



**NITI Aayog**



Evaluation systems in the states

# **An assessment of evaluation infrastructure in the states**

# Guidelines

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- Participants are requested to please enter following details in the chat box as soon as they enter the meeting-
  - **Name,**
  - **Designation,**
  - **State**
- Participants are **on mute** by default to avoid disturbances. They are requested to be on mute during the Webinar and **unmute themselves only to ask a question**
- During the webinar presentation, one is requested to post questions in chat box window.
- Post webinar, for any clarifications with DMEO, please reach out us at: [statedmeo-niti@gov.in](mailto:statedmeo-niti@gov.in) or DMEO state nodal.
- The Webinar will be **recorded** for documentation purposes

# Agenda

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Sno	Description	Time
1	Welcome Remarks by DG, DMEO	12:00 to 12:05 PM
2	Presentation by DMEO team <ul style="list-style-type: none"><li>• Objectives of the exercise</li><li>• Methodology</li><li>• Diagnostic tool criteria</li><li>• Detailed tool discussion</li></ul>	12:05 to 1:00 PM
3	Q&A	1:00 to 1:25 PM
4	Closing Remarks by Director, DMEO	1:25 to 1:30 PM

## Current engagement of DMEO

### Knowledge Sharing

- **Webinars:** DMEO mandate and various practices and toolkits institutionalized by DMEO, Insights from Agriculture, Urban and Health sector evaluation study, Best practices from Haryana, Tamil Nadu and Karnataka
- **Best practices:** Shared with the states

### Deepening engagement

- **Statement of Intent:** Govt of Meghalaya, Govt of Tamil Nadu, Govt of Haryana
- Working on preparation of work-plan with these states.

### Capacity Building

- **Strengthening State planning departments:** Discussions held by Govt of Madhya Pradesh and Govt of Uttarakhand in NITI AAYOG
- **Training on M&E aspects in Rajasthan:** Conducted by DMEO in partnership with WFP
- **State evaluation infrastructure assessment:** Current presentation

