Remarks</b>
10 <sup>th</sup> plan				
11 <sup>th</sup> Plan				
2009-10				
2010-11				
2011-12(Till date)				
<b>Total</b>				

No of Evaluation Studies done -

	<b>By the Ministry</b>	<b>By Monitoring and Evaluation Unit</b>	<b>Given to Specialised Agencies</b>	<b>Outsourced (Bidding)</b>
<b>2012-2011</b>				
<b>2011-2010</b>				
<b>2010-2009</b>				
<b>2009-2008</b>				
<b>2008-2007</b>				
<b>2007-</b>				

**BLOCK-III: In-house Evaluation of Schemes:**

- 1) Do you have a monitoring cell? Yes/No
- 2) If no why not?
- 3) Does the Ministry/ Department carry out evaluation studies on its own? \_\_Yes/No
- 4) If no , then why no?
- 5) How frequently are these studies conducted?

On what basis are they constituted?

- 6) Evaluation Machinery (personnel):
  - i) How many staff are there?
  - ii) Officers Dy. Secretary and above with designation and service cadre: \_\_\_\_\_
  - iii) Officers below Dy. Secretary with designation and service cadre: \_\_\_\_\_
  - iv) Supporting Officials: \_\_\_\_\_

7) (a) No. of evaluation studies done In-house during Tenth and Eleventh Plans: \_\_\_\_\_

(b) Please give the details-(titles, commencement and completion time) of any three studies along with their ToRs and copies of Reports: Formatting with space required.

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8) Please give names of the ongoing evaluation Studies being done by the Ministry/Department :

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9) How do you use these inputs? /What is the mechanism to incorporate the lessons for future improvement?

- If you have the capacity and are still outsourcing evaluation studies – then why?

**BLOCK-IV: Outsourcing of Studies:**

1. Number evaluation studies outsourced during 10<sup>th</sup> Plan \_\_\_\_\_ and 11<sup>th</sup> Plan
2. Number completed till 2008-09 : \_\_\_\_\_
3. Please give details of five such Studies along with copies of the Reports:-

Title of study (give code for type of study)	Year	Time taken	Type of Institution (give code)	Name & address of Institution	Cost of the study

**Codes for Type of Institutions:**

PEO-01; SEO-2; IIMs-03; IITs-04; Universities-05; Training and Research Institution attached to your Ministry-06; Large Autonomous Bodies such as NCAER, NIPFP, ICRIFR etc. 07; Large NGOs.-08; Small NGOs.-09; ICSSR supported institutions- 10; For-Profit Evaluation Agencies/ Consultants – 11; Any other(please Specify)-12

If given to Government agencies, then -

Time of commencement	Time of Completion/finalisation	Delay, if any	If abandoned, why?

4. What use were the findings of these Studies put to?

Title of the Study	Type of study (concurrent/ex-post)	Usefulness (give code)

**Codes for usefulness:** Revising targets-01; Revising Implementation-02; Increasing Fund allocation-03; Meeting needs of Auditors-04; Meeting requirements of Planning Commission-05; Meeting demands of Parliamentary Committees-06; Recommending major changes in the Design of the Scheme-07; Learning what works and what does not-08; Replacing Scheme with new one-09; Subsuming the Scheme with other Scheme-10; Any other(please specify)-11.

5. Please give names of outsourced ongoing evaluation studies:

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**BLOCK-V: Development Evaluation capacity, Training, Constraints & Suggestions:**

**A- Capacity Development:**

Measures taken to enhance In-house Evaluation Capacity:

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**B- Training:**

Details of Evaluation Training attended by the M&E staff of the Ministry/Department during the last five years: (keep provision for 5/6 persons)

Department	Designation of Officer	Training Programme organized by (Institute)	Subject of Training	Duration of Training	Are evaluation training facilities available sufficient? Yes/No

**C- Evaluation Constraints:**

Financial	In-house Expertise	Inadequate Manpower	Any other(specify)
Yes/No	Yes/No	Yes/No	Yes/No

**What other constraints and weaknesses existed in your opinion?.....**

**D- Do you agree that development evaluation can contribute towards improvement of performance of projects/programs of your Ministry? Please explain why and how.**

**E: Since capacity of Public Sector (PEO and State Evaluation Organisations) is limited, there is need to enhance and reform quality of existing capacity of Non-Governmental Institutions. Based on your experience, please suggest 3 to 4 areas where these Institutions need improvement to deliver quality evaluation results.**

Sl. No.	Areas	Suggestions

## ANNEXURE II

### Questionnaire for Research Institutes/NGOs/For profit organizations

#### **BLOCK-I: Identification Particulars**

1. Name & address \_\_\_\_\_  
\_\_\_\_\_

2. Name, Tel/Mobile/Fax Nos. and E-mail ID of Head of Evaluation Department: \_\_\_\_\_  
\_\_\_\_\_

#### **BLOCK-II: Primary activities of the unit:**

1. Primary activities:

(i) Teaching regular courses for degree/diploma: Yes/No/Not applicable

(ii) Training personnel engaged in: program/ project formulation; Implementation; M&E

(iii) Socio-economic research:

(a) With primary data collection and analysis

(b) Based on secondary data

(c) Both

(iv) How many research studies can be under taken at a time by your  
Department/Division/Organization:

(a) Research Studies: \_\_\_\_\_

(b) Evaluation Studies: \_\_\_\_\_

2.(A) If there are activities related to socio-economic research give information on studies  
done during the last five years;

Year	Title of Study	Broad research area (Codes)	Whether primary data collected (Yes/No)	Evaluation of specific project(Yes/No)	Time taken for completion of study
1	2	3	4	5	6
2004-05					
2005-06					

2006-07					
2007-08					
2008-09					

**Broad area research codes: ----- to be given**

2(B) If yes in column 5, section I(A), please give the following details:

(i) Title of Evaluation Studies:

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(ii) In how many stages, staff of the Institute was involved (please tick) :

- Preparation of Study design
- Developing survey instruments
- Conducting field survey
- Analysis of data
- Report writing

2(C) Please give us copies of five evaluation reports conducted during last five years

2(D) Please give Terms and Conditions of the reports of which copies are attached:

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**BLOCK-III: Strength and staffing pattern of the Institute:**

Sl. No.	Category	Qualification	Experience	Regular/adhoc/ contract

**BLOCK-IV- Training, Constraints and Suggestions:**

1(A) Training program organized by your Institute/ Department during the last 3 years:

Subject of training	Background of trainees(sponsors)	Financed by whom	Whether full-fledged evaluation training course: Yes/No	Whether a topic on evaluation was included in the trg. Programme (Yes/No)	Whether speakers on evaluation were: Internal faculty-1 External-2 Both- 3

1(B) Please give copies of training Manuals on evaluation lectures/programs.

2- Did your Officers and Staff have undergone M&E training during the last five years? If yes, please give following details:

Designation of Officer \$	Subject of Training	Duration of Training	Training program organized by (Name of the Institute)	Are evaluation training facilities available sufficient? Yes/No

\$ Please attach sheet, if required.

