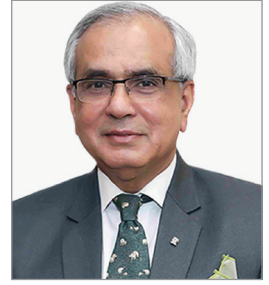


Guidelines on Quick Assessment Studies



Dr. Rajiv Kumar
Vice Chairman
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New Delhi, India



MESSAGE

The Government of India has accorded highest priority to systematic evaluation of government schemes and programmes to ensure government expenditures result in desired outcomes. Evaluation studies help in assessing the performance of an intervention as well as identifying factors responsible for its success and failure, which in turn help the governments improve the planning and implementation process. An independent evaluation reflects unbiased view of the impacts of public interventions and their impact on the society - the target beneficiaries.

Evaluations are held both during implementation phase and project closure phase. The purpose of evaluation during implementation phase—also called as process evaluation—is to help in optimizing the project design and implementation arrangements to improve efficiency and effectiveness of the project in meeting the targets. One of the important prerequisites of process evaluation is to be “quick” to help the program managers improve.

The Development Monitoring and Evaluation Office (DMEO), an attached office of NITI Aayog, has developed a toolkit for Quick Assessments Studies. The objective of this toolkit is to introduce the concept of rapid appraisal processes by providing a set of concise, practical and user-friendly tools to conduct quick assessments studies over a shorter duration of time. The guidelines will help an evaluation office to design and execute a quick and short study in line with standard international evaluation principles. Quick Assessment Studies can be effective tool for rapid assessment of recently launched scheme and/or policy, to provide rapid feedback to concerned decision makers. Equipped with evidence from such quick assessments, decision makers can tweak the schemes and/or policies to make them more effective through mid-course correction.

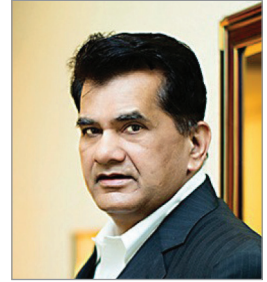
I am confident that this document will immensely help DMEO or any other central and state government agency entrusted with the responsibility to evaluate government schemes in preparing timely inputs for a variety of stakeholders to improve effectiveness of public expenditure through continuous learning and timely course correction.

OCTOBER, 2020
NEW DELHI
INDIA

Dr. Rajiv Kumar



Amitabh Kant
Chief Executive Officer
National Institution for Transforming India
Government of India
New Delhi, India



MESSAGE

NITI Aayog's mandate is to facilitate transformation in India, among others, through design of strategic and long term policy and programme frameworks and initiatives, and monitor their progress and their efficacy. NITI's role is also to ensure that lessons learnt through monitoring and evaluation are used for making innovative improvements, including necessary mid-course corrections. The Development Monitoring and Evaluation Office (DMEO), an attached office of NITI Aayog, was established to strengthen the monitoring and evaluation. It is helping towards institutionalizing evidence-based policy-making by strengthening monitoring and evaluation to strengthen governance in the country.

Evaluations have been carried out in India since the 1950s with the objective of assessment of the longer term impacts of the development programmes, identification of the areas and reasons for the successes and failures at different stages of programme execution, suggesting course corrections, disseminating lessons for the future, etc. Many a times, conventional methods of evaluation may not be suitable to meet the pressing information needs of decision makers or to provide urgent policy inputs due to urgency, an array of less structured evidence collection methods are sparking interest. This document encapsulates DMEO's efforts towards institutionalising Quick Assessment Studies, which aim to supply the needed information collected through structured and robust procedures in a timely and cost effective manner.


A Quick Assessment Study is a short duration, need-based systematic and objective study with the goal to assess government schemes/programmes in line with standard international evaluation principles to suggest timely remedial action, correct deficiencies and delivery of schemes/ programs in most effective and efficient way.

This toolkit prepared by DMEO outlines the implementation of study in different phases beginning with 'inception phase' which includes desk review, 'data collection phase', 'report phase' and 'post study works' which are equally important as evidence generation is not enough -- uptake on findings must be ensured too. The findings from such studies may be used to drive reform and future policy initiatives across the Ministries and Departments within its remit.

By developing this toolkit DMEO has taken a step forward in standardising yet another tool in the arena of evaluation which may be used extensively by central and state government agencies, and independent researchers, thereby furthering its aim of developing repository of Monitoring and Evaluation tools for governments. For the development community this may turn out to be an indispensable guide to rapidly assessing development projects.

We welcome inputs and suggestions for further improvement of content and quality of these guidelines.

OCTOBER, 2020
NEW DELHI
INDIA



Amitabh Kant

ACKNOWLEDGEMENTS

NITI Aayog, the premier think tank of the Government of India, is mandated to oversee the progress of the country. The Development Monitoring and Evaluation Office (DMEO) was established by the Government of India as an attached office of the NITI Aayog on September 18, 2015 by merging the erstwhile Programme Evaluation Organization and the Independent Evaluation Office. DMEO has been given the mandate to monitor and evaluate the Central Government funded programmes and initiatives. DMEO's mandate is also to strengthen monitoring and evaluation capacity across various ministries and departments in the Government of India, and help the State Governments build monitoring and evaluation capacity.

In order to quickly assess performance of schemes as well as shortfalls on achievements either due to scheme design or implementation or otherwise during the early stages of implementation, the conventional methods of evaluation including impact evaluation may not be suitable as it takes longer time duration and might not serve the purpose of early or midterm corrections to the programs or policies. Hence quick assessment studies are recommended in such a situation where fundamentals of monitoring and evaluation principles are used in a systematic manner to obtain feedback in an objective and unbiased manner to help managers/policy makers make evidence-based decisions to improve programs and policies. Through this toolkits, DMEO envisages to standardise Quick Assessment Studies (QAS).

This initiative of developing a comprehensive set of guidelines for conducting a Quick Assessment Study is the outcome of arduous and meticulous efforts undertaken by the DMEO, NITI Aayog under guidance of Shri Ashutosh Jain (DDG, DMEO) with special efforts by Shri Akhilesh Kumar (Director) and through contributions by Ms. Priyanka Sethi (Deputy Director), Dr. Shweta Sharma (Consultant Gr II), Mr. Anand Trivedi (Specialist), Mr. Vijender (Consultant Gr 1), Mr. B. K Chaurasia (Economic Officer), Mr. Jayanta Kumar Patel (Economic Officer), Ms. Sanjana Manaktala (Consultant Gr 1), Ms. Harshala Jambhulkar (Young Professional) and Mr. Kapil Saini (Economic Investigator).

We thank external experts, Ms. Maaïke Bijker, UNICEF, Mr. K. D. Maiti, UNICEF, Mr. Sanjeev Sridharan, Gates Foundation and Mr. George F. Grob, Center for Public Program Evaluation, for helping improvise, refine and rationalise the guidelines, through their insightful comments and inputs. Citing the deep fundamentals of monitoring and evaluation, these experts helped ensure that the guidelines were comprehensive, cogent and technically robust.

We are grateful to Shri Amitabh Kant, CEO, NITI Aayog for his inspiration and encouragement that made this task possible. Finally, we would express our deepest gratitude to Dr. Rajiv Kumar, Vice-Chairman NITI Aayog, who played a fundamental role, first in entrusting this weighty responsibility of conducting quick assessments of government schemes/programmes to DMEO and subsequently in providing all necessary support in development of this toolkit.

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1. Introduction

- 1.1. The Development Monitoring and Evaluation Office (DMEQ) was established by the Government of India as an attached office of the NITI Aayog on September 18, 2015 by merging the erstwhile Programme Evaluation Organization and the Independent Evaluation Office. The DMEQ has been given the mandate to monitor and evaluate the Central Government funded programmes and initiatives. DMEQ's mandate is also to strengthen monitoring and evaluation capacity across various ministries and departments in the Government of India, and help the State Governments to build monitoring and evaluation capacity.
- 1.2. As a part of the programme evaluation mandate, the DMEQ has been directed to conduct impact and process evaluation of the Central Sector Schemes/Centrally Sponsored Schemes/Programmes on the request of the various implementing ministries of Government of India, Prime Minister Office, Cabinet Secretariat, Standing Committee on Finance, among others. Under its monitoring activities, DMEQ is focussed on outcome monitoring of the programmes/ schemes of the Government of India. It also conducts review of impact, relevance, reach, efficiency, cost effectiveness, timeliness, management, and other aspects of program or policy as needed.
- 1.3. DMEQ is expected to assess the performance of scheme, good practices as well as shortfall on achievements, identify bottlenecks and gaps in scheme design and implementation including capacities of stakeholders, level of coordination, interest/ motivation/ participation of stakeholders, monitoring mechanisms, government policies, and provide recommendations to improve the program design, implementation, and outcomes. Often for urgent policy inputs, quick assessment of the scheme/programme within a few months after the launch of the scheme or otherwise may be required. In such cases, conventional methods of evaluation may not be suitable as it takes longer time period to conduct an evaluation. As a result, DMEQ is proposing to institutionalise Quick Assessment Study (QAS).
- 1.4. QAS is a short duration need-based systematic and objective study of schemes/programs with an aim to assess the scheme based on internationally accepted framework of REESI+E for relevance, effectiveness, efficiency, sustainability, some aspects of outcome and equity. It may include synthesis of various aspects of the program such as input deliveries, timelines, other required actions and targeted outputs, with an intent to suggest timely remedial action to correct deficiencies and delivery of the schemes/programs in the most effective and efficient manner. Brief information on REESI+E framework is given at **Annexure-I**.
- 1.5. The purpose of this guideline is to help an evaluation office or an evaluator to design and execute a quick and short study in line with standard international evaluation principles to enable early adjustment and corrections to the design, as needed, to strengthen the application of tools for tracking programme performance etc. Although the primary objective of the guidelines is to help DMEQ staff undertake quick assessment of the government schemes, the guidelines can also be used by other agencies of the central and state governments.