## Background

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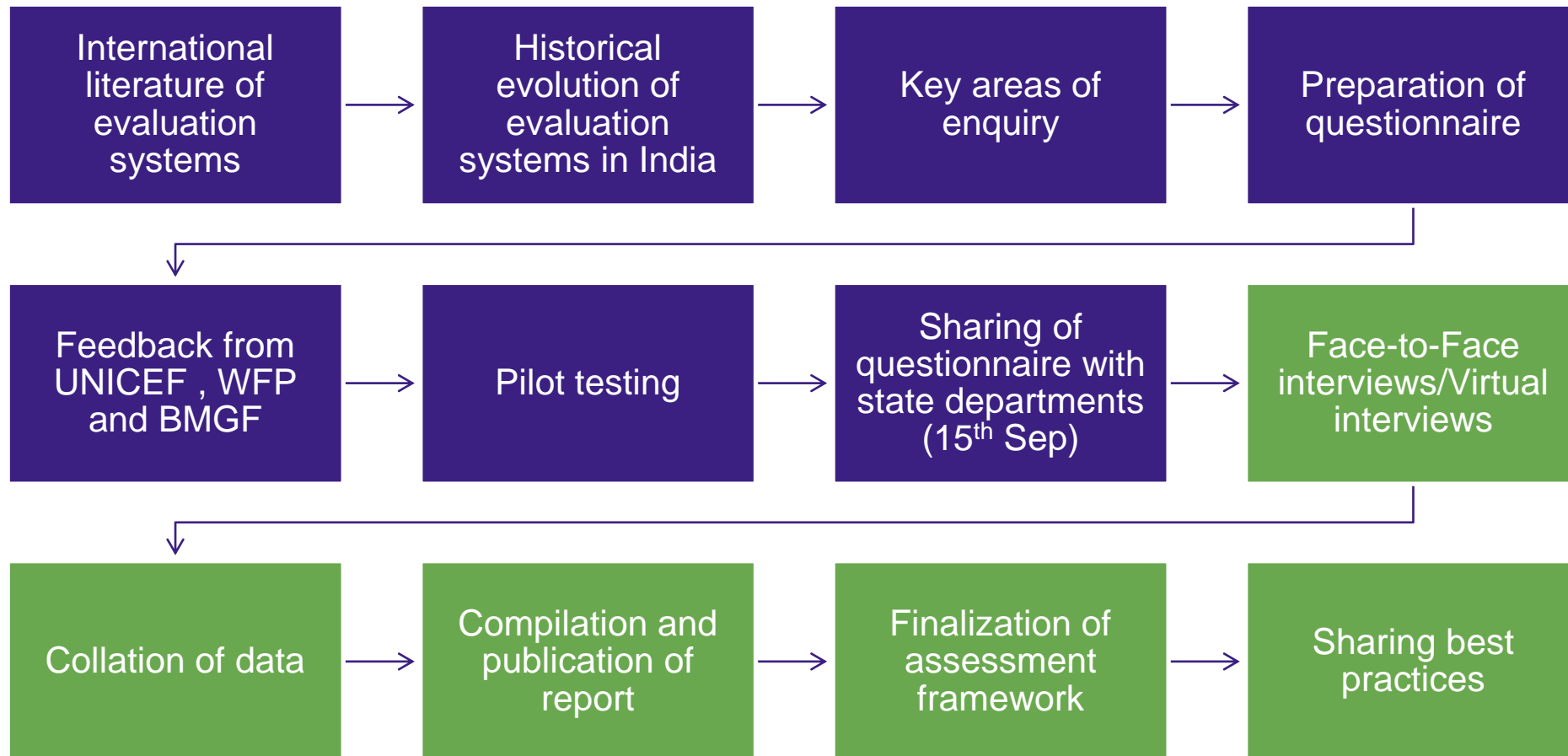
- A similar exercise conducted in 1978 and 1995. Focus on four-fold objective i) evaluation machinery in the states ii) Follow-up of findings in the evaluation studies iii) Training iv) strengthening of evaluation machinery
- No study after that.
- States have evolved differently since then especially in building evaluation systems.
  - Karnataka have an evaluation policy and independent evaluation authority
  - Many states have carved space for evaluation within the planning department
  - Few states do not have specific focus on evaluation