3- Evaluation Constraints:

Financial	Lack of Expert Evaluators	Inadequate Manpower	Any other(specify)
Yes/No	Yes/No	Yes/No	Yes/No

4- How far your evaluation findings were useful in improving the design/ implementation and performance of projects/programs? Please comment:

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5- Since capacity of Public Sector (Govt. Evaluation Organisations) is limited, there is need to enhance capacity of non-government institutions. Based on your experience, please suggest 3 to 4 main areas where these Institutions need improvement to deliver quality evaluation results.

Sl. No.	Areas	Suggestions

6- Views and Suggestions

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Place: \_\_\_\_\_

Date: \_\_\_\_\_

**ANNEXURE III**  
**META EVALUATION SCHEDULE**

1. Report title:
2. Project or programme evaluated:
3. Name of evaluator(s):
4. Evaluation Timing :
 

Concurrent	Post-implementation	Impact
Not specified	Not clear	Not specified
5. Evaluation Client:
 

Union Govt.	State Govt.	CAG
PEO	Donor Agency	
Civil Society Organization	Not clear	Not specified
6. Development Sector:
 

Rural Development	Health	Education
Social justice	Environment	Livelihood
Infrastructure	Other (please specify)	
7. Evaluation Region: State –
8. Date of Final Report -

Each evaluation report will be ranked by sector-specific experts in terms of the following indicators

((1) Missing: the standard is not addressed; (2) Unsatisfactory: the standard is addressed but not at the level specified, (3) Satisfactory: the standard is addressed; (4) Good: the standard is exceeded; (5) Excellent: can be considered best practice among the reports evaluated, (6) NA: the standard is not applicable)

Indicator	Description	
<b>Terms of Reference (ToR)</b>		<b>Grade</b>
1a. Purpose/Rationale of the evaluation is clearly defined	Purpose/Rationale explains why the intervention is being evaluated	
1b. Use and users clearly defined	The evaluation clearly identifies what will be the use of the evaluation, its users and target audience	
1c. Scope and focus is clearly identified	The TOR should either define the main evaluation questions, and/or list objectives. Objectives should relate to the purpose and be precisely stated so they guide the evaluator in terms of information needs and data to collect. Evaluation questions should be realistic and achievable. The TOR should specify evaluation criteria to be used – relevance, efficiency, effectiveness, sustainability and impact	
1d. Methodology specified	The TOR should define information sources for data collection, sampling procedures, including area and population and sample size; data analysis methods, measures expected to ensure that the evaluation process is ethical and that confidentiality and dignity of participants in the evaluation – e.g. interviewees, sources – will be protected	
1e. Roles and responsibilities of evaluators defined	The TOR should specify the roles and responsibilities of the evaluation team leader and team members, as well as other stakeholders and advisory structures involved. It should clarify who is responsible for liaison with the evaluation team;	

	providing technical guidance; coordinating the stakeholders involved; selection, orientation and training of team members, and data collection assistants, where applicable	
1f. Clear outputs, deadlines, formats specified	The TOR should explain clearly the outputs and/or products to be produced by the evaluation. The following should be included evaluation report; methodology, data sets and list of interviewees; dissemination material, formats for outputs/products, number of hard copies, translation requirements, structure and length of the evaluation report and deadlines.	
1g. If the rationale is given for evaluation	Rationale for the timing of evaluation	
1h If there is a clear evaluation selection process	Evaluator selection process – competitive bidding, standing offer)	
1i Expectations of the evaluating agency	Commissioning agency’s expectation of good humanitarian evaluation practice – reference to international laws and covenants, mixed methods, consultation with key stakeholders to inform findings, conclusions and recommendations, gender analysis	
1j Changes in ToR	Mention clarification process, if any, between the commissioning agency and the evaluation team about the scope and methods of evaluation that resulted in the modification of TOR	
<b>THE EVALUATION REPORT</b>		
2. Completeness of report	Presence of : Content, List of abbreviations, Executive summary; TOR, Bibliography, data collection instruments, Name and organization of the evaluators, name of the commissioning organization, list of people met (name, title, location)	

3. Quality of Executive Summary	<p>The Executive Summary should include:</p> <ul style="list-style-type: none"> <li>◆ Brief description of the programme/ project</li> <li>◆ Context of the programme/ project</li> <li>◆ Basic description of context and purpose of evaluation</li> <li>◆ Objectives of evaluation</li> <li>◆ Key features and methodology</li> <li>◆ Most important findings and conclusions</li> <li>◆ Key recommendations</li> </ul>	
4. Purpose of the evaluation outlined	<p>The evaluation should outline why it is being carried out – not to be confused with what it seeks to accomplish (objectives of evaluation). Purpose also relates to the timing of the evaluation in the project cycle. It may also be relevant to relate to country’s overall development policies</p>	
5. Use and users clearly defined	<p>How will the evaluation be used? Who will use it?</p>	
6. Objectives of evaluation clearly defined	<p>Clear statement of what the evaluation seeks to accomplish. May be detailed further in specific evaluation questions. Evaluation should also demonstrate how the objectives follow from the purpose</p>	
7. Quality of methodology	<ul style="list-style-type: none"> <li>◆ Logical link to evaluation objectives and evaluation questions</li> <li>◆ Follows good practice: accurate data, covers all affected people, cross checking of data collected from different sources, data collection methods, analysis, sampling design, explicit addressing of gender issues and marginalized groups in methodology</li> <li>◆ Efforts to control bias and</li> </ul>	

	acknowledgement of limitations	
8. Considerations given to propriety and ethics	Description of the measures and mechanisms put in place to ensure that the evaluation process was ethical, that stakeholders were protected and address any ethical dilemmas or issues that emerged	
9. Evaluator values and bias outlined	The perspectives, procedures and rationale used to interpret the findings should be carefully described so that the bases for value judgements are clear  Political and other beliefs and how these may have influenced evaluation results should be made clear	
10. The project/programme to be evaluated was clearly described	The programme being evaluated should be described and documented clearly and accurately, so that the project/programme is clearly identified, covering <ul style="list-style-type: none"> <li>◆ An outline of ways in which national and/or sub-national context shaped project/ programme design</li> <li>◆ Sufficient details about the project/ programme</li> <li>◆ Sufficient details about as to how the project/ programme was intended to address problems identified, including a causality analysis</li> <li>◆ Overall goal that the programme/ project was expected to contribute to and how it was expected to contribute. The overall goal may be related to national development plans and/or Millennium Development Goals (MDGs).</li> <li>◆ Any changes in project/ programme design and implementation</li> </ul>	
11. The role and contribution of different	The evaluation should outline who is involved, in what role and what they have contributed to the	



stakeholders clearly defined	programme/project – including financial resources, in-kind contributions, technical assistance, participation, staff-time, training, leadership, advocacy and lobbying. Should include any contribution from primary stakeholders	
12. Extent of Stakeholders/beneficiaries involvement	<p>Degree of participation of different stakeholders – participatory evaluation in</p> <ul style="list-style-type: none"> <li>◆ Identifying purpose</li> <li>◆ Identifying objectives</li> <li>◆ Formulating evaluation questions</li> <li>◆ Designing methodology</li> <li>◆ Designing data collection instruments</li> <li>◆ Collecting data</li> <li>◆ Analyzing data</li> <li>◆ Writing report</li> <li>◆ Establishing a follow-up action plan</li> </ul>	
13. Quality of assessment of gender mainstreaming	<p>Assessment of the implication for women and men of any planned action, policies or programmes or projects using</p> <ul style="list-style-type: none"> <li>◆ Sex-disaggregated data</li> <li>◆ Probing in intervention promoted gender mainstreaming</li> </ul>	
14. Quality of assessment of capacity development	<p>Assess the extent to which the intervention</p> <ul style="list-style-type: none"> <li>◆ Drew upon local characteristics and systems in designing and implementing the intervention</li> <li>◆ Provided relevant training</li> <li>◆ Developed a knowledge base and promoted its use</li> <li>◆ Developed systems including planning,</li> </ul>	