2. Objective of Quick Assessment Studies

- 2.1. Quick Assessment Study (QAS) is an appraisal conducted over a short duration of time (ideally between 3 - 6 months). It allows DMEQ or any other agency entrusted with the responsibility of evaluating government schemes to provide timely inputs to a variety of users to improve the implementation of government programs (see para 3.2 below for details). It may be carried out for both an existing as well as a newly launched scheme/programme/policy.
- 2.2. For existing schemes, QAS selectively assesses appropriate aspects of the scheme design, implementation mechanisms, implementation status including capacities of stakeholders, level of coordination, interest/motivation/participation of stakeholders, monitoring mechanisms among others, bottlenecks being faced by the stakeholders and scope for potential convergences through field visits. Observations and interviews with stakeholders (including government functionaries, implementing agencies and beneficiaries) are of special interest. Based on such interviews and in concert with other methods, a set of findings and options for improvement are developed for necessary action. It will be helpful to have evidence-based gap mapping for existing schemes in assessing whether the scheme is working, its extent and thereby gap areas.
- 2.3. In the case of newly launched schemes, a QAS may be used to assess on-ground implementation arrangement, activities undertaken, outputs delivered, and perceptions about outcomes achieved, as a quick feedback mechanism to take corrective actions to improve effectiveness, efficiency, design of the scheme and suggest scope of convergence. It will also be helpful to learn the experiences and gain perspectives of both beneficiaries and program implementers.
- 2.4. In context of above paras, the main objectives of QAS are to assess one or more of the following issues:
 - 2.4.1. Assessment of an existing/ programme/policy under broad REESI+E framework including:
 - i.) Performance of the schemes and implementation on key parameters;
 - ii.) Financial performance;
 - iii.) Gaps in performance;
 - iv.) Issues/challenges leading to the gaps and root causes;
 - v.) Areas of improvements or best practices in design of the schemes, and;
 - vi.) On ground implementation issues faced by implementing agencies, reviewing data quality/monitoring mechanisms as well as inputs from end-beneficiaries.
 - 2.4.2. Assessment of a newly launched scheme/programme/policy including:
 - i.) Availability of Output Outcome Monitoring Framework (OOMF) for identifying key indicators;
 - ii.) Existing mechanisms and stakeholders for implementation and convergence, the constraints and the root causes of those constraints, so that the scheme is designed to handle those issues, and;
 - iii.) Unanticipated implementation problems and issues.
 - 2.4.3. Assessment for knowledge and capacity building of main implementing staff/officials.

- 2.4.4. Assessment for examining the feasibility of certain recommendations by stakeholders.
- 2.5. QAS is an amalgamation of monitoring (i.e. to review performance indicators and targets to determine whether they adequately measure progress at different levels of the results chain) and evaluation study (systematic study of a subject's merit, worth and significance, using criteria governed by a set of standards).
- 2.6. QAS is carried out with the purpose to provide inputs to the programme teams, highlighting challenges in implementation, or potential bottlenecks, degree of convergence in case of new schemes and impact of service deliveries. Common steps while conducting the studies may involve:
- Identification of project boundaries and expected outputs of the assessment
 - Identification of resources available for the assessment
 - Review of the available documentation
 - Engagement with stakeholders
 - Development of recommendations
 - Sharing feedback findings with stakeholders.

3. Potential users and usage of the output of QAS

- 3.1. Various users of the QAS report may have different interests in the findings of the study. Hence, some of the intended uses along with the relevant would need to be ascertained.
- 3.2. For an illustration, in case of DMEQ, following potential users and usages of QAS have been identified:

S. No.	Purpose of QAS	User	Usages
1.	Assessment of an existing scheme - Scheme design and process.	Prime Minister Office (PMO), NITI Aayog (Senior management & verticals including Project Appraisal & Management Division (PAMD), Ministries	Addressing issues in scheme design and processes by necessary adjustments in the scheme to remove deficiencies and by adopting the best practices as highlighted by the study.
2.	Assessment of an existing scheme - On-ground implementation/concurrent monitoring for course corrections	PMO, NITI Aayog (Senior management & verticals, PAMD), Ministries, State Government(s).	Taking up recommendations with concerned Ministry/ Department/State level institutions to make necessary changes in scheme guidelines, and other improvements in terms of capacity development, development of MIS etc.

S. No.	Purpose of QAS	User	Usages
3.	Assessment of a newly launched scheme - Needs assessment	PMO, NITI Aayog (Top Management & Verticals including PAMD), Ministries, State Government(s).	Making necessary corrective actions to improve potential scheme design, frameworks and scope of convergence as well as to reduce wastage of funds, resources and improve outputs etc.
4.	Assessment for knowledge building	PMO, NITI Aayog (Top Management & Verticals including PAMD), State Governments and Ministries/ Departments	Developing capacity of frontline officials/workers, regular workshops, partnership with knowledge institutions etc. for enhancing knowledge building of officials involved in the implementation of the scheme.
5.	Assessment for some aspects of outcomes	PMO, NITI Aayog (Top Management & Verticals including PAMD), Ministries	Programme harmonisation & convergence, rationalisation of schemes, effective fiscal management, plugging of gaps of the scheme in achieving national and international developmental agenda, etc.

3.3. However, it may not likely be possible to address all these needs through a single study. So an important challenge is to select the most critically important issue(s) to be addressed initially and those to be pursued in future reviews.

3.4. A roll-out plan may be developed on the basis of annual consultation with Ministries and Departments on the agenda for studies to be undertaken over the next couple of years.

4. Selection of scheme for QAS

4.1. A scheme or some aspects of a scheme may be taken up for review by DMEQ or any other agency entrusted with responsibility to evaluate government schemes suo-moto or on the request received from the various stakeholders including the implementing Ministries/Departments. Scheme selection will depend on several factors. An indicative list of parameters that are to be kept in mind for scheme selection has been given below:

- 4.1.1. High priority scheme/programme: Schemes with high priority as per the national interest. For example, DMEO will accord high priority to the requests from PMO, NITI Aayog, Ministry of Finance, Central Ministries/Departments etc.
- 4.1.2. Outlay of the programme: Schemes with large outlays may be given priority, such as schemes with INR 500 cr. or more.
- 4.1.3. High outreach of the scheme: Flagship programmes, schemes directly benefiting vulnerable groups, etc. may be given preference.
- 4.1.4. Schemes which are mid-way in their life cycle may be prioritized as sufficient time has elapsed since launch and the timing is right for a mid-course correction.
- 4.1.5. Schemes which have not undergone a full-fledged evaluation recently or not been evaluated in the past
- 4.1.6. Contemporary importance of any issue/aspect: For example, schemes in which discrepancies have been reported in the public.
- 4.2. Other factors that can be considered for selection of the schemes/programmes are:
 - 4.2.1. Scheme's linkage with SDGs and National Development Goals: Based on the level of contribution to SDGs, schemes may be selected.
 - 4.2.2. Timeline of the scheme: Schemes with short timeline for completion.
 - 4.2.3. Availability of scheme-related data: The extent of available data from sources like Population Census, National Sample Survey, National Family Health Survey, Labour Bureau, National Crime Records Bureau, and scheme MIS etc. may also influence the selection of schemes. However, this may not be the sole-criteria for selection of the scheme as the selection of a scheme would primarily depend on its relative importance as mentioned above in para 4.1.

5. Team constitution

- 5.1. Once a proposal for QAS is received, the QAS Unit shall initiate the process with constitution of a team to carry out QAS with approval of the Head of Office of evaluation. In case of DMEO, QAS Unit initiates the process with constitution of a team under the concerned DMEO vertical to carry out the study with the approval of DG, routed through the concerned DDG/Director.
- 5.2. As per the objectives (outcomes) of the scheme assessment, its coverage, beneficiaries, requirements of the users, etc., a team under the leadership of Director/DS/Consultant (L2) level

may be constituted. If required, 2 - 3 experts from concerned domain area may also be included to undertake the study.

- 5.3. If required, the survey/data collection and/or analysis work of the study may be outsourced to technical consultant/research institutions/civil society organisation, etc. depending upon the scope, coverage and location of the study. As the contracting process may be time consuming, the evaluation office may empanel some pre-selected contractors to conduct such studies at short notice.
- 5.4. If the study is outsourced to third party technical consultant/research institutions/ Civil Society Organisation, etc., the same design, timeline, deliverables etc. as mentioned in this guideline may also be followed by them.

6. Designing QAS Studies

- 6.1. Design of the assessment study will be primarily based on some of the questions for which the relevant policy makers want answers quickly in respect of different type of the schemes (infrastructure or social), Central Sector Scheme(CS) or Centrally Sponsored Scheme (CSS) in respect of their coverage, types of beneficiaries, etc. Designing of QAS may involve two processes i.e. 'Conceptualization/planning of studies' and 'Drafting research design'
- 6.2. Conceptualization/planning of studies: It requires identification of project boundaries and expected outputs of the assessment. Following components may be required in development of conceptual framework:
 - 6.2.1. Defining the objectives of the QAS: The research objectives of the QAS need to be clearly defined, highlighting the requirements from the study. The assessment objectives may look at one or more components of the study/scheme but it is usually best to limit the evaluation to focus on certain objectives, preferably 3-4 related questions of highest interest to policy makers and other decision makers.
 - 6.2.2. Carrying out a short literature review¹: Once the objective of scheme to be studied is identified; the design, implementation structure etc. of the study/scheme needs to be thoroughly understood through literature review. Literature review should include (but not be limited to) scheme guidelines, annual/technical report of Ministries/Departments, respective EFC/SFC proposals, audit reports and reports/studies undertaken by the NITI and other agencies, reports of Think Tanks/Multilateral/bilateral agencies, media reports etc., and it should be focused on the specific questions for the purpose of the quick assessment that needs to be done.