## Objectives

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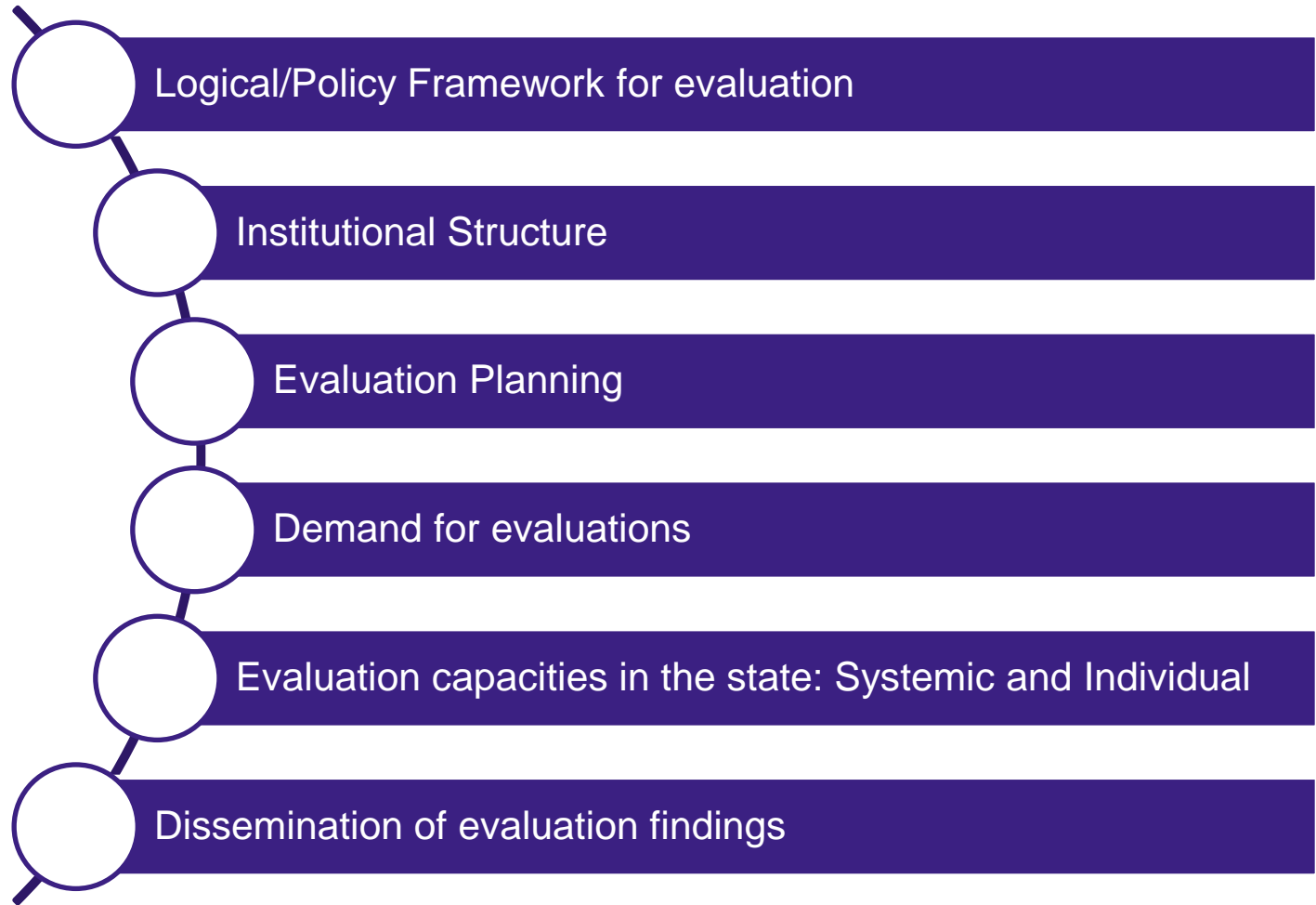
- Assess current evaluation infrastructure systems in the states
- Identify and document best practices from the states
- Provide a work-plan for strengthening of evaluation systems in the states
- Training tailor-made to suit the needs of states based on the report.

# Methodology



# Areas of Enquiry

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## DMEO and Partner Mapping

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Sno	States	Led by
1	Orissa and Maharashtra	DMEO and UNICEF
2	Rajasthan	DMEO and WFP
3	Punjab and Tamil Nadu	DMEO and JPAL
4	Uttar Pradesh, Bihar and Delhi	DMEO and Sambodhi
5	Other states	DMEO

DMEO along-with partners will conduct in-person/virtual interviews to collect the data as required for finalization of the reports.










# **Questionnaire to Assess Evaluation Systems and Practices in State Governments of India**

# Areas of Enquiry

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-  1. Preliminary Questions
-  2. Framework for Evaluation
-  3. Institutional Structure
-  4. Evaluation Planning
-  5. Demand for Evaluations
-  6. Evaluation Capacities in the State: Systemic and Individual
-  7. Dissemination of Evaluation Findings
-  8. Evaluation Capacity Building in the State
-  9. Support Required

# Areas of Enquiry










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# 1. Preliminary questions

Framework of Evaluations		
S.no.	Questions	Responses
1.1	Name of the state	
1.2	Name of the department/organization responding to the questions	
1.3	Name of the respondent/nodal officer	
1.4	Designation of the respondent/nodal officer	
1.5	Phone number of the respondent/nodal officer	
1.6	Email ID of the respondent/ nodal officer	
1.7	Date of filling the questionnaire (DD/MM/YYYY)	