	<p>monitoring and evaluation systems to improve performance</p> <ul style="list-style-type: none"> <li>◆ Strengthened and promoted partnerships and networking</li> </ul>	
15. Quality of assessment of human rights	<ul style="list-style-type: none"> <li>◆ Assessment and analysis to identify the human rights claims of rights-holders and the corresponding human rights obligations of duty-bearers</li> <li>◆ Programmes assess the capacity of right-holders to claim their rights and of duty bearers to fulfill their obligations</li> <li>◆ Programmes monitor and evaluate both outcomes and processes guided by human rights standards and principles</li> <li>◆ Programming is informed by the recommendations of international human rights bodies and mechanisms</li> </ul>	
16. Evaluation enables to engage in evidence based policy dialogue	<ul style="list-style-type: none"> <li>◆ Use quantitative and qualitative data to analyse process, output, outcome and impact as well as contextual factors that facilitated or constrained the achievement of results;</li> <li>◆ Use causality and institutional and organizational context analysis to explain outcome and impact;</li> <li>◆ Analyse whether the intervention was based on stakeholder analysis;</li> <li>◆ Analyse whether the intervention promoted active partnerships and alliance building</li> <li>◆ Document new approaches and successful interventions which can be scaled up</li> <li>◆ Interpret evaluation findings in the context</li> </ul>	

	of MDGs and other larger goals of development.	
17. Quality of assessment of cultural issues	<p>Whether cultural aspects were adequately considered in the design and implementation of the intervention through;</p> <ul style="list-style-type: none"> <li>◆ Avoiding value judgments by grounding project design and implementation on evidence;</li> <li>◆ Talking to people, communities, community leaders, organizations, involving them in intervention design and implementation;</li> <li>◆ Basing interventions on local experience, skills and visions of what local communities and organizations defined as their own physical, psychological and material well-being;</li> <li>◆ Identifying, exploring and understanding local support systems, structures, norms and values that can be used and developed to promote universal human rights, gender equity and equality.</li> </ul>	
18. Quality of assessment of project/programme ownership	<p>Analyse if the intervention is</p> <ul style="list-style-type: none"> <li>◆ Consistent with priorities of the stakeholders and effective demand</li> <li>◆ Supported by local institutions and well-integrated with local social and cultural conditions</li> <li>◆ Involved participation of all major stakeholders in planning, implementation and monitoring and evaluation</li> <li>◆ Involved a system to ensure community co-financing or development of a system to ensure future local flow of funds to the</li> </ul>	

	intervention	
19. Quality of assessment of partnership and alliance building	<p>Assess</p> <ul style="list-style-type: none"> <li>◆ How the intervention addressed the development/ strengthening of partnerships and alliances to achieve planned intervention results</li> <li>◆ Whether it was based on a stakeholder analysis that identified the different levels of strategic alliances to achieve the planned intervention results</li> <li>◆ Whether specific results and indicators for partnership building were identified</li> </ul>	
20. Quality of assessment of results based management (RBM)	<p>The following dimensions of RBM should be addressed</p> <ul style="list-style-type: none"> <li>◆ Existence of a well defined and results oriented programme/project planning, monitoring and evaluation system</li> <li>◆ Availability of indicators that the programme/project had planned to use to monitor performance</li> <li>◆ Indicators that implementers actually used</li> <li>◆ How stakeholders tracked the indicators and used them as well as other monitoring and evaluation mechanisms to assess performance and results and to adjust objectives and strategies of the programme/ project</li> </ul>	
21. Quality of assessment with regards to relevance	<p>Evaluation should look into</p> <ul style="list-style-type: none"> <li>◆ Whether the project/ programme design is in line with national needs, priorities of target groups</li> <li>◆ Synergy between the intervention and</li> </ul>	

	<p>policies of other development partners</p> <ul style="list-style-type: none"> <li>◆ Whether results of intervention are relevant to stakeholders – have the right kinds of resources, training or information been provided?</li> </ul>	
22. Quality of assessment with regards to effectiveness	<ul style="list-style-type: none"> <li>◆ Causality analysis to explain how inputs and activities led to outputs, outcomes and impact</li> <li>◆ Assessment of coverage</li> <li>◆ Assessment of constraining and facilitating factors</li> </ul>	
23. Quality of assessment with regard to efficiency	<ul style="list-style-type: none"> <li>◆ Assessment of the quality of output achieved in relation to the expenditure incurred or resources used</li> <li>◆ Assessment of timeliness of inputs and outputs</li> <li>◆ Whether there was adequate justification for the expenditure incurred and whether the resources were spent as economically as possible, taking into account possible alternatives</li> </ul>	
24. Quality of assessment with regard to sustainability	<ul style="list-style-type: none"> <li>◆ Assessment of the extent to which the intervention have had or are likely to have lasting results after the termination of the intervention and withdrawal of external resources</li> <li>◆ Assessment of the factors affecting sustainability, replicability in other regions and adaptability in other contexts</li> <li>◆ Assessment of the availability of local management, financial and human</li> </ul>	

	resources needed to maintain the intervention over a longer term	
25. Quality of assessment with regards to impact	<ul style="list-style-type: none"> <li>◆ Positive and negative long term effects on identifiable population groups produced by an intervention, directly or indirectly, intended or unintended;</li> <li>◆ These effects can be economic, socio-cultural, institutional, environmental or technological</li> </ul>	
26. Quality of conclusions	<ul style="list-style-type: none"> <li>◆ Add value to the findings</li> <li>◆ Flow logically from and reflect the central findings</li> <li>◆ Cite information that supports each conclusion</li> <li>◆ Provide a clear and defensible basis for value judgements made</li> <li>◆ Focus on issues of significance to an intervention</li> <li>◆ Choice of issues to relate back to the objectives of evaluation and the key questions identified for evaluation</li> </ul>	
27. Quality of recommendations	<ul style="list-style-type: none"> <li>◆ Should follow logically from the findings and conclusions</li> <li>◆ Be relevant to the intervention</li> <li>◆ Be clearly stated and not broad or vague</li> <li>◆ Be realistic and reflect an understanding of the commissioning organization and potential constraints to follow up</li> <li>◆ Be prioritized with a time frame for follow up and suggest where responsibility for follow up should lie</li> <li>◆ Be formulated with participation of the stakeholders</li> </ul>	
28. Quality of lessons learnt	Contribution to general knowledge with implications for future action	