¹ <https://www.monash.edu/rlo/graduate-research-writing/write-the-thesis/introduction-literature-reviews>
<https://catoolkit.herts.ac.uk/toolkit/3-doing-a-literature-review/#>

- 6.2.3. Meeting with NITI officials: Meetings with the NITI vertical officials and concerned Member may be scheduled as well. Their inputs on the research objectives, and additional insights and resources on the selected study/scheme may be sought. Additional data that may be needed for planning the study may also be sourced from the verticals.
- 6.2.4. Meeting with ministry officials and others: After developing a thorough understanding of the scheme and broad research objectives, a meeting with the concerned Ministry/Department may be planned. The primary purpose of the meeting should be to clarify doubts and questions related to the scheme and to collect the necessary data. If required, consultations with some stakeholders like Civil Service Organisations, NGOs, experts etc. may also be convened.
- 6.2.5. Defining the Areas of Enquiry: Once objective of the QAS is identified and consultation processes is completed, area of enquiry, key indicators, etc. on which the scheme/programme would be evaluated, are needed to be identified in consonance with the objective of the study. Suitable questionnaire for both qualitative as well as quantitative analysis should be developed under the scope and coverage of objective and key indicators.
- 6.2.6. Finally the survey tools and other survey machineries post feedback from Ministry/NITI may be developed.
- 6.3. Drafting research design (RD): Following above steps, the RD may be developed. The structure may be as follows:-
- 6.3.1. QAS Objective(s): The objective should be succinctly stated in one or two sentences.
- 6.3.2. Background of the scheme: The objectives of the program/scheme being evaluated, the implementation structure, the key stakeholders, potential users, expected outcome etc. should be clearly identified and stated. It should also include timelines of scheme, budget allocations and utilisations (across years), progress on important output & outcome indicators, long term targets set and cumulative progress so far on above mentioned parameters.
- 6.3.3. Methodology of the study:
- i) Overall research methodology should be highlighted.
 - ii) Primary and secondary data sources should be explored and identified.
 - iii) Information areas should be mapped with stakeholders.

- iv) Review of relevant literature including past evaluations should be conducted (refer to Annexure-III).
- v) Mixed method approach consisting of qualitative measurement (key informant interviews, focus group discussion) and quantitative measurement (primary data collection) may be suitably adopted for conducting studies. In selected cases, facility survey may also be required (such as schools, hostels, health facilities, anganwadi centers etc.).

6.3.4. Sampling design for pilot study/primary data collection:

- i) The sample size is to be decided scientifically considering cost and timeframe. Random or purposive sampling design depending upon the study may be used. If required, in case of a geographically widespread scheme, multi-stage, stratified, clustered features, etc. may appropriately be considered.
- ii) Appropriate mechanisms must be adhered to, for ensuring data quality by devising data scrutiny and data cleaning.
- iii) Some description for formal survey for data collections are illustrated at Annexure-V.

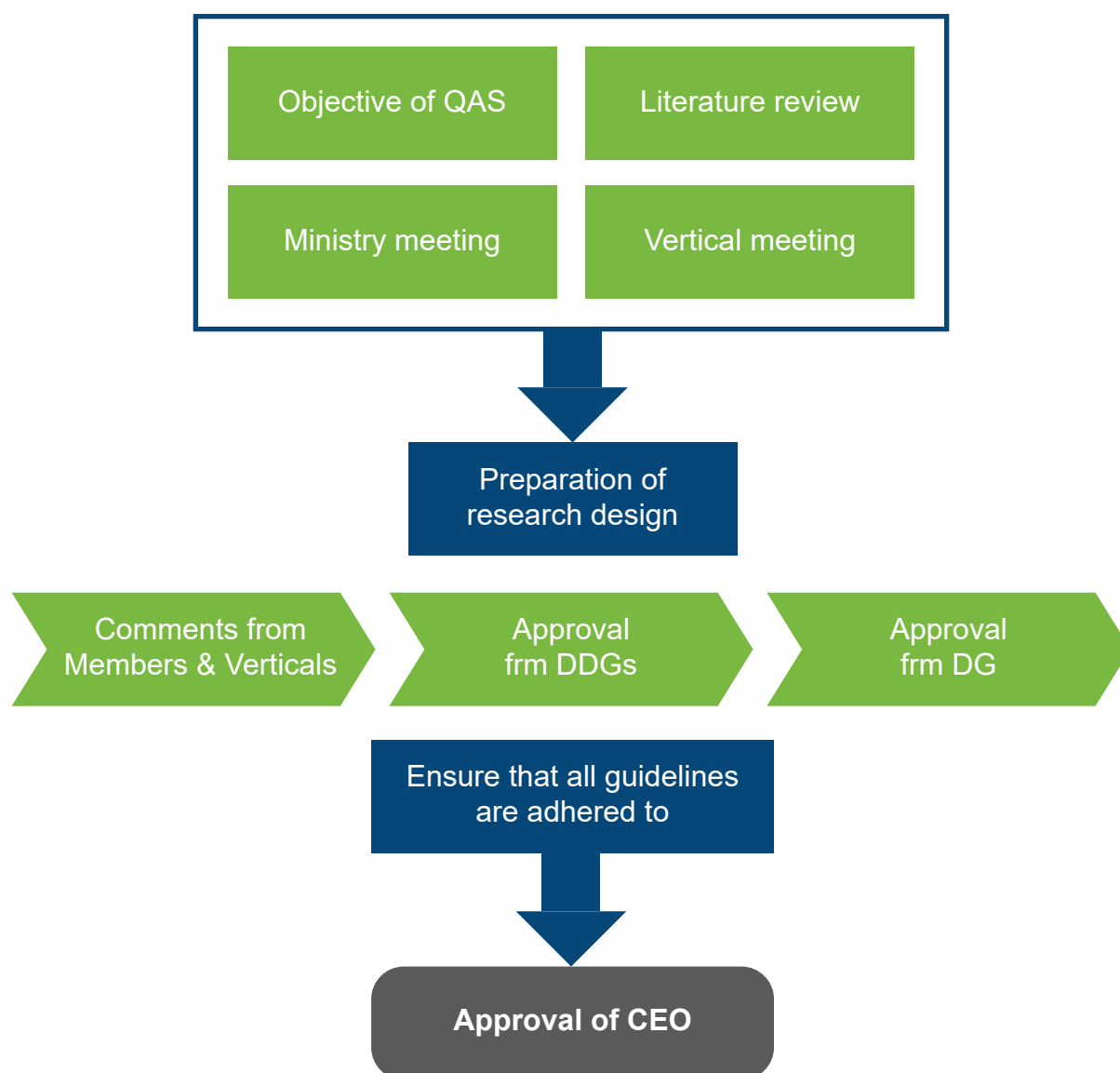
6.3.5. Tentative schedule: This section should include a tentative timeline, proposed field visits and teams. The tentative timeline as given in para 8.7 and 8.11 of items 8 may be developed.

6.3.6. For comprehensibility a sample format on KII, FGD, Facility Survey and Primary Qualitative data collection are attached at Annexure-VI, Annexure-VII, Annexure-VIII and Annexure-IX respectively.

7. Approval processes in DMEQ

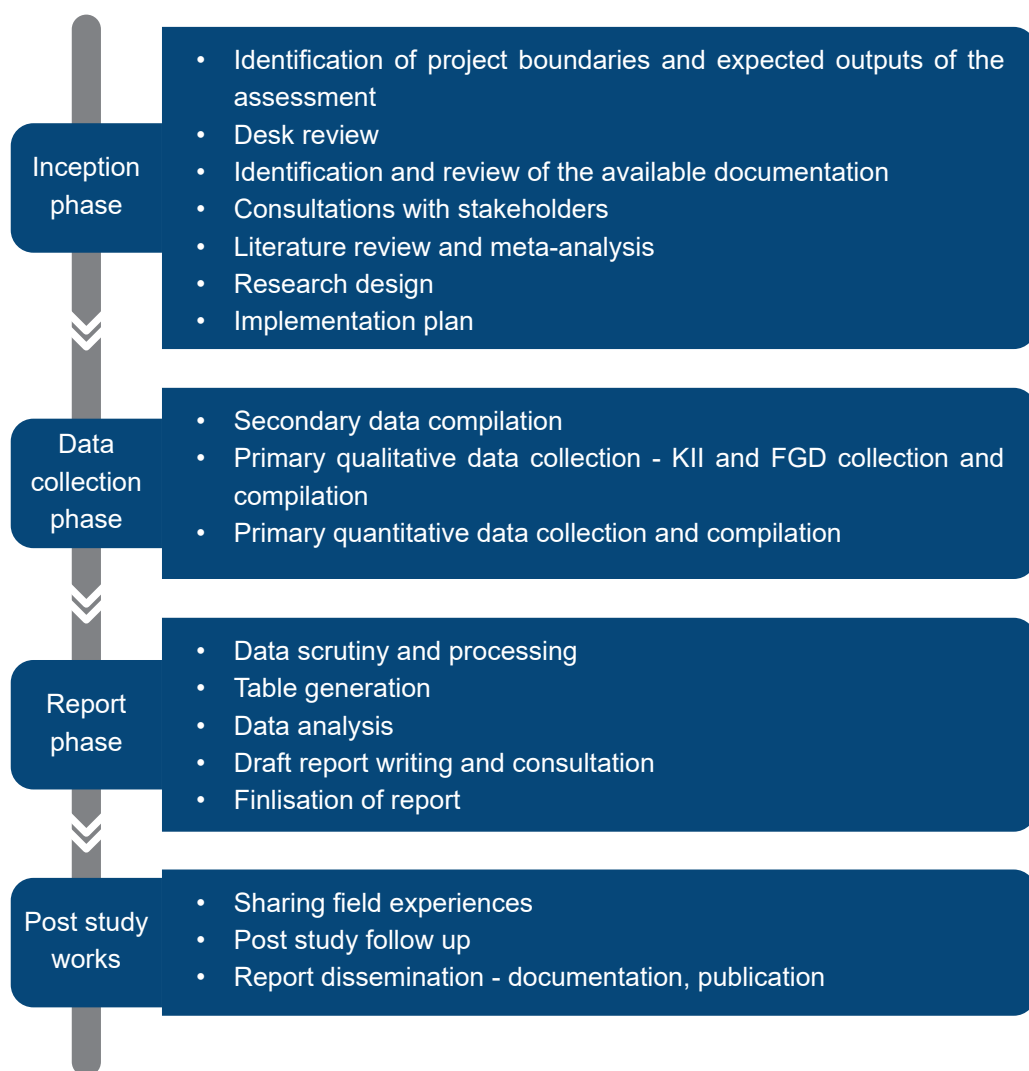
7.1. Once the draft design is ready, it may be discussed with concerned DDG and finalized. Then it may be shared with the vertical and the concerned member for comments. Inputs on the design should be received within two working days. Once comments, if any, have been incorporated, the draft design may be approved by the DG.