# Areas of Enquiry

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## 2. Framework for evaluation

Framework of Evaluations		
S.no.	Questions	Responses
2.1	Does the state have a legal framework for evaluation? Legal framework refers to guidelines backed by an act of the legislature which determine what an evaluation entity/institution intends to achieve and how to achieve it?	Yes/No
2.2	Please provide a brief overview of the state legal framework for evaluation.	Narration of legal framework
2.3	Does the state have a policy framework for evaluation? Policy refers to general guidelines which determine what an evaluation entity/institution intends to achieve, how to achieve and by when to achieve?	Yes/No
2.4	Please provide a brief overview of the state policy framework for evaluation.	Narration of policy framework
2.5	Does the state have a formal definition on what constitutes evaluation?	Yes/No
2.6	Please narrate the formal definition for evaluation used in the state?	Narration of definition
2.7	Does each line ministry/department in the state have a separate unit which looks after the evaluation mandate?	Yes/No

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### 3. Institutional structure

Institutional structure		
S.no	Questions	Responses/Comments
3.1	Is there a dedicated institution/unit (independent or embedded within the existing department) which looks after the evaluation mandate in the state?	Yes/No
3.2	If not independent, which is the parent department for the evaluation institution/unit in the state?	*Description*
3.3	If not independent, please specify how the evaluation unit has been institutionalized?	Under a Department/ Directorate/ Scheme-programme level
3.4	If its an independent organization (set-up as entity through a new legislation or under an existing act), please narrate its link to the planning and finance departments. Please also provide legislation details.	Narration of Link
3.5	What is the date of establishment of the evaluation institution?	(DD/MM/YYYY)
3.6	What is the sanctioned strength/positions for the evaluation institution in the last three years (FY2018-19, FY2019-20, FY2020-21)?	Interviewers/Department may modify the positions based on the classification applicable to the department.
3.7	How many of the sanctioned positions have been filled? Please provide data for the last three years (FY2018-19, FY2019-20, FY2020-21).	
3.8	Is there a provision to hire people from private/academic sector? If yes, please also provide details of such provision.	Yes/No
3.9	If yes, please provide details of how much % they constitute and at what level are they hired?	Percentage distribution for laterals,

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## 4. Evaluation Planning

Evaluation Planning		
S.no	Questions	Responses/Comments
4.1	Does the state have an evaluation plan? (Evaluation plan herein refers to a list of evaluation studies the department intends to undertake during year or plan period.)	Yes/No
4.2	What is the duration of the evaluation plan	Number in Years
4.3	How does the state formulate an evaluation plan?	In consultation with line departments / (Demand /gap assessment)
4.4	Whether the plan is referred to/used when commissioning evaluations?	Yes/No
4.5	Do state-owned enterprises (PSUs under state government) have an evaluation plan? (Evaluation plan herein refers to a list of evaluation studies the department intends to undertake during the course of year or plan period)	Yes/No
4.6	What is the duration of the evaluation plan?	In number of years
4.7	Do local governments at district level have an evaluation plan?	Yes/No
4.8	What is the duration of the evaluation plan?	In number of years
4.9	Is there a criterion adopted by the state for selecting schemes/programmes to be evaluated?	Yes/No
4.10	Please narrate the criterion used by the state for selecting schemes/programmes for evaluation (may include budget limit or time period etc.)	Narration of the link
4.11	Are there immediate/urgent/out of turn requests from line department/ministries for evaluation, and if yes, how does the evaluation unit/department take care of the demand?	Narration

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## 5. Demand for Evaluations