## ANNEXURE IV

### List of Evaluation Studies Collected

<b>Kerala</b>	
1. Socio-Economic Impact of AHADS in Attappady: A Quick Evaluation Study Oct 2010	Evaluation Division, Kerala State Planning Board
2. An evaluation study on Jalnidhi Projects in Kerala, Oct 2009	Evaluation Division, Kerala State Planning Board
3. Time Series Analysis of the trend in Agriculture production Oct 2011	Evaluation Division, Kerala State Planning Board
4. Plan Outlay and Expenditure Kerala (1957-2007), Vol II, Oct 2010	Evaluation Division, Kerala State Planning Board
5. The Performance of NREGS in phase I and Phase II Districts in Kerala	Evaluation Division, Kerala State Planning Board
6. RSBY-CHIS Evaluation Survey - 2009	The Research Institute, Rajgiri College of Social Sciences, Kochi

<b>West Bengal</b>	
1. District Human development Report, Uttar Dinajpur, 2010	Development and Planning Department, Government of West Bengal
2. District Human Development Report, South 24 Parganas, 2009	Development and Planning Department, Government of West Bengal
3. District Human Development Report, North 24 Parganas, 2009	Development and Planning Department, Government of West Bengal
4. District Human Development Report, Hooghly, 2010	Development and Planning Department, Government of West Bengal
5. District Human Development Report, Malda, 2007	Development and Planning Department, Government of West Bengal

	Bengal
6. District Human Development Report, Bankura, 2006	Development and Planning Department, Government of West Bengal
7. District Human Development Report, PurbaMedinipur, 2011	Development and Planning Department, Government of West Bengal
8. District Human Development Report, Birbhum, 2008	Development and Planning Department, Government of West Bengal

<b>Bihar</b>	
1. Brief Study of fund flow under Chief Minister's School Uniform Scheme, 2011-12	Evaluation Directorate, Scheme and Development Department
2. Evaluation Study of Indira Awaas Yojana, 2010	Development and Research Services Pvt. Ltd., New Delhi
3. Draft Report on evaluation of Installation of Hand Pumps In Bihar	Datamation Consultants Pvt. Ltd., New Delhi

<b>Odhisha</b>	
1. Odhisa Watershed Development Mission Report 2010	Odhisa Watershed Development Mission
2. Impact Assessment of Orissa Tribal Empowerment and Livelihood Programme, Feb, 2005	Knowledge for Change
3. Annual Outcome Survey, 2010-11	Orissa Tribal Empowerment and Livelihoods Programme
4. Impact Assessment of Land & Water Management Interventions on Agriculture and Horticulture Development in Phase I areas of	Orissa Tribal Empowerment and Livelihoods Programme



OTELP	
5. Western Orisaa Rural Livelihood Project Output to Purpose Review 2008	nr international
6. Report of Comptroller & Auditor General of India, Civil, March 2011	Government of Orissa
7. Agricultural Study Diversification of Agricultural Crops	D.J. Research & Consultancy Pvt. Ltd.
8. Report of the concurrent Evaluation Study of RLTAP in KBK districts	Nabcons, Orissa Regional Office
9. Evaluation study of Ayurvedic and Homeopathic Dispensaries and Herbal Gardens in all the eight KBK Districts of Orissa	Orissa Voluntary Health Association, Bhubaneswar
10. Report of the concurrent Evaluation Study of RLTAP in KBK districts	Nabcons, Orissa Regional Office
11. Scholarship/stipend for SC& ST Girls and 40 Seated Hotels	Agricultural and Rural Development Consultancy Society
12. Post Evaluation Study of BijuKrushakVikasYojana (BKVY) and PaniPanchayats (PP) in KBK Districts of Orissa	IIT Kanpur
13. Report of the Concurrent Evaluation Study of RLTAP in KBK Districts	Nabcons, Orissa Regional Office
14. EVALUATION STUDY Mid Day Meal And Emergency Feeding Programme under RLTAP	D.J. Research & Consultancy Pvt. Ltd.
15. An Evaluative Study on “Water & Sanitation Services” In KBK Region of Orissa	CYSD, Bhubaneswar
16. EVALUATION STUDY WATERSHED DEVELOPMENT AND COFFEE PLANTATION UNDER REVISED LONG TERM ACTION PLAN	D.J. Research & Consultancy Pvt. Ltd.
17. Evaluation of Development of Poultry and Diary, Organization of Veterinary Health Camps,	Centre for Social Development, Kalinga Institute of Industrial

Heat Induction Camps and De-worming Camps & Marketing of Milk under RLTA in KBK districts	Technology
18. Report of the Concurrent Evaluation Study of RLTA in KBK Districts, Development of Handlooms and Strictures	Nabcons, Orissa Regional Office
19. Mobile Health Unit and Primary Health Delivery System under RLTA in KBK Districts (An Evaluation Study)	Agricultural and Rural Development Consultancy Society
20. EVALUATION OF SPECIAL NUTRITION PROGRAMME (SNP) and ICDS UNDER REVISED LONG TERM ACTION PLAN (RLTA) IN THE K.B.K. DISTRICTS OF ORISSA	AGRICULTURAL FINANCE CORPORATION LIMITED
21. Post Evaluation Study of the Scheme of Micro-Credit Help to Women Self Help Groups (WSHG) in KB Districts of Orissa	IIT Kanpur

<b>Jharkhand</b>	
1. Annual Report 2008-09	Planning & Development Department, Jharkhand
2. Annual Report 2009-10	Planning & Development Department, Jharkhand
3. Annual Report 2010-11	Planning & Development Department, Jharkhand

<b>Karnataka</b>	
1. Evaluation of Gram Panchayat Libraries	Institute of Social Sciences, Bangalore
2. Evaluation of ICDS in Karnataka, Feb 2006	Institute for Social and Economic Change
3. An Evaluation Study on the	Dr. B. R. Ambedkar Research Institute

Atrocities & Compensation given to Victims of Atrocities on Schedule Caste in India	
4. Concurrent Social Audit and Evaluation Study of Y.G. Gudda New Tank Project, January 2004	Technical Consultancies Services Organisation of Karnataka
5. Development of Degraded Forest Scheme, November 2006	Centre for Symbiosis of Technology, Environment and Management, Bangalore
6. Evaluation of Vaccine Production, Distribution and Utilization	Create Systems, Chennai
7. Evaluation of Regional Development Boards of Karnataka	
8. Floor Price Revolving Fund Scheme	Justice Hegde, Institute of Management, Karnataka
9. Report on Farm Sector in Karnataka 2011	
10. MGNREGS Final Report on Karnataka 2011	NarenderPani and Chidambaram G Iyer, National Institute of Advanced Study
11. Report of the Regional Consultation of Southern States on the 'Approach Paper to the 12th Five Year Plan	
12. Restructuring Centrally Sponsored Schemes (CSS): Insights from Karnataka – Nov 2011	
13. Impact Assessment Study of Vishwa Programme for Department of Industries and Commerce, Gov of Karnataka – May 2004	Technical Consultancy Services Organisation of Karnataka (TECSOK )
14. Draft Annual Plan of Karnataka 2012-13 Vol I & II	