7.2. Each QAS is required to be taken through the following steps for finalization of their scope:



8. Implementation of study

- 8.1. The implementation of study involves 'inception phase' which includes a desk review/meta-analysis, 'data collection phase', 'report phase' and 'post study works'. Implementation strategy for conceptualisation, field studies and report drafting may be as follows:



8.2. One dedicated QAS unit may be set up in agency entrusted with responsibility to evaluate government schemes. For DMEQ, QAS unit under Senior Research Officer (SRO) may be established to keep records of all QAS related matters and whenever any proposal for such study is received, the unit may submit a proposal for constitution of a team in DMEQ for approval of DG, DMEQ for conducting Quick Assessment Studies. It will help to develop and maintain institutional memory as well as adherence of uniform guidelines on QAS related studies.

8.3. Head of Evaluation Office may direct the QAS Unit to identify and constitute a team to undertake the quick assessment studies. For DMEQ, under the direction of DG, DMEQ, the QAS unit may identify and constitute a team from DMEQ to undertake the study (if required, experts from concerned vertical of NITI Aayog and/or outside expert may also be included). The identified team headed by a group leader (preferably Director/DS/Consultant-L2 handling the scheme in implementing Ministries/Departments, as approved by DG, DMEQ) may be entrusted with the overall responsibility of conducting the study. The team may identify experts or concerned officials as members.

- 8.4. The study team does the literature review and organises the meetings/consultations with NITI Aayog, Ministries/ Departments, users of the study and other stakeholders. Accordingly, the study team will develop agenda, draft objective, identify key indicators and develop questionnaire/schedules of enquiry.
- 8.5. The team prepares a timeline, discusses agenda and draft plan of action, proposed methodology, data collection, field visits etc.
- 8.6. In case of DMEQ, after approval of DG, DMEQ followed by Chief Executive Officer (CEO), NITI Aayog, the study team executes plan of action, establishes communication with State governments, conducts field visits, and prepares the draft mid-term and final reports.
- 8.7. Prior to the field visit, activities as per the following time schedule may be performed:

S. No.	Activity	Suggested Timeline
Constitution of team: Day 1 (T day)		
a.	Prepare timeline, agenda and draft plan of action.	T+2 day
b.	Literature review, organise meetings/ consultations with NITI Aayog, Ministries/ Departments & other stakeholders and users of study. Development of draft agenda, draft objective, identify evaluation methods to be used, including research Guidelines on Quick Assessment Studies design, identify and develop questionnaire/schedule of enquiry and identification of tentative team members for the study.	T+7 days
c.	Approval of DDG, DMEQ; DG, DMEQ and CEO NITI Aayog	T+9 days
d.	Preparation and approval of field visits plan to States and concerned institution	T+11 days*
e.	Execute field visits and collect data	As per scope and coverage of study

Note: Day here refers to working day. “*” post finalisation/selection of survey firm(i.e. number of days spent in outsourcing agencies are excluded)

Note: the timeline has been illustrated using DMEQ’s timeframe

- 8.8. From the findings of the initial stage of study conducted at inception phase, if it is felt that the study should be discontinued, a note with
- (i) observations and findings from the pilot study, and
 - (ii) an explanation of why the study should be discontinued must be submitted to the competent authority for their approval.
- 8.9. The execution of field visits for the study is to be in accordance with the operational plan finalized at the design stage of QAS.
- 8.10. Post the field visits, the teams are required to debrief the DMEQ team on the field observations, best practices and give inputs to the future assessment studies. The post assessment team debrief will follow the designated structurescheme objectives, observations of implementation, inferences post interactions with state officials etc. All field notes, photos, videos, findings, and conclusions need to be documented, as per the time schedule given in the table below:

S. No.	Activity	Suggested Timeline
Post field visit, return to office (T ₁ day)		
a.	Field data collected in hard copy (from state/district officials, etc.)	T ₁ day
b.	Consolidate all field notes, photos, videos and recordings	T ₁ +1 day
c.	Analyze data and collate findings for each field visit	T ₁ +5 days*
d.	Consolidate findings for the DMEQ team for all field visits conducted for that particular scheme	within T ₁ +14* days after completion of all field visits for the QAS
e.	Consolidate findings from primary and secondary data analysis including literature review etc.	within T ₁ +17* days
f.	Discuss recommendations for corrective action with all members who visited the field and DDGs	within T ₁ +20* days after completion of all field visits for the QAS

*Note: The timeline may be extended depending on volume of data collection.

Note: The timeline has been illustrated using DMEQ's timeframe

- 8.11. Draft report of the study is to be submitted within 3 weeks after completing data collection. The format of report for Quick Assessment Studies is presented at Annexure-II.

- 8.12. The draft report including findings and recommendations should be shared with stakeholders such as the relevant vertical of NITI Aayog, concerned Ministries, State governments and other stakeholders relevant to the scheme.
- 8.13. Final Report after incorporation of relevant inputs on the draft report is to be submitted within 2-3 working days from date of submission of draft report.

9. Post-study publication/dissemination strategy

- 9.1. Sharing field visit experiences with reference to data collection issues and challenges, questionnaire designing etc.
- 9.2. Post-study follow-up:
 - 9.2.1. If asked by user, determine how to suggest corrective actions, in what form, and by when.
 - 9.2.2. Follow up action with user(s) on the recommendation of the study.
 - 9.2.3. If the QAS was conducted for knowledge building and there are concerns that must be escalated, for example to the line ministry to strengthen its monitoring systems, arrange a meeting with the relevant stakeholder to discuss findings of the study conducted.
- 9.3. Explore ways of disseminating findings and recommendations, and other uses of the report. These could be:
 - 9.3.1. Dissemination Events – organized by DMEQ or by external partners, in collaboration with others or solo, online or offline etc.
 - 9.3.2. DMEQ website
 - 9.3.3. DMEQ newsletter/emailing list
 - 9.3.4. NITI Listserv
- 9.4. Publications of the report through additional means than above mentioned medium to be decided on case to case basis depending upon the shareable nature of the report. Where the findings of the report sharing through wider means has important public good to achieve, publication of the study findings could be considered through:
 - 9.4.1. Journal/ Research papers

- 9.4.2. Articles for newspapers
- 9.4.3. NITI blog
- 9.4.4. Social media platform(s) such as Twitter, LinkedIn and Facebook
- 9.5. Finding of QAS may be documented and used for future evaluation studies and developing the measurable indicators for Output Outcome Monitoring Framework (OOMF) and SDGs.

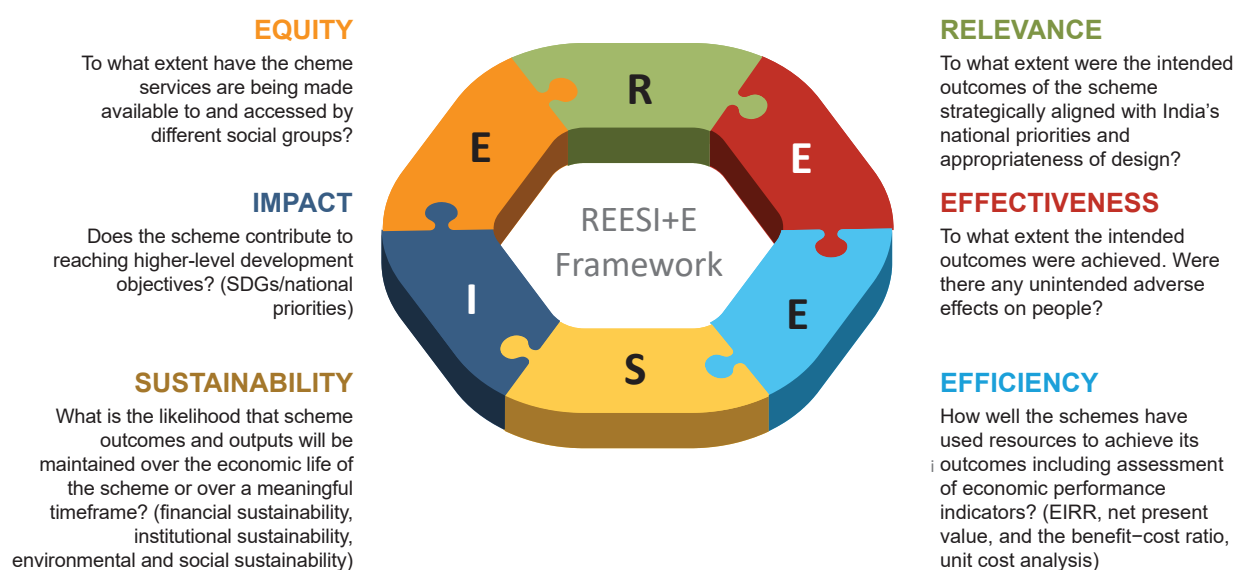
10. Conclusion

- 10.1 This document is a living document that will be updated regularly, based on lesson from DMEQ's various quick assessment studies. This version prepared by DMEQ's team has been finalised in September, 2020.