Demand for Evaluations		
S.no	Questions	Responses/Comments
5.1	Which organizations/departments supplies the list of relevant programmes/schemes to be evaluated in a specific year?	All Departments/ Few Departments (Mention departments)
5.2	Who is the primary decision maker in the state on what schemes/programmes are to be evaluated?	**Enumerate responses**
5.3	Please narrate how the decision to evaluate schemes/programmes is made in the state. For example, technical committee set-up to examine proposals	Narration of decision making
5.4	How many evaluations were planned and commissioned by the evaluation institution in the last three years (FY2018-19, FY2019-20, FY2020-21)?	Numbers**
5.5	How many evaluations were completed in the last years (FY2018-19, FY2019-20, FY2020-21)?	Numbers**
5.6	In-case of low percentage of completion, please provide the reasons for such low completion rate	
5.7	What is the average budget of the total commissioned evaluations in the last three years in INR (FY2018-19, FY2019-20, FY2020-21)?	Numbers**

## 5. Demand for Evaluations (Continued)

Demand for Evaluations		
Sr.no	Questions	Responses/Comments
5.8	How does budget allocation for a study is decided?	Narration of budget allocation
5.9	What is the total average budget for all schemes programmes in the last three years in INR (FY2018-19, FY2019-20, FY2020-21)?	Numbers**
5.9a	What is the total budget of the evaluation office in the last three years in INR (FY2018-19, FY2019-20, FY2020-21)?	Numbers**
5.10	What are the types of evaluation conducted by the state?	**Enumerate responses**
5.11	If others, please provide an overview of the type of evaluations conducted by the state.	Brief Overview
5.12	Is there separate budget for evaluation in the scheme budget?	Yes/No
5.13	Is there demand for evaluations from state legislators?	Yes/No
5.14	How do legislators/policy makers in the state look at evaluations? How useful are they perceived to be?	Yes/No
5.15	Can you provide an example where evaluation findings and recommendations were considered by the state legislators for taking decisions on programmes/schemes?	Narration

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## 6. Evaluation capacities in the state: Systemic and Individual

Evaluation capacities in the state: Systemic and Individual		
S.no	Questions	Responses/Comments
6.1	How are evaluations conducted in the state?	In House; Outsourced; Both
6.2	Is there a list of empaneled institutions/ research agencies, that undertake evaluations in the state?	Yes / No: Evaluation done in-house
6.3	Please provide the list of empaneled institutions	List enumeration (Only if yes in 2)
6.4	Does the state follow a tendering process for selection of evaluation agencies?	Yes / No: Evaluation done in-house
6.5	What are the criteria for the selection of evaluation organization?	QBS / QCBS
6.6	What is the average time taken between the issuance of a Request for Proposal (RFP) and the award of the evaluation project?	No. of days
6.7	What is the primary purpose(s) of the evaluations conducted in the state?	Select amongst Multiple choices
6.8	If Others, please specify the purpose of the evaluations conducted by the state.	Narration
6.9	Are evaluation recommendations used to decide whether to increase or reduce the budgetary allocation for schemes/programmes?	Yes / No
6.10	Are evaluation recommendations used for other purposes in the states? If so, please detail the various purposes.	Narration
6.11	Are there any incentives provided to departments for commissioning evaluations?	Yes / No
6.12	If yes, what are the incentives?	Narration












## 6. Evaluation capacities in the state: Systemic and Individual (Continued)

Evaluation capacities in the state: Systemic and Individual		
S.no	Questions	Responses/Comments
6.13	Does the state have standards/ standard operating procedures for the following evaluation activities?	Select amongst list of choices
6.14	Are there any guidelines /template/checklist used by the state in execution of evaluation studies? For example, use of REESI framework to analyze a scheme or programme	Yes / No
6.15	Please provide an overview of the guidelines/template/checklist used by the state?	Skip if no in 14
6.16	Are there any specific protocols/guidelines/institutions for seeking ethical clearance? (e.g., consent, confidentiality, etc.)	Yes / No
6.17	Please provide overview of the guidelines/criteria used by the state	Narration of guidelines/protocols
6.18	Are there any quality assurance mechanisms commissioned by the evaluation unit/entity? For example, templates and checklists, external review mechanism, protocols for spot-checks on data collection, etc.	Yes / No
6.19	Do evaluations go through the quality assurance that is required?	Yes / No (Skip if No in 18)
6.20	Usually during an evaluation which necessitates data collection from beneficiaries, how is the primary data collected from beneficiaries?	No primary studies done; Paper based methods; Digital methods
6.21	What are data storage protocols? De-identified data/encrypted data on Govt. server?	Narration