<b>Haryana</b>	
1. ES of Decentralized Planning Scheme in Haryana 2005	Economic & Statistical Organisation Planning Department, Haryana, Chandigarh
2. ES of ICDS in Haryana - 2007	Economic and Statistical Adviser, Planning Department, Haryana
3. ES of Degraded Forest Scheme in Haryana 2006	Economic and Statistical Adviser, Planning Department, Haryana
4. Evaluation Study of SarvaShikshaAbhiyaan, Haryana	Department of Economic and Statistical Analysis, Haryana
5. ES of RSBY Haryana 2011, Ministry of Labour and Employment	Mott Macdonald
6. National Programme of the Mid Day Meal in Haryana	Director Elementary Education Haryana Panchkula
7. ES of Post Matric Scholarship given to SCs	Department of Economic and Statistical Analysis, Haryana
8. Es on the Impact of Activities of Mahila Mandals	Department of Economic and Statistical Analysis, Haryana
9. ES of Field Channels/Water Courses Constructed Under Command Area dev 2009	Department of Economic and Statistical Analysis, Haryana
10. ES of Solar Lantern and SPV Home Lighting Systems in Haryana	
11. Family Budget of Cultivators in Haryana 2006-07	Economic and Statistical Adviser, Planning Department, Haryana
12. Evaluation Study of SravaSikshaAbhiyan 2009	Economic and Statistical Adviser, Planning Department, Haryana
13. Impact of Incentives to Promote Education among EWS and Ph students of Classes 6-8 & 9-12	Economic and Statistical Adviser, Planning Department, Haryana
14. Analysis of National Agricultural Insurance Scheme in Haryana 2010	Economic and Statistical Adviser, Planning Department, Haryana
15. Evaluation Study of Mid Day Meal	Economic and Statistical Adviser, Planning

	Department, Haryana
16. Evaluation Study of MGNREGS	Economic and Statistical Adviser, Planning Department, Haryana

<b>Uttar Pradesh</b>	
1. ES RSBI - Jaunpur, UP	Amicus Advisory Private Limited
2. Evaluation of "Model Chauki Kit PalanYojana"	Evaluation Organisation, State Planning Department
3. Evaluation Study of National Industrial Mission	Evaluation Organisation, State Planning Department
4. RIDF Schemes for Check Dams & Pump Evaluation Study	Evaluation Organisation, State Planning Department
5. National Agriculture Development Scheme Evaluation	Evaluation Organisation, State Planning Department
6. Evaluation of Horticulture Development in Densely Polpulated areas Scheme	Evaluation Organisation, State Planning Department

<b>Rajasthan</b>	
1. Impact ES of NWDPRWA Watershed, DeoliKalan 2005	Central Soil Water Conservation Research and Training Institute, Kota
2. Evaluation of Development Programmes in Barmer, Rajasthan	Advantage India, New Delhi
3. Irrigation Department, Evaluation, Ajmer 2012-13	Gvt. Of Rajasthan, Evaluation Organisation
4. Irrigation Department, evaluation, Bikaner 2012-13	Gvt. Of Rajasthan, Evaluation Organisation
5. Chief BPL Evaluation of Survival Fund Scheme 2011-12	Gvt. Of Rajasthan, Evaluation Organisation
6. Cooperation Jodhpur" run by"	Gvt. Of Rajasthan, Evaluation Organisation

comprehensive study to evaluate the cooperative development project 2011-12	
7. Powered by SSA polio Kraktiv surgery results impact assessment studies 2011-12	Gvt. Of Rajasthan, Evaluation Organisation

<b>Himachal Pradesh</b>	
1. ES of RSBY in Shimla and Kangra Districts	Amicus Advisory , New Delhi

<b>Andhra Pradesh</b>	
1.CGG, 'Evaluation and Lesson Learning on DFID Support to Andhra Pradesh' - Apr 2008	Centre for Good Governance
2.CGG, 'State Financial Accountability Assessment of Government of AP - A Post Implementation Impact Study' -Mar 2008	
3.IFAD, 'Andhra Pradesh Tribal Development Project – Completion evaluation' 2001	International Fund for Agricultural development
4.Forest Peoples Programme and Samata, ; Andhra Pradesh Community Forest Management Project – A preliminary independent evaluation of a World Bank forestry project' – May 2005	Forest Peoples Programme
5.CGG, 'Evaluation of DFID support to Andhra Pradesh- Lessons learnt from Municipal Service Delivery' - Apr2008 (1)	Centre for Good Governance
6. K.C. Badatya and R.V. Reddy, 'Rural Entrepreneurship Development Programme in Andhra Pradesh - An Impact Evaluation' 2008	NABARD, Andhra Pradesh Regional Office, Hyderabad
7. K.C. Badatya and S.P. Mohapatra, 'Agriculture Marketing Infrastructure - An Ex-Post Evaluation Study in Andhra Pradesh' 2010	NABARD, Andhra Pradesh Regional Office, Hyderabad
8. K.C. Badatya and S.P. Mohapatra, 'Participatory Irrigation Management - An Impact Study of Water Users' Associations in Andhra Pradesh' 2010	NABARD, Andhra Pradesh Regional Office, Hyderabad

9. K.C. Badatya, 'Mango in Andhra Pradesh - A Commodity Specific Study' 2007	NABARD, Andhra Pradesh Regional Office, Hyderabad
10. K.C. Badatya, B.B. Wadavi and Ananthi S., 'Microfinance for Microenterprises - An Impact Evaluation Study of Self Help Groups' 2006	NABARD, Andhra Pradesh Regional Office, Hyderabad
11. K.J.S. Satyasay and R. Chandra, 'Promoting Rural Industrialization - District Rural Industries Project in Andhra Pradesh' 2009	NABARD, Andhra Pradesh Regional Office, Hyderabad
12. P. Leelavathi and K. Hanumantha Rao, 'Planning and Implementation of National Rural Employment Guarantee Scheme in Andhra Pradesh – A Process Study' NIRD 2010	NIRD, Hyderabad, AMR, Hyderabad
13. Rao and Krishna, 'Empowerment of Women Through Literacy – An Innovative Experiment in West Godavari District of Andhra Pradesh' APARD	
14. Rao, 'Literacy and Livelihood Through Self Help Groups in Urban Settings An Innovative Experiment in West Godavari District of Andhra Pradesh'	
15. World Bank, A Cluster Assessment of Forestry and Watershed Development Activities - June 2011	Independent Evaluation Group, World Bank
16. World Bank, Performance Assessment Report of Andhra Pradesh Forestry Project - July 2002	World Bank

<b>Tamilnadu</b>	
1. (NABARD), Tamil Nadu Regional Office, Chennai, 'Evaluation Study on Rural Roads Financed under RIDF in Dindigul District' 2003	NABARD, Tamilnadu Regional Office, Chennai
2. (NABARD), Tamil Nadu Regional Office, Chennai, 'Tea in Tamil Nadu - A Commodity Study in Nilgiris and Coimbatore Districts' 2006	NABARD, Tamilnadu Regional Office, Chennai
3. AashishVelkar, 'Tamil Nadu Precision Farming Project - An Evaluation' - March 2008	Department of Economic History, LSE
4. Avvai Village Welfare Society and Aide et Action, 'Impact Evaluation Report Of Equitable	Evvai Village Development Society

