India: Accomplishments & challenges in evaluation

- DR. SHWETA SHARMA

DIRECTOR

DEVELOPMENT MONITORING & EVALUATION OFFICE, NITI AAYOG

Agenda

- Mapping the M&E Ecosystem

- Challenges to Evaluating Programmes

- Key Strategies
    1. Rethinking Evaluations
    2. Enhancing M&E Capacities across the ecosystem
    3. Improving Data Governance
    4. Building Strong Partnerships

- Way forward

About DMEO

Established in Sept 2015 for fulfilling the mandate of monitoring & evaluation assigned to NITI Aayog, Government of India


Vision: Improved sustainable outcomes and impacts of the government

Mission: To enable effective monitoring and evaluation of government programs to improve effectiveness, efficiency, and sustainability of service delivery, outcomes and impacts.

Mapping the M&E Ecosystem

Govt Demands Evidence

Demand Side Challenges	Demand Side Activities
Lack of capacity to generate and utilize evidence	Capacity Building
Lack of awareness	Outreach and Awareness
Lack of coordination/standardization/communication	Preparing standards
Lack of clear guidelines	National Evaluation Policy Framework
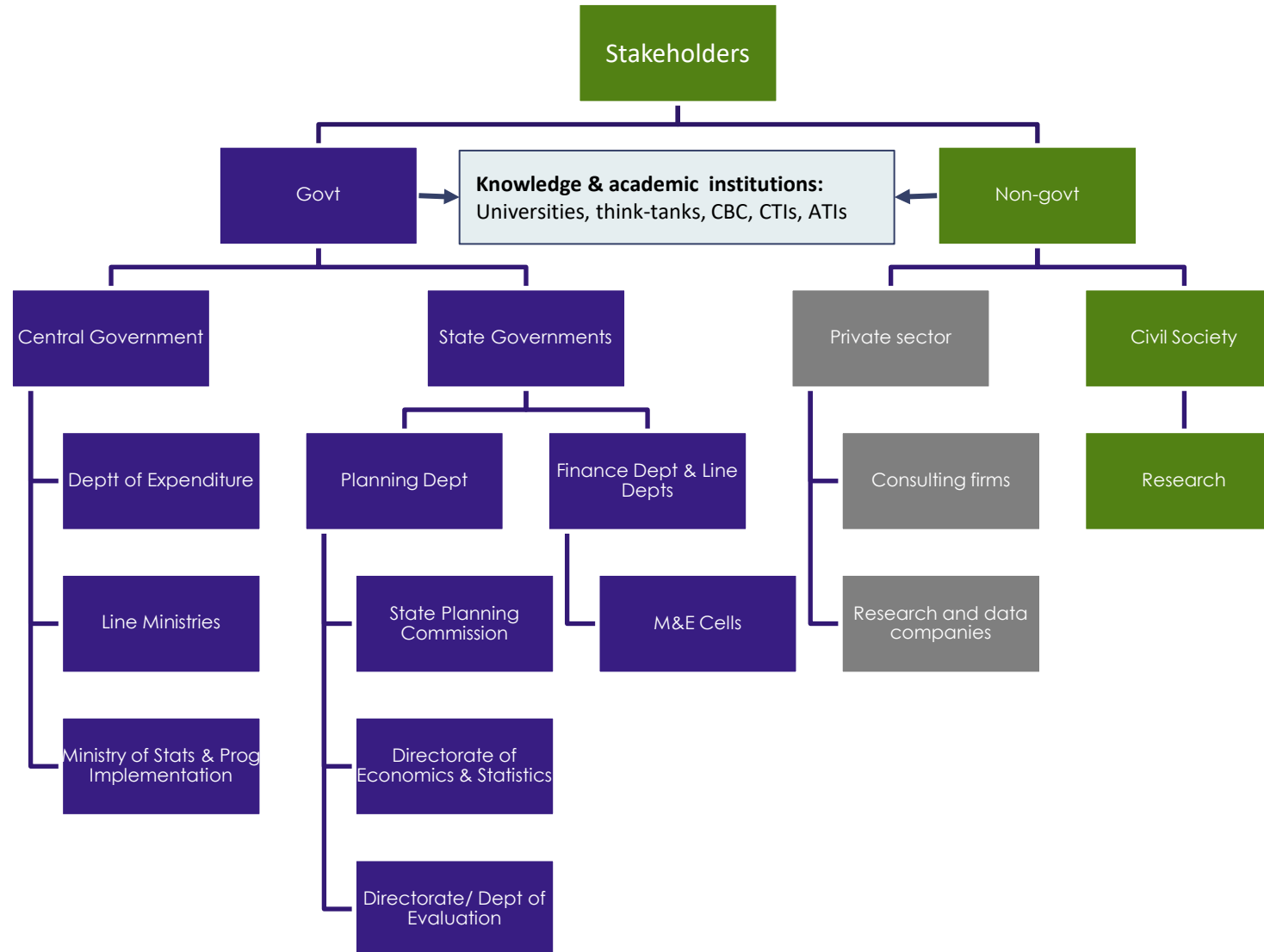
Organizations Supply Evidence