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## 7. Dissemination of evaluation insights and state evaluation capacities

Dissemination of evaluation insights and state evaluation capacities		
S.no	Questions	Responses/Comments
7.1	At what stages of the evaluation does the evaluation organization/institution/cell/ division in the state consults with key stakeholders/intended users (i.e., line departments and other government/non-government stakeholders)?	**Select amongst multiple choices**
7.2	Does the evaluation institution maintain a separate file/website/MIS of recommendations emerging from evaluations?	Yes / No
7.3	Is there any specific template for sharing evaluation findings/ reports	**Narration**
7.4	Are there publication guidelines for evaluations?	Yes / No
7.5	Are the evaluation study findings/ recommendations available in the public domain?	Yes / No
7.6	Is there a process to respond to recommendations?	Yes / No
7.7	Are there dedicated review meetings to track progress?	Yes / No
7.8	Is the data collected for evaluation studies available in the public domain?	Yes / No
7.9	If data not made public, any rationale for the same	**Description**

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## 8. Evaluation Capacity building in the state

Evaluation Capacity building in the state		
Sr.no	Questions	Responses/Comments
8.1	Are evaluation personnel in the evaluation institution/unit trained in evaluation methodology?	Training of different level of personnel Yes / No
8.2	Is there a separate cadre for evaluation personnel?	Yes / No
8.3	If yes, please provide the details of trainings undertaken by various staff?	Interviewer/Department may provide the classification wise details as applicable in the department
8.4	Is evaluation taught as part of the state administrative training institutes?	Yes / No
8.5	If yes, please state the name of the administrative training institutes that include evaluation as part of their teaching curriculum.	Name of Institution Area of specialization
8.6	Has the state established core competencies which defines professional standards for evaluators?	Yes / No / Competencies under development
8.7	If core competencies are established, please specify the competencies?	**Narration of core competencies**
8.8	Does the state have any institutes/research bodies which support strengthening evaluation capacities?	Yes / No
8.9	If yes in 8, please state the names of the institutions, including their area of specialization.	Name of institution: Area of specialization:

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## 9. Support required

Support required		
Sr.no	Questions	Responses/Comments
9.1	Please provide an overview of the major challenges faced while conducting evaluations in the state?	Narration
9.2	Please describe the support that you require to strengthen evaluations in the state?	
9.3	Please specify any approach/innovation/best practice adopted to overcome challenges (you would like to share with other states)?	
9.4	Is administrative data used in evaluation?	Yes / No
9.5	If yes, please specify the purpose	Narration
9.6	Any other feedback	

## Way Forward

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- **Compilation and publication of report**
  - DMEO team along with expert partner will organize in-person/virtual interviews
  - Documentation of evaluation best practices (with help of DMEO partner)
  - Shared of draft report with the states (Based on information submitted)
  - Publication of final report
- **Strengthening of evaluation systems in the states**
  - Dissemination of best practices through webinar
  - Training of state staff by leveraging ATIs network
  - Working through DMEO partners to cater to the demands of the states.





**Any Questions?**

# THANK YOU

This document is produced by advisors and consultants at DMEO, NITI Aayog, as general guidance. It is not intended to provide specific advice. If you require advice or further details on any matters referred in this document, please contact DMEO.



## **ABOUT DMEO, NITI AAYOG**

The Development Monitoring and Evaluation Office (DMEO), attached to NITI Aayog, is the apex monitoring & evaluation (M&E) office in the country, with a mandate to drive evidence-based policy making through M&E of government policies and programmes. Since its inception in 2015, the Office aims to shift the discourse of public policy towards rigorous, data-driven, citizen-centric, and decentralized policymaking, to improve governance and facilitate the formation of a New India.

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