Rehabilitation of Tsunami Victims (ERTV) Project, Sirkali (2005-07)' 2007	& Aide et Action
5. Government of India (GoI) Impact Assessment of Pradhan Mantri Gram SadakYogana (PMGSY)in the States of Assam, HP, MP, Mizoram, Orissa, Rajasthan, Ut	MoRD, Monitoring Division
6. IIT Madras, 'Evaluation of National Rural Employment Guarantee Act in Cuddlore, Dindugal, Kanchipuram, Nagai, Thiruvallur Districts, Tamil Nadu' 2009	IIT Madras
7. NABARD Tamil Nadu Regional Office Chennai Combine Harvesters In Tiruvallur And Salem Districts Of Tamil Nadu An Evaluation Study 2005	NABARD, Tamilnadu Regional Office, Chennai
8. Vimala Ramachandran and Fatima Alikhan, 'KGBV Evaluation Tamil Nadu' - March 2007	
9. World Bank, 'India - First and Second Tamil Nadu Urban Development Projects' 2007	
10. Evaluation Report on the Impact of the Command Area Development and Water Management Programme (CADWMP) in ThirukoilurAniacut in Villupuram District	GoTN, Department of Evaluation and Applied Research, Kuralagam, Chennai
11. Concurrent Evaluation Study Report on National Food Security Mission – May 2011	GoTN, Department of Evaluation and Applied Research, Kuralagam, Chennai
12. Mid Term Evaluation Report on Tamil Nadu Afforestation Project Phase II – March 2010	GoTN, Department of Evaluation and Applied Research, Kuralagam, Chennai

<b>ASSAM</b>	
1. Physical Monitoring Report on Rajiv gandhi Computer Literacy Programme	Evaluation and Monitoring Division, Planning and Development Department, Dispur, Assam
2. Evaluation Study on Mid-Day Meal Scheme in five Districts of Assam, Nov 2009	Evaluation and Monitoring Division, Planning and Development



	Department, Dispur, Assam
3. Evaluation Study on Functioning of Gopal Mitra Programme in Assam 2009	Evaluation and Monitoring Division, Planning and Development Department, Dispur, Assam
4. Evaluation Study on Impact of Boarder Area Development Programme in Assam 2009	Evaluation and Monitoring Division, Planning and Development Department, Dispur, Assam
5. Special Monitoring of Schemes conducted during 2009-10	Evaluation and Monitoring Division, Planning and Development Department, Dispur, Assam

<b>Ministry of Rural Development</b>	<b>Evaluation Done by</b>
1. Annula Report 2008-09	MoRD
2. Annual Report 2007-08	MoRD
3. Annual Report 2006-07	MoRD
4. Annual Report 2009-10	MoRD
5. Annual Report 2010-11	MoRD
6. Evaluation of Sector Reforms Projects in Rural Drinking Water supply sector	CMI Social Research Center2005
7. Annual Report 2011-12	MoRD
8. Evaluation of Accelerated Rural Water Supply Programme- 2010	CMI Social Research Center
9. Evaluation Study of Sub-Mission Projects under ARWSP 2009	AMS Research
10. Impact Assessment of PMGSY 2011	CMI Social Research Center
11. Evaluation Study of Centrally Sponsored Schemes of DRDA Administration Vol-I & II 2008	DRS Development and Research Services Pvt. Ltd
12. Concurrent Evaluation of Swarnajayanti Gram SwarozgarYojana 2007-08	Centre for Management

	Development
13. Concurrent Evaluation of SampoornaGrameenRozgarYojana 2005	Centre for Management Development

<b>PEO - Programme Evaluation Commission, Planning Commission, New Delhi</b>	
1. Es of Construction of Hostels for Boys and Girls (All India) 2009	PEO, Planning Commission
2. Evaluation Report National Old Age Pension Scheme J & K	PEO, Planning Commission
3. Evaluation Study on Construction of Hostels For SC Boys & Girls	PEO, Planning Commission
4. All India Report on Evaluation of NREGA A survey of 20 Districts	PEO, Planning Commission
5. QUICK EVALUATION STUDY ON RL TAP OF KBK DISTRICTS IN ORISSA	PEO, Planning Commission
6. Sampoorna Gram RozgarYojana Jammu & Kashmir	PEO, Planning Commission
7. Evaluation Report on Swarjayanti Gram SwarajYojana J & K	PEO, Planning Commission
8. Performance Evaluation of Targeted Public Distribution System	PEO, Planning Commission
9. Evaluation Study on Integrated Dairy Development Project	PEO, Planning Commission
10. Evaluation Report on Member of Parliament Local Area Development Scheme	PEO, Planning Commission
11. Evaluation Study On National Project on Biogas Development	PEO, Planning Commission
12. Performance Evaluation of Statutory Development Boards	PEO, Planning Commission
13. Eva Study rural Road Components Bharat Nirman, Planning	PEO, Planning

Commission	Commission
14. Evaluation Study Decentralized Training Programme for Handloom Weavers, Planning commission	PEO, Planning Commission
15. Evaluation Study On District Poverty Initiatives Project in Madhya Pradesh	PEO, Planning Commission
16. Study on Employment Assurance Scheme	PEO, Planning Commission
17. Performance Evaluation Of Cooked Mid-Day Meal (CMDM)	PEO, Planning Commission
18. Evaluation Report on SarvaShikshaAbhiyan	PEO, Planning Commission
19. Evaluation Report On Integrated Child Development Scheme (ICDS) Jammu & Kashmir	PEO, Planning Commission
20. Evaluation Report On Indira AwaasYojana (IAY)Jammu & Kashmir	PEO, Planning Commission

<b>State Evaluation Report (PEO)</b>
1. Impact of Irrigation and Minor Irrigation Under AIBP in Uttarakhand
2. Impact Assessment of Externally Aided Project Interventions for Livelihood of Poor and Marginalized KBK District Orissa
3. Kudumbashree Project
4. Continuing education Programme, AN Impact study
5. Assessment of Watershed Development Programme in Gujarat
6. Impact Assessment & Study of Socio-economic Development Programmes in Himachal Pradesh

## ANNEXURE V

### List of Officials Interviewed

<b>Date</b>	<b>Name of the Official Interviewed</b>	<b>Designation</b>	<b>Department</b>
12-Apr-12	Dr. N. K. Sahu	Economic Advisor	Rural Development Ministry of Rural Development
16-Apr-12	Mr. Niten Chandra	Joint Secretary	Rural Development Ministry of Rural Development
17-Apr-12	Mrs. Rashmi Singh	Executive Director	National Resource Centre for Women Ministry of Women and Child Development
17-Apr-12	Mrs. Deepa Ahluwalia	Advisor	National Resource Centre for Women Ministry of Women and Child Development
30-Apr-12	Mr. Rohit Kumar Singh	Joint Director	Road, Transport and Highways Ministry of Road, Transport and Highways
10-May-12	Mr. Vijay Prakash	Principal Secretary	Planning Government of Bihar
11-May-12	Mr. P. K. Verma	Additional Director	Evaluation Government of Bihar
11-May-12	Rupa Prasad	Senior Consultant	Directorate of Evaluation Government of Bihar
11-May-12	Manoj Narayan	Senior Consultant	Directorate of Evaluation Government of Bihar
10-May-12	Dr. Saibal Gupta	Director	Asian Development Research Institute Bihar
10-May-12	Dr. Ghosh	Founder Member	Asian Development Research Institute Bihar
11-May-12	Ganeshji,		Aditi, NGO Bihar
10-May-12	Dr. Diwakar	Director	A. N. Sinha Institute of