Annexure-I

REESI+E framework

The basic objective of the REESI+E framework² is to assess the schemes against the criterion of Relevance, Efficiency, Effectiveness, Sustainability, Impact and Equity, using both secondary and primary data.



RELEVANCE (Is the intervention doing the right things) - The extent to which the intervention objectives and design respond to beneficiaries.

EFFECTIVENESS (Is the intervention achieving its objectives?) - The extent to which the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups.

EFFICIENCY (How well are resources being used?) - The extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way.

SUSTAINABILITY (Will the benefits last?) - The extent to which the net benefits of the intervention continue, or are likely to continue.

IMPACT (What difference does the intervention make?) - The extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higherlevel effects.

EQUITY (Was the scheme inclusive?) - The extent to which the scheme has benefitted the poor, women, disabled, and other vulnerable groups and backward regions of the country.

² <https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

Annexure-II

Indicative Format of Report of Quick Assessment Studies (QAS)

1. Title of Study
2. Brief summary of findings and recommendations
3. Executive Summary (should be limited to 2 pages)
4. Report
 1. Objectives of study (including basic description of context and purpose, duration of study)
 2. Short Background (based on literature review and others)
 3. Method (short note on designing QAS, qualitative and/or quantitative data collection, QAS tools and data analysis)
 4. Findings (observations) and conclusions (some simple graphics or very small tables may be used to highlight the findings)
 - 4.1. Status of implementation of schemes/programme
 - 4.2. Bottlenecks in scheme implementation
 - 4.3. Root causes of the bottlenecks and gaps in scheme design and implementation
 - 4.4. Stakeholder feedback on the scheme
 - 4.5. Identification of best practices, if any
 - 4.6. Specific observations on coverage and quality of monitoring mechanisms, use of tech., evaluation etc.
5. Recommendation
 - 5.1. Short term, mid-term and long term recommendation (including high priority recommendation), if required
 - 5.2. Thematic/sectoral recommendation
6. Limitations of study
7. References
8. Appendix – I (Detailed Note on Background)
9. Appendix – I (Methodology description*)

Note: Pictures from study areas or beneficiaries/assets/tools may also be included in the report for publication purpose.

Note: “” It contains detailed description on defining QAS questions - include key features, rationale for choice of methodology, qualitative data collection (KII, FS, FGD etc.), meta-analysis, published reports, identification of stakeholders, quantitative data collection – Sampling design, data collation, scrutiny and tabulation, QAS tools and data analytic methods.*

Annexure-III

Literature review/desk review

- A. The Literature review/desk review³ may involve review analysis of
- i) National and International development goals and sector documents;
 - ii) Financial data on allocation and expenditures of the schemes;
 - iii) Annual reports of the ministries/ departments for output and outcome assessment;
 - iv) Available evaluation reports for output and outcomes assessment;
 - v) Annual progress reports and implementation documents to assess the institutional arrangements;
 - vi) Available earlier evaluation reports of the scheme/programme
 - vii) Evaluations done by non-government agencies.
 - viii) MIS Data available with the Ministries/ Departments
 - ix) Academic literature
 - x) Other resources

Note: Finding based on above may be used for giving details for the background of the study.

- B. Literature review should be based on small number of questions addressing the purpose of the quick assessment. The term “literature review” often connotes a broader review of scientific literature. Such more extensive reviews can often be skipped these generally cannot be done quickly, and may raise other issues not relevant to the study. Thus, if a broader review of research literature is done, it should be focused on the small number of questions that for the purpose of the quick assess that needs to be done.

³ (a) <https://www.monash.edu/rlo/graduate-research-writing/write-the-thesis/introduction-literature-reviews>

(b) <https://catoolkit.herts.ac.uk/toolkit/3-doing-a-literature-review/#>

Annexure-IV

Primary Data Collection Methodology

- A. Rapid appraisal methods are quick, low-cost ways to gather the views and feedback of beneficiaries and other stakeholders, in order to respond to decision-makers' needs for information. When the objective of a study is either to make a simple assessment of how a project has been doing or what services it has been successfully providing or what implementation problems it has been encountering, rapid appraisal methods may better serve the purpose. It is very helpful in qualitative data collection like capturing the prevalence of a phenomenon, attitude, perception, or behaviour pattern, etc. These methods are very attractive in terms of cost, resources & timeframe and most importantly rapid appraisal methods provide flexibility to the investigator to explore new ideas and issues that may not have been anticipated in planning the study. Primary Data Collection Methodology may consist of following components:
- i) Key Informant Interviews & Focus Group Discussions - It is proposed that key informant interviews be held with officials from central ministries/departments Statelevel officers, implementing bodies and district & block level administration. Other stakeholders supporting implementation or indirectly involved in enabling the schemes success, as well as opinion makers at the village level may also be interviewed. National level key informants should also include experts from recognized national level think tanks, institutions and prominent non-profit organizations. Additionally, depending upon the study, focus group discussions may also be conducted, mostly with diverse groups involving implementing stakeholders, opinion makers as well as selected beneficiaries.
 - ii) Institutions based surveys – The implementing institutions may be selected to survey.
 - iii) Community group interview—This involves facilitated discussion in a meeting open to all community members. The interviewer follows a carefully prepared questionnaire.
 - iv) Mini-survey—This refers to a structured questionnaire with a limited number of close-ended questions that is administered to 50–75 people. Selection of respondents may be random or 'purposive' (inter-viewing stakeholders at locations such as a clinic for a health care survey).
 - v) Informal Survey – It is an open ended questionnaire that permits respondents to answer questions in their own words. The sample size for informal surveys usually ranges from 25 to 50 people, who are selected on the basis of noni-probability sampling techniques.

All these methods need not be used in a single study, but rather a thoughtful choice of one or a few of them might be the most effective way to cater to requirement of study.

Note: Data collection tools like KII, FGDs and Surveys may also capture geo-tagged temporal data

B. Suggested ways to improve data quality of rapid appraisal methods

- i) Ensuring external validity by defining well-articulated conceptual framework and questionnaire
- ii) Use of ethnographic investigation to reduce bias during data collection and data analysis
- iii) Cross checking of data using data available from different sources or using secondary data analysis
- iv) Proper scrutiny and investigation by supervisors

Annexure-V

Sampling Plan

1. Formal surveys can be used to collect standardized information from a carefully selected sample of people or households. Surveys often collect comparable information for a relatively large number of people in particular target groups.
2. If the primary purpose of our investigation is to make major policy choices or programmatic decisions, the need for employing formal methods, which are more likely to generate precise and valid information, is apparent. Comprehensive longitudinal and crosssectional surveys will undoubtedly be necessary. For example, if the objective of an evaluation is to assess the effects
3. Following are some of important aspects while designing sample survey for QAS:
 - i. **Formulation of data requirements**
 - a. Clear statement on data requirement after finalisation of objective of study
 - b. Specification of domain of study
 - c. Cost, time and availability of resources for the survey
 - d. Accuracy aimed to achieve
 - ii. **Method of data collection**
 - a. Different methods of data collection may be i) physical measurements, ii) personal interview, iii) mail enquiry and iv) telephonic enquiry v) online form
 - iii. **Development of questionnaire or schedule**
 - a. In questionnaire approach, respondents are asked specific questions and their replies are recorded by investigators, it is presumed that the respondents are capable understanding and answering the questions.
 - b. In schedule based approach, exact form of questions to be asked is not given and task of questioning and eliciting information is left to investigators
 - iv. **Reference and reporting period of survey**
 - a. Survey period: time period during which the required data are collected
 - b. Reference period: the time period to which collected data refer to. This depends on the objective of the survey
 - c. Reporting period: the time period for which the required statistical information is collected for a unit at a time. This depend on nature of item and condition under which data being collected.
 - v. **Sampling frame**
 - a. Updated and adequate information on auxiliary information.

vi. Choice of sampling design:

- a. A general principle for selection of sampling design is either to reduce overall cost or reduction of margin of error of the estimates with the total cost fixed. It however to be stated that non-sampling error is to be controlled in all circumstances and effort should be made to make the sampling design fully self-weighting with a single common inflator factor.
- b. Generally stratified multi stage design is used for large scale survey which information on more than one auxiliary variable is available.

vii. Planning of field works

- a. Investigators should be fully trained and well conversant with the concepts, definition of items, terminologies etc.
- b. Inspection and scrutiny of filled in questionnaire/schedules should be conducted
- c. Records of time spent preparation of sampling frame, enquiry respondents, journey etc should be recorded.

viii. Processing of data

- a. Meaningful summary tables should be generated from the primary data analysis.
- b. Subject analysis should be done by cross tabulation of data by geography, economic, social and other characteristics

4. Allocation of Sample Size

The sample size to be selected under due consideration of cost, time and manpower. Depending upon sample size and available manpower, data collection exercise is to undertaken in such a way that either whole samples canvassing during same time period or in phase manner. Given per unit cost, for different margin of error, different sample sizes may be used. There are various methods, including following, for estimating optimal sample size.