Supply Side Challenges	Supply Side Activities
Complex public procurement, long-term capacity building, quality	Empanelment of KIs and Survey Institutions
Academic knowledge disconnected and difficult to access	CoE in KIs Publish research needs
Evaluation study capacity is low	-Capacity-building -Practice evaluations

Stakeholders
- Govt
  - Central Government
    - Deptt of Expenditure
    - Line Ministries
    - Ministry of Stats & Prog Implementation
  - State Governments
    - Planning Dept
      - State Planning Commission
      - Directorate of Economics & Statistics
      - Directorate/ Dept of Evaluation
    - Finance Dept & Line Depts
      - M&E Cells
- Knowledge & academic institutions: Universities, think-tanks, CBC, CTIs, ATIs
- Non-govt
  - Private sector
    - Consulting firms
    - Research and data companies
  - Civil Society
    - Research

Challenges to Evaluating Programmes

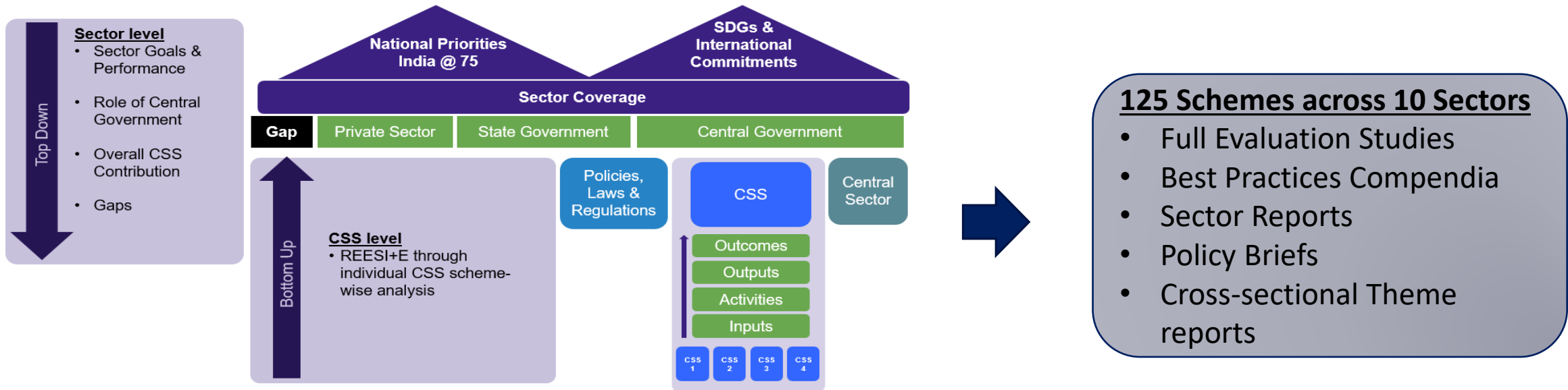| Limited Capacity – HR, Finances etc.	Availability of high quality granular data	Inclusion of marginalized communities

1. Rethinking Evaluations

2. Enhancing M&E Capacities across the ecosystem