			Social Sciences Bihar
14-May-12	Ms. AatreyaMajumdar & Mr. Bindeshwar Kumar		Care India, Ranchi Jharkhand
14-May-12	Mr. RanjanKanti Panda	Team Manager	CINI, Jharkhand Unit Jharkhand
14-May-12	Mr. Amit Kumar Barman	State Programme Manager	NRM & Livelihood, Citizen Foundations Jharkhand
14-May-12	Mr. A. P. Singh	Secretary	Industries Department, Welfare Department Government of Jharkhand
14-May-12	Mr. Deepak Singh	Special Secretary	Welfare Department Government of Jharkhand
14-May-12	Ms. Shelly & J, Kerketta		GOI-UN Joint Programme on Convergence, Planning and Development Department Government of Jharkhand
14-May-12	Mr. Avinash Kumar	Secretary	Planning and Development Department Government of Jharkhand
04.05.12	Sayanti Roy	Senior Research Officer	Evaluation, Monitoring and Manpower Division, Development and Planning Department Government of West Bengal
24.5.12	Dr. S. Madheswaran	Chief Evaluation Officer	Karnataka Evaluation authority, Planning Programme Monitoring & statistics Department Government of Karnataka
30.3.12	G. Vijayraghavan		Kerala State Planning Board Government of Kerala
26.06.12	Dr. Daulat Mehta	Director/De puty Secretary	Evaluation Organisation, Government of Rajasthan
26.06.12	J. S. Sandhu	Jt. Director	Agriculture Government of Rajasthan
26.06.12	Mohan Laal & Saxena	Officials	Agriculture Government of Rajasthan

25.07.12	Mr. S.S. Sirohi	Joint Director	Evaluation Organisation, Government of Uttar Pradesh
26.07.12	Dr. A.K. Singh	Director	Giri Institute of Development Studies ICSSR Institute
21.08.12	Mr. R. K. Bishnoi	Director	Department of Economic and Statistical Analysis Government of Haryana
22.08.12	Dr. Pramodkumar	Director	Institute for Development & Communication Chandigarh
23.08.12	Dr S. S. Gill	Director General	Centre for Research in Rural and Industrial development Chandigarh
1.09.12	Mr. Ashutosh	Officials	Evaluation Cell, Planning Department Delhi
4.09.12	Dr. Niti Mehta	Director	Sardar Patel Institute of Economic and Social Development Ahmadabad
5.09.12	Indira Hirway		Centre for Development Alternatives Ahmadabad
6.09.12	Dr. Kalpesh Shah	Deputy Secretary	Department of Planning Sachivalaya, Gandhinagar
6.09.12	Dr. V. N. Maira	Secretary	Department of Planning Sachivalaya, Gandhinagar
7.09.12	Dr. Dinesh Awasthi	Director	Entrepreneurship Development Institute of India Ahmadabad
	Sanjay Gupta,	Add'l Project Officer & I.O.,	Andhra Pradesh State Development Planning Society, State Planning Department, Government of Andhra Pradesh
	M.S. Shastri,	Head, M&E Division, State Planning Department, Government of Andhra Pradesh	

	Ms. T. VaniSriram,	Accountant General (General & Social Sector)
	Dr. N. Srinivas Rao,	Director, Regional Evaluation Office, Hyderabad
	Dr. S.R. Varma ,	Economic Officer Regional Evaluation Office, Hyderabad
	Dr. N. Venkateshwarulu,	Economic Officer Regional Evaluation Office, Hyderabad
21/06/2012	Dr. V. S. Chary,	Director Centre for Urban Governance & Dean of Research, ASCI
21/06/2012	Dr. Hemnath Rao,	Director Centre for Poverty and Rural Development & Dean of Management Programmes,
26.06.12	Dr. AnandAkundy,	Director Centre for Human Development, ASCI
	Prof. R.K. Mishra,	Institute of Public Enterprise (IPE), Hyderabad
	B. Rajsekhar, IAS	Chief Executive Officer Society for Elimination of Rural Poverty, Hyderabad
	Dr. C.P.N. Reddy	Head, Monitoring & Evaluation Unit Society for Elimination of Rural Poverty, Hyderabad
	Manoj Panda	Director Centre for Economic and Social Studies, Hyderabad
	Dr. Kalpana Kannabiran	Regional Director Council for Social development
	C. Palanisamy	Director Department of Evaluation and Applied Research (DEAR) Government of Tamil Nadu
	V. Jayasundari	Deputy Director Department of Evaluation and Applied Research (DEAR) Government of Tamil Nadu
	R. Mala	Department of Evaluation and Applied Research (DEAR) Government of Tamil Nadu

4.7.12	SanthaSheela Nair, IAS (ret'd)	Vice Chairperson State Planning Commission Government of Tamil Nadu
3.7.12	Anil Meshram, IAS	Member-Secretary State Planning Commission Government of Tamil Nadu
3.7.12	Dr. K.R. Jahan Mohan	Head of Division Agricultural Policy and Planning, State Planning Commission Government of Tamil Nadu
3.7.12	Jayanti M., IFS	Head of Division Head of Division, Land Use, State Planning Commission Government of Tamil Nadu
	Dr. ArunaRathnam	Education Specialist UNICEF Field Office for Kerala and Tamil Nadu
	Vidyasagar Ramamurthy	Child Protection Specialist UNICEF Field Office for Kerala and Tamil Nadu
	Dr. AkilaRadhakrishnan	Planning and Monitoring Specialist UNICEF Field Office for Kerala and Tamil Nadu



## ANNEXURE VI

### List of Reports sent for Meta Data Evaluation

1.	Rural Roads in Tamilnadu: Evaluation study on Rural Roads Financed under RIDF in Dindigul District
2.	An Evaluation Study on Vikas Mein Jan Sahyog Programme in Himachal Pradesh
3.	Impact Assessment of Land & Water Management Interventions on Agriculture & Horticulture Development in Phase I Areas of OTELP, Orissa
4.	Impact assessment of Pradhan Mantri Gram Sadak Yojana
5.	The Performance of NREGS in Phase I & Phase II Districts in Kerala: An Evaluation Study
6.	Evaluation of ICDS in Karnataka
7.	Evaluation of Ground Water Charging/ Construction of Check dams, Allahabad
8.	Evaluation Study of MGNREGS, Government of Haryana
9.	Evaluation Study on Rural roads Component of Bharat Nirman, PEO
10.	Evaluation Report on ICDS, Jammu & Kashmir, PEO
11.	Impact Assessment of Externally Aided Project Interventions on Livelihood of Poor and Marginalized in KBK Districts of Orissa
12.	Impact of Irrigation and minor Irrigation Under AIBP in Uttarakhand State
13.	Continuing education Programme: An Impact Study
14.	Janani Suraksha Yojana target Sanchalit Prasav Gatividhiyonka Mulyankan, Government of Rajasthan
15.	Evaluation Report on Development of degraded Forest Scheme, Karnataka, Bangalore
16.	An Evaluation Study of Decentralized Planning Scheme in Haryana
17.	Planning and Implementation of National Rural Employment Guarantee Scheme in Andhra Pradesh
18.	Evaluation of Gandhi Kutir Yojana in Himachal Pradesh
19.	Land Development Sector in West Bengal- Ex-Post Evaluation Study
20.	An Evaluation Study on Rural Non- Farm Sector Investment in Dhanbad and Bokaro Districts of Jharkhand
21.	All India Report on Evaluation of NREGA: A Survey of Twenty Districts
22.	Performance Evaluation of Targeted Public Distribution System (TPDS)
23.	A Study on Employment assurance scheme
24.	Evaluation Report on Member of Parliament Local Area Development Scheme