1. Fixed Relative Standard Error
2. Fixed Confidence Interval

Once, total sample size decided, State, district/sub-district and First Stage Unit/ultimate unit(households or institutions or beneficiaries) may be selected by following:

- i. **Selection of states:** State may be selected randomly/purposely out of regional classification depending upon nature of study. For example social study, State may be selected based on their population, whereas for health related study, State may be selected on their ranking in health indices and so on. The total number of samples to be allocated to the States and UTs may also be in proportion to population as per Census 2011 or some auxiliary information like States contribution to some defined parameters like education, health etc. Similarly, allocation of sample size between rural and urban sector may be done either on the basis of their population size or some predefined parameters/auxiliary information.

- ii. **Selection of Districts:** Among the selected states, districts may be classified as per NSS region. District may be selected from NSS as per probability proportional to size (PPS) technique based on some parameters/auxiliary information. District selection may be guided by stratification criteria of representation of rural/urban and geographical region to ensure representativeness of the sample.
- iii. **Final Stage Unit** (households or institutions): Among rural/urban region are of the selected districts, final stage unit(households or institutions) may be selected under certain probability function like simple random sampling, probability proportional to size technique etc. depending upon homogeneity/heterogeneity of characteristics.
 - a. If characteristics are homogeneous, simple random sampling without replacement may be used.
 - b. If characteristics are heterogeneous, second stage sampling may be done to make homogeneous groups and based on homogeneous group, sample may be selected using simple random sampling without replacement may be used.

5. Different sampling design: Following are some of sampling designs:

- i. **Random sampling design:** The design which allow equal probability of selection of each unit of population. Suppose number of unit in population is N , the probability of selecting any unit at first draw is $1/N$. Similarly, probability of selecting any unit at second draw from remaining $(N-1)$ unit is $1/(N-1)$ and so on.
- ii. **Purposive sampling design:** Methods of sampling, which are not based on laws of chance but in which units of the population to be included in the sample are determined by the personal judgment of the enumerator, are called purposive or non-random methods.
- iii. **Systematic sampling design:** This one of the methods of sampling in which only the first unit is selected with the help of random numbers, the rest being selected automatically according to a predetermined pattern. The method is known as systematic sampling. The pattern usually followed in selecting a systematic sample is a simple pattern involving regular spacing of units. Thus, suppose a population consists of N units, serially numbered from 1 to N . Suppose further that N is expressible as a product of two integers k and n , so that $N = kn$. Draw a random number less than k , say i , and select the unit with the corresponding serial number and every k -th unit in the population thereafter. Clearly, the sample will contain the n units $i, i + k, i + 2k, \dots, i + (n-1)k$, and is known as a systematic sample.
- iv. **Stratified sampling design:** This is one such procedure of reducing heterogeneity and increasing precision of an estimate. It consists in dividing the population into k classes and drawing random samples of known sizes, one each from the different classes. The classes into which the population is divided are called the strata and the process is termed the procedure of stratified sampling

- v. **Clustered sampling design:** The smallest units into which the population can be divided are called the elements of the population, and groups of elements form clusters. When the sampling unit is a cluster, the procedure of sampling is called cluster sampling. The division of the population into a finite number of distinct and identifiable units called the sampling units.
 - vi. **Multi Stage Sampling:** This is a sampling design where sampling unit at each stage are clusters of units of the next stage and the ultimate observational units are selected in stages, sampling at each stage being done from each of the sampling units or cluster selected in previous stage.
6. **Important step to be considered while sampling designing:** As relatively some short studies are intended to be carried out using these methods over a period of a few months, it would be useful to emphasize here the need to design surveys that can easily be conducted and analysed within a short period of time:

Annexure-VI

Key Informant Interview

(some schemes under M/o Women and Child Development are used for illustration)

1. IN-DEPTH DISCUSSION GUIDE WITH NATIONAL OFFICIALS (SECTORAL & SCHEME), WOMEN AND CHILD DEVELOPMENT (WCD)

No.	Q. No.	Response
1.	Date of KII	
2.	Name of the Respondent (optional)	
3.	Organisation	
4.	Designation of Respondent	
5.	Schemes responsible for (in case Government Official)	
6.	Schemes contributing to (in case Non-Governmental Official)	
7.	Number of months/years working for scheme(s)	
8.	Name of Investigator	
9.	Code of Investigator	

Interviewer Signature: _____

Date: _____ Place: _____

A. Sector level questions:

- I. According to you, does the Women and child development department provide schemes that cover all beneficiaries? How does the Ministry ensure that different types of beneficiaries/target groups of women and children are covered?
- II. How has the WCD sector aligned with the national priorities? Are there any gaps or failures in the sector programming due to lack of specific interventions or poor outcomes of existing schemes?
- III. How has the sector performed against key priorities and international commitments? What are the gaps in sectoral outcomes?
- IV. There is lack of interventions that aim at ensuring economic, social and political empowerment of women. How does the ministry aim to overcome this gap? (Probe: interventions aiming at enhancing participation, decision-making, and leadership, skill development, greater access to economic resources among women).
- V. Please elaborate the following:
 - a. Role of CBOs and NGOs in implementing WCD schemes
 - b. Inclusion of vulnerable group such as PwDs, transgenders, single women, minorities, migrants etc.
 - c. Ensuring community participation in terms of PRIs role in implementation, incorporating voice of end beneficiaries in scheme implementation. PRIs role in monitoring, supervision and allocation of resources.
- VI. What is the scope for engaging private sector in the WCD sector? Are there any incentives available to promote private investments in the Sector?
- VII. What systems are in place for monitoring and managing WCD schemes? What are the challenges faced in effective monitoring of schemes?
- VIII. What role does IEC/BCC play in improving sector outcomes? What measures are being taken to bring about behaviour change amongst beneficiaries? How have the government actions impacted the sector outcomes? What are some of the gaps that exist?
- IX. How have the interventions of the Women and Child Development Sector impacted the status of women and children over the last 10 years?
- X. What are the key measures taken to improve women's labour force participation, reduce violence against women and children including care and rehabilitation?
- XI. Do you think the WCD schemes are able to provide effective services to the beneficiaries? What are some of the key gaps in service delivery?
- XII. Financial: Is the WCD sector sufficiently funded? What are challenges that the centre and/or states facing in either utilizing funds, or receiving sufficient funds? (Probe: What are the

challenges in disbursement (timeliness,) causes leading to inadequate receipt/utilization of funds (if any), Reasons for variance in scheme uptake and utilization)

- XIII. **IT aspects:** How does the Ministry encourage improved use and uptake of technology in WCD sector? What has been the impact of introduction of IT in monitoring and managing the sector? Have there been any challenges faced that the governments (either at national or state level) in rolling out IT? What have been the response from the States and FLW?
- XIV. **HR aspects:** How does the Ministry ensure a suitable HR structure for better program implementation (Probe: selection criteria, process of hiring and filling vacant positions, scope for career progression), assessing adequacy of workload of FLWs and staff)? What is the process of orienting FLWs on newer issues and programs?
- XV. Is there a need for reforms and regulations for meeting targets of various schemes? If yes, what are the reforms/regulations undertaken? How do you think restructuring of programs has helped in improving the service delivery and meeting the objectives?
- XVI. Is the RTI mechanism functioning effectively?
- XVII. How do the interventions of the WCD sector contribute to increasing availability of employment opportunities?
- XVIII. Are there possibilities for circular economy development in the sector?
- XIX. Within the WCD, how can the inter department (UCSS) synergy be best achieved?

Scheme level (For any scheme that the respondent is focused on):

Relevance:

- How well does the scheme align with national priorities? If not, how can the scheme better respond to national priorities?
- Is the scheme design appropriate for achieving the intended outcomes? If not, what are some of the gaps in scheme design and how can these be addressed?
- How does the scheme address various cross-sectional themes including accountability and transparency, gender mainstreaming, climate change & sustainability, etc.?
- Are there any demonstration effects and/or innovative features in the design of the scheme?

Effectiveness:

- How does the scheme perform in terms of achieving the intended outputs and outcomes? Are there the challenges in hindering the performance if any?
- Are there any unintended outcomes that inadvertently reduced the value of the scheme?
- What are the key bottlenecks/issues and challenges in the implementation of the scheme and how have these challenges been addressed?
- Is there a difference in how the schemes are implemented in the states? How do the diverse implementation processes across states impact achievement of the overall objectives of the

scheme? (Probe: including state schemes to complement CSS schemes, or use of flexi fund, or any other innovative features)

- e. What are the budgetary requirements for implementation of the scheme and are they being adequately met?
- f. How does the involvement of the state governments, NGOs and CSOs impact effective implementation of the scheme?
- g. Are there any grievance redressal mechanisms in place that successfully incorporate beneficiaries' and non-beneficiaries' concerns? Is there evidence of amendment of schemes keeping this in view?

Efficiency:

- a. What is the scheme coverage against the total eligible population? In case the scheme coverage is insufficient, what are the reasons for the same? How can the coverage be increased?
- b. What are the infrastructural gaps/issues in the scheme? Is the government doing anything to address the gaps/issues? If not, what can the government do?
- c. What is the human resource availability for the scheme? Does the scheme have its own cadre of officers or does it rely on AWWs?
- d. What are some of the main HR issues in efficient delivery of services under the scheme?
- e. How frequently and what type of training is undertaken for the AWWs to train them?
- f. Is there any convergence between the scheme and other schemes and programs? What are the convergence mechanisms at the national level, and how is it ensured at state and district level? Are there any challenges in convergence? How can these be overcome?
- g. What measures have been taken to ensure effective coordination between the AWC staff and the health centre staff? (WCD and Health)
- h. How efficiently do you think the scheme budget has been used over the last few years? Is there any way to improve efficiency in terms of fund utilisation?

Impact:

- a. What change have come about in the sectoral outcomes due to implementation of the schemes? (incl. Behaviour Change)
- b. What are positive, negative, long-term, short-term, direct, indirect and cumulative impacts of implementation mechanisms on scheme delivery, coverage, and equity?
- c. What is the impact of technology on service delivery, monitoring, tracking of beneficiaries etc.?
- d. How have the behaviour change strategies impacted scheme outcomes?
- e. How have the scheme been able to capacitate stakeholders?
- f. What is the acceptance of innovative practices and technologies amongst the target beneficiaries? What are the possible challenges in acceptance of the same?
- g. What is the impact of innovative technologies and practices on scheme and sectoral outcomes?
- h. Is there any evidence of improvement in service delivery through the use of private sector? How can the private sector be engaged in improving scheme value chain? What are some of the challenges hampering private sector participation in the scheme?

Sustainability:

- a. What are the long term demand prospects for services offered under the scheme?
- b. Are there any mechanisms to maintain the outcomes of the scheme in the long run?
- c. Are there any gaps in the institutional mechanisms in terms of adequate levels of qualified human resources, finance, equipment and other inputs that challenge the long-term sustainability of the program?
- d. Are there any intended/unintended environmental consequences of the scheme?
- e. Are there any political, economic, institutional, technical, social, environmental and financial risks associated that might limit the achievement of the outcomes of the scheme?

Equity:

- a. As part of the scheme design and implementation mechanism, are there any targeted action mandated in order to reach out/address the barriers faced by the most vulnerable groups in accessing the scheme?
- b. What is the contribution of the scheme towards reduction in inequality of opportunity and income?
- c. Are there any steps that the government is taking or can take to improve the reach and uptake of the scheme amongst the vulnerable population groups?
- d. What has been the effect of the TSP & SCSP funds on improving equity?

B. Further Scheme Specific Questions:**Anganwadi Services:**

- a. Past evaluations highlight that services except SNP and PSE have not received required impetus under the scheme. How does the ministry/department plan to address the imbalance?
 - b. How is the government responding to improving the quality of AWC infrastructure to improve scheme efficiency and effectiveness? (HR Vacancies, weighing machines, utensils, AWC structures, electricity, etc.)
 - c. What might be the reasons for a visible decline in beneficiary numbers under the scheme? (SNP and PSE)
 - d. How does the government ensure the quality of SNP and what mechanisms are available to avoid leakages through the supply chain?
 - e. What measures have been taken to ensure effective coordination between the AWC staff and the health centre staff so as to provide the requisite treatment? (WCD and Health)
 - f. Similarly State level, District level/block level/Panchayat level KII may be developed
1. IN-DEPTH INTERVIEW GUIDE WITH PANCHAYATI RAJ INSTITUTIONS/COMMUNITY LEADERS, WOMEN AND CHILD DEVELOPMENT (WCD)

No.	Q. No.	Response
1.	Date of Assessment	DD/MM/YY
2.	Name of the State	Response

3.	Name of the District	
4.	Name of the Village	
5.	Name of the Respondent	
6.	Gender of the respondent	
7.	Designation of Respondent (Panchayati Raj Institutions)	
8.	Number of months/years serving in this designation	
9.	Name of Investigator	
10.	Code of Investigator	

Interviewer Signature: _____ Date: _____ Place: _____

Key Questions (example-for some under M/o Women and Child Development is used for illustration):

1. What according to you are the top three major problems in the women and child development sector as a whole? (Tick from the following options listed below)

Sl no.	Issues/Problems	Tick 3 of the following options
1.	Coverage of all eligible beneficiaries	
2.	System inefficiencies	
3.	Coordination challenges with other department	
4.	Lack of NGO support	
5.	Local Social Issues	
6.	Lack Of Political Will	
7.	Insufficient Fund Allocation	
8.	Some Sector Areas Left Out	
9.	Other issues (Mention _____)	

2. What are the top five areas do you think require more attention for both women and child respectively? Tick from the following options mentioned below.

Sl no.	Areas needed more attention	Tick 5 of the options
1.	Sex selection at birth	
2.	Physical and mental development of child	
3.	Pre-school education	
4.	Disparity in education of girl child	
5.	Physical and mental development of school dropouts	
6.	Physical and mental harassment at work place	
7.	Physical and mental harassment at home	

8.	Adolescent health	
9.	Women safety	
10.	Nutrition and health (PW	
11.	Nutrition and health(LM),	
12.	Livelihood and job opportunities (including MGNREGA)	
13.	Shgs	
14.	Skill building training/programs	
15.	Other issues (Mention _____)	

- 3 Do you discuss about various WCD related issues in Gram Sabha/village level meetings? (Yes/No) Tell us about various WCD issues discussed in those meetings? (get a quote)
- 4 Do you see more women participating and raising their voice in Gram Sabha/SHG/other village level meetings? (Yes/No).
- 5 Can you suggest measures to be taken to motivate them for larger participation? (Get a quote)

Annexure-VII

Format on Focused Group Discussions (FGDS)

Moderator Name: _____

Note taker Name: _____

Date of FGD: _____ Place/Venue: _____

Start Time: _____ End Time: _____

Number of participants: _____

Ground rules to be set before conducting Focused Group Discussion FGDs):

- FGD will last in between 40-45 mins
- The Focus Group will have between 6-10 participants
- Thank people for coming
- Review the purpose of the group, and the goals of the meeting.
- Encourage Participation of all categories – give chance to speak
- **Don't hold back. It is safe for you to freely express your opinions without consequence.**
- We will allow team members to put new **ideas on the table and let them develop. (There's no such thing as a bad idea!)**
- We will engage in constructive/productive dialogue and feedback.
- We will allow no sidebars (separate conversations, or body-language sidebars like eyerolling, etc.).

- We will engage in constructive/productive dialogue and feedback.
- We will allow no sidebars (separate conversations, or body-language sidebars like eyerolling, etc.).
- Team members will respectfully disagree openly with each other – not passively or to others.
- Team members have the right to challenge, criticize and/or disagree during the decision/discussion.
- Team members have the right to question for clarity and the responsibility to give honest answers.
- Team members have the responsibility to respect and build on the strength that diversity provides
- Thank all for participation (Request to speak, if they have to say something at last, if not covered)

Group Composition:

- There will be maximum 10-12 participants in Focused Group Discussion. Of those participants there will be ... men, .. women etc. It will be ensured that among those participants 1-2 members will be more minority groups.

Some Key Questions to be asked for FGDs like (example-for some under M/o Women and Child Development is used for illustration)

- There are various government schemes under Women and Child Development sector. Are you aware of the schemes under WCD sector? Briefly tell about it

Instruction to the moderator:

- Ask specifically about each scheme – Mention the name of the scheme (if needed mention a line about the scheme and probe). Read out all schemes and a) check awareness and b) about availing the scheme benefits? (with posters)}, allow each of them to talk and judge. (Note: additionally ask, if they are aware of any benefits from the schemes related to girl child) Instructions to judge: When they speak, if more than >70 % recall, classify as well aware, 30-70-% classify as aware, otherwise not good awareness.

Instructions to judge:

1. When they speak, if more than >70 % recall, classify as well aware, 30-70-% classify as aware, otherwise not good awareness.

Sl no.	Name of Scheme	Scheme awareness level (well aware/aware/ not aware)	Scheme benefit level (well aware/aware/ not aware)
1.	ICDS		
2.	Poshan Abhiyan		
3.	Pmmvy		
4.	SAG		
5.	Creche		
6.	lcps		
7.	Working Women House		
8.	Women Helpline		
9.	Ujjawala		

10.	Swadhar Greh		
11.	BBBP		
12.	MPV		
13.	OSC		
14.	MSK		

2. Do you think all the schemes put together are covering the development of women and children? Yes/No/To an extent
 - i) As per their knowledge and understanding on the coverage, ask them who all are the different categories of beneficiaries left out? (**Give examples: women with destitute, widowed women, transgender, and other groups**) List them out: **a) ____ b) ____ c) ____**.
 - ii) What are the various aspects/areas that are left out by the scheme? (pregnant women violence aspects, Online violence, Microfinance, Social pressure, -----) **Instruction:** Allow them to talk and mention the top 3 areas in the blanks
a) ____ b) ____ c) ____.
3. Do you think there has been a change in the last 10 years in the health practices/health approaches adopted for women and child health? (Yes/No) (**Instruction:** Get a quote)
4. According to you, has the distribution of services provided under the schemes been equitable i.e., Is there any instance whereby a woman/child belonging to a particular group (SC/ST/OBC/Minority groups/disadvantaged sections) was denied access? (**Instruction:** Get a quote on instances)
5. (Information about Creche services):
 - a) Are there any Creche centers established in your community? Yes/No
 - b) Are the Creche services being delivered from AWC itself? Yes/No
 - c) If any new Creche centers are established as per the scheme, have the villages been consulted while setting up creche center/involved in the decision-making process in scheme implementation in your community? Yes/No.
 - d) Has creche services facilitated and met the requirements of your children? Yes/No.
 - e) Has the provision of a creche in any way help/support in better functioning of SHGs? (Yes/No)
 - f) Has the provision of a creche in any way increased freedom to move outside? {(Yes/No
6. Is there any instance where people have been denied using creche facilities? (Yes/No) If Yes, Groups/sections denied services, Name ____; proportion of such population ____ %
7. Note down the gender of sarpanch ____ (Male/Female) and ask the following:
 - i) Is Sarpanch involved in implementing WCD schemes? Instruction: Ask them to speak and judge the following – Very involved/involved to a satisfactory level/Not involved/creates negative environment
 - ii) Is Sarpanch approachable for solving issues related to WCD sector? Ask them to speak and judge the following – Very approachable/approachable to a satisfactory level/Not approachable/create negative environment

Instruction: get a quote on each of the above categories

8. Does the AWW frequently record and monitor the growth of the child? Yes/No. Is it done adequately?
Yes/No
9. Do you participate in various activities undertaken as a part of AWS scheme?
(Yes/No)
 - (a) If Yes, can you tell briefly about the frequency of participation and the ways you get involved?
(Probe: involve in awareness activities, engage in meetings held at AWC for Nutrition and Health Education (**mother and child**); for Creche and pre-school activities etc.) Instruction: Get a quote
 - (b) If women or people from backward sections get involved in the implementation process?
(eg: awareness activities, engage in meetings on decision making for implementation)
Yes/No
 - (c) Do people follow-up to receive the mandated benefits of the scheme?
(Yes/No)

And so on.....