25.	A study on Kudumbashree project , A Poverty Eradication Programme in Kerala, Performance, Impact and Lessons for other States
26.	Evaluation of Special Nutrition Programme (SNP) and ICDS Under Revised long Term Action Plan (RLTAP) in the K.B.K. Districts of Orissa
27.	An Evaluation Study on Water & Sanitation Services in KBK Region of Orissa
28.	Evaluation of Poultry and Diary, Organisation of Veterinary Health Camps, Heat Induction Camps and De-worming camps & Marketing of Milk under RLTAP in KBK Districts
29.	Evaluation Study of Ayurvedic and Homoeopathic Dispensaries and Herbal Gardens in All the Eight KBK Districts of Orissa
30.	Strategy for Girl Child Education for the State of Andhra Pradesh
31.	Impact Study of Micro Insurance Initiative for Society for Elimination of rural Poverty (SERP)
32.	Evaluation of Indira AwaasYojana in Orissa
33.	Evaluation of NREGA in Rajasthan
34.	Evaluation Study of Mid-day Meal
35.	Status Report on Village Health Guide Scheme
36.	Evaluation Study of Integrated Child Development Services Scheme in Haryana
37.	Evaluation Study on Functioning of Primary Health Centers (PHCs) Assisted Under Social Safety Net Programme (SSNP)
38.	Evaluation Report on National Old Age Pension Scheme (NOAPS), Jammu & Kashmir
39.	Evaluation Study of RLTAP in the KBK Region in Orissa
40.	Mid Term Evaluation Report on Watershed Management Report
41.	An Evaluation Study on Minor Irrigation Projects under RIDF
42.	An Ex-Post Evaluation Study of Rural Non-Farm Sector in Ujjain District
43.	evaluation Study on impact of Border Area Development Programme in Assam
44.	Evaluation study on Mid-Day Meal Scheme in Five Districts of Assam
45.	Evaluation Study Mid Day Meal and Emergency Feeding Programme under RLTAP
46.	Rural Entrepreneurship Development Programme in Andhra Pradesh: An Impact Evaluation
47.	An evaluation Study on hand pumps in Himachal Pradesh
48.	Evaluation report on SarvaSikshaAbhiyan
49.	Evaluation Study on National Project on Biogas Development
50.	Evaluation of Experimental and Innovative Programmes in Primary education
51.	Evaluation Study on Functioning of GopalMitraProgramme in Assam

52.	Evaluation Study of Impact Activities of MahilaMandals
53.	Evaluation of NREGA, Tamilnadu
54.	Post Evaluation Study of the Scheme of micro-Credit Help to Women Self Help Group in KBK Districts of Orissa
55.	Performance Evaluation of Cooked Mid Day Meal
56.	Assessment of watershed development programme in Gujarat
57.	Evaluation study of integrated Dairy Development Project
58.	Report on the current Evaluation study development of Handlooms and Sericulture
59.	Report on Concurrent evaluation, Development of Handicrafts & KVI
60.	Evaluation Study Watershed Development and Coffee Plantation under Revised Long Term Action Plan
61.	Evaluation Study of Decentralization Training Programme for handloom Weavers
62.	Evaluation Study on Combine Harvesters in Tiruvallur and Salem Districts of Tamilnadu
63.	Evaluation Report on Sampoorna Gram RozgarYojana (SGRY), Jammu & Kashmir
64.	Evaluation Report on Indira AwaasYojana Jammu & Kashmir
65.	Evaluation Study on Construction of Hostels for SC Boys and Girls
66.	Evaluation of Nehru Yuva Kendra Sanagathan Scheme in the States of Andhra radesh, Gujarat, Karnataka, Maharashtra and Tamilnadu
67.	An Evaluation of Tamilnadu Precision Farming Project
68.	Evaluation Study of Rehabilitation of Degraded Forests Scheme in Haryana
69.	Impact of the Tribal Sub-Plan Implementation in Improving the Socio-Economic Condition of Tribal People
70.	Report of the Concurrent Evaluation Study of RLTA in KBK Districts
71.	Evaluation Study of SarvaSikshaAbhiyan
72.	Evaluation of JanashalaProgramme in Rajasthan
73.	The Impact of Minor Irrigation Projects on Economic Development in Selected six Tribal District of Jharkhand
74.	Post Evaluation Study of BijuKrushakVikasYojana and PaniPanchayats in KBK Districts
75.	Evaluation Study of Solar Lantern & SPV Home Lighting Systems in Haryana
76.	Effectiveness of District Rural Industries Project in Medak District of AP
77.	An Impact Study of Water Users Association in AP
78.	Impact Evaluation Report of Equitable Rehabilitation of Tsunami Victims Project
79.	Microfinance for Microenterprises
80.	Evaluation of Accelerated Rural Water Supply Programme

81.	SarvaSikshaAbhiyandvaraSanchalit Polio Cataract Surgery keParinamonkaMulyankanAdhyan
82.	An Evaluation Study on Jalnidhi Projects in Kerala
83.	An Evaluation Study on SaraswatiVidyaSankalpYojana in Himachal Pradesh
84.	Evaluation of Gram Panchayat Libraries
85.	An Evaluation Study of Community Fish Ponds Programme in HP
86.	Evaluation Study of SHG Bank Linkage Programme in KBK Region in Orissa
87.	Evaluation Study Series, Andhra Pradesh No. 21, 2010, Agriculture Marketing Infrastructure
88.	Impact of Infrastructures created under poverty Alleviation Programme
89.	Mid Term Evaluation of Project: Integrated Development Through Water Resource Management-II, Udaipur
90.	Special Monitoring of Schemes conducted during 2009-2010
91.	Evaluation Study of Post- Harvest Centers
92.	Analysis of National Agricultural Insurance Scheme in Haryana
93.	Physical Monitoring Report on Rajiv Gandhi Computer Literacy Programme
94.	Mango in Andhra Pradesh- A commodity Specific Study
95.	Evaluation Study of Impact of Activities of MahilaMandals
96.	Mukhyamantri BPL JivanRakshaKoshYojanakaMulyankan
97.	RashtriyaAdyogikMishanyojanakaMulyankanAdhyayan
98.	RashtriyaKrishiVikasYojanakaMulyankan
99.	Model Chaki Kit palanYojanakaMulyankanAdhyayan
100.	Evaluation Study on Rural Roads Component of Bharat Nirman
101.	Evaluation Report on ICDS, jammu& Kashmir
102.	Evaluation of Indira AwaasYojan in Orissa
103.	SahakaritaVibhagDwaraSanchalitSamagraSahakariVikasPariyojana Jodhpur kaMulyankanAdhyan
104.	Evaluation Study on Construction of Hostels for SC boys & Girls
105.	Study on Employment Assurance Scheme
106.	Performance Evaluation of Statutory Development Boards in Maharashtra
107.	Evaluation Study on National Project on Bio-Gas Development
108.	Evaluation Study of Decentralization Training Programme for Handloom Weavers
109.	Impact Assessment Study of Socio-economic Development Programmes