Annexure-VIII

Format of Institutional Survey

- (i) Name of Institution 1
- (ii) Name of Institution 2
- (iii) Name of Institution 3

Sl no.	Q. No.	Response
1.	Date of Assessment	DD/MM/YY
2.	Name of the State	
3.	Name/Type of the Institution	
4.	GPS	Latitude: _ _ _ . _ _ _ _ Longitude: _ _ _ . _ _ _ _
5.	Name of Investigator	
6.	Code of Investigator	

Interviewer Signature: _____ Date: _____ Place: _____

Some Key Questions to be asked like (for illustration a sample of questions on the scheme 'working women hostel' is used):

1. Whether it is on a public land?
 - a. Yes
 - b. No

2. Whether it is suitable and convenient for working women to access
 - a. Yes
 - b. No
3. Whether the hostel can be easily accessed by the PWD (Person with disability)?
 - a. Yes
 - b. No
4. Does the working women hostels have a day care creche facilities available?
 - a. Yes
 - b. No
5. Is the day care centres are safe and well ventilated with adequate reading and playing materials for children?
 - a. Yes
 - b. No
 - c. N.A.
6. Does the working women hostels fulfill the following basic conditions in terms of basic amenities?
Tick against each

Living rooms (Single, double) Dormitory	- 75 to 100 sq.ft (without bathroom) - 65-75 sq ft (with bathroom)
Common Room	21 sq.ft. per resident for at least 25% of the strength
Dining Room	11 sq.ft per resident for atleast 50% pf the strength
Kitchen and store	6 sq.ft per resident (max 60 sq.ft)
Bathroom Toilet Washbasin	1 for every 6-8 residents 1 for every 6-8 residents 1 for every 8-10 residents
Warden room	Not living with family – size of 2 single room With family – max 115 sq.ft
Sick room	1 of size 100 sq.ft
Floor height	10-12 feet
Total built up area	2.5 times of living area
Washing machine	For every 25 residents
Geyser/Solar heating	Appropriate capacity
Computers, Internet	

7. Is there security measures available within the premises ?
 - a. Yes
 - b. No
8. Does the working women hostel have a functioning CCTV in its premises?
 - a. Yes
 - b. No
9. Does the working women hostel have medical first aid available?
 - a. Yes
 - b. No
10. Does the working women hostel maintain attendance registers and contact details of the beneficiaries as well as mothers of the children available?
 - a. Yes
 - b. No
11. Does the working women hostel have the following staff available in the facility? Tick all the applicable options
 - a. Hostel warden
 - b. Cook
 - c. Chowkidar
 - d. House Keeping
12. Is there a hostel management committee?
 - a. Yes
 - b. No
13. Does it have a fire safety exit?
 - a. Yes
 - b. No

To be asked to the warden

1. Did you ever face drinking water issues in the past?
 - a. Yes
 - b. No
2. Did you face network connectivity issues in the past?
 - a. Yes
 - b. No

3. Did you face supply crunch of essentials in the past?
 - a. Yes
 - b. No
4. Is there a NGO/CBO involved in the functioning of this institute?
 - a. Yes
 - b. No
5. Is there a feedback mechanism in place?
 - a. Yes
 - b. No
6. Is internet available to all now?
 - a. Yes
 - b. No
7. Are records maintained digitally?
 - a. Yes
 - b. No
8. Is data about the institute relayed to state/district HQ
 - a. Yes
 - b. No
9. If 8 is yes, how is the data relayed to the HQ
 - a. Digitally
 - b. Paper files

Annexure-IX

Format of QUANTITATIVE SURVEY QUESTIONNAIRE

SECTION A: Identification Of Household		
1.	State Code	Code _ _
2.	State name	Name: _____
3.	District code	Code _ _
4.	State Code	Code _ _
5.	District name	Name: _____
6.	Block name	Name: _____

SECTION A: Identification Of Household			
7.	Village/CEB code	Code _ _	
8.	Village/CEB name	Name: _____	
9.	Interviewer ID	_ _	
10.	Supervisor ID	_ _	
11.	Household number	~_	
12.	Unique Reference ID.	_ _ _ _ _ _ _	
13.	Date of visit	_ _ _ _	
14.	Result of visit	Available for interview	1
		Refused	2
		Others: _____	3
15.	Type of respondent	Like Pregnant woman	1
		Like Lactating women	2
		Like Adolescent girl (11-14)	3
16.	Is the respondent employed and has a child aged between 6 months to 6 years?	Yes 1	1
		No 2	2
17.	Respondent name	_____	
18.	Name of Household head	
19.	What is the religion of this household?	Hindu 1	
		Muslim 2	
		Christian 3	
		Sikh 4	
		No religion 9	
		Other (specify) _____ 88	
20.	What is the caste of this household?	Scheduled caste 1	
		Scheduled tribe 2	
		Other backward caste 3	
		Forward/General 4	
		Other (specify) _____ 88	
21.	What Is the kind of ownership of house?	Owns the dwelling 1	
		Rents the dwelling 2	
		Uses without paying rent 3	
		Forward/General 4	
		No dwelling 4	
22.	How many members stay in the house?	_ _	

Note: Questions may be changed depending upon the nature of studies

SECTION B: Following Households based identification questions, scheme based questions should be asked. For illustration some sketchy questionnaire on Aganwadi Centre is given below:

Questions related to Anganwadi services			
1.	Are you aware of services provided by Anganwadi	Yes	1
		No	2
2.	On a scale of 1 to 3, how relevant do you think Anganwadi services is or your needs?	Not Relevant	1
		Moderately Relevant	2
		Very Relevant	3
		Don't Know	99
3.	Have you ever availed any anganwadi services?	Yes	1
		No	2
		Lack of interest in availing	3
4.	If not, what are the major reasons for not being able to avail the benefits of the scheme?	Unable to get required support	2
		Anganwadi is too far	3
		Anganwadi closed during	4
		Any other reason	88
5.	Do you receive Take home ration from Anganwadi Center?	Yes, regularly	1
		Yes, but irregular	2
		Do not receive	3
		Anganwadi Center provides but	4
6.	In the last 6 months, how many times		
7.	Do you think quantity of take-home ration provided is sufficient?	Yes	1
		No	2
8.	Who consumes the take-home ration?	Self	1
		Share with family	2
		No one consumes	2
		Other, specify	88
9.	On a scale of 1 to 5, 1 being very poor and 5 being very good, how would you rate the quality	Very poor	1
		Poor	2
		Neutral	3
		Good	4
		Very Good	5
10.	Do you receive hot cooked meal from Anganwadi Center?	Yes, regularly	1
		Yes, but irregular	2
		Do not receive	3
		Anganwadi Center provides but	4
11.	Do you like the taste of hot cooked meal?	Yes	1
		No	2
		Neutral	3
12.	Are you satisfied with the quantity of hot cooked meal provided to you?	Yes	1
		No	2
		Neutral	3

Questions related to Anganwadi services			
13.	Is there any specific food item you would like to add to the food menu of hot-cooked meal to meet the dietary needs of your child? (Multiple choice)	Milk	1
		Eggs	2
		Meat and Fish	3
		Green and Leafy vegetable	4
		Fruits	5
		Cheese	6
		Starchy foods (Breads, potato, legume/nuts.	7
		None	8
		Other	99
			88
14.	Did ASHA/AWW/USHA come to meet you at your home?	Yes	1
		No	2
15.	In the past 6 months, how many	No. of times _____	1
16.	How satisfied were you with the treatment offered at the facility?	Very satisfied	1
		Satisfied	2
		Neither satisfied nor unsatisfied	3
		Unsatisfied	4
		Highly unsatisfied	5
17.	Did the AWW/Asha follow-up the treatment till the end?	Yes	1
		No	2
18.	Did you receive any antenatal checkup (ANC)?	Yes	1
		No	2
		Don't Know	99
		Other (specify)	88
19.	How many times [did you	No. of times _____	
20.	On a scale of 1 to 5, how satisfied are you with Anganwadi services?	Very satisfied	1
		Satisfied	2
		Neither satisfied nor unsatisfied	3
		Unsatisfied	4
		Highly unsatisfied	5
21.	What are the key barriers or problems you faced while accessing anganwadi services?	Unable to get required support	1
		Unfair treatment from service	2
		Anganwadi was too far	3
		Anganwadi not open during	4
		No Problem	5
		Any other reason _____	6

Questions related to Anganwadi services			
22.	Are you aware of grievance redressal mechanism for the scheme?	Yes	1
		No	2
		Don't Know	3
23.	On a scale of 1 to 5, 1 being lowest and 5 being highest, to what extent do you feel Anganwadi services have supported you to continue with your work/job ?	Very High	1
		High	2
		Neither high nor low	3
		Low	4
		Very Low	5
24.	On a scale of 1 to 5, 1 being lowest and 5 being highest, to what extent does the presence of Anganwadi and interaction with AWW/others enable you to positively influenc	Very High	1
		High	2
		Neither high nor low	3
		Low	4
		Very Low	5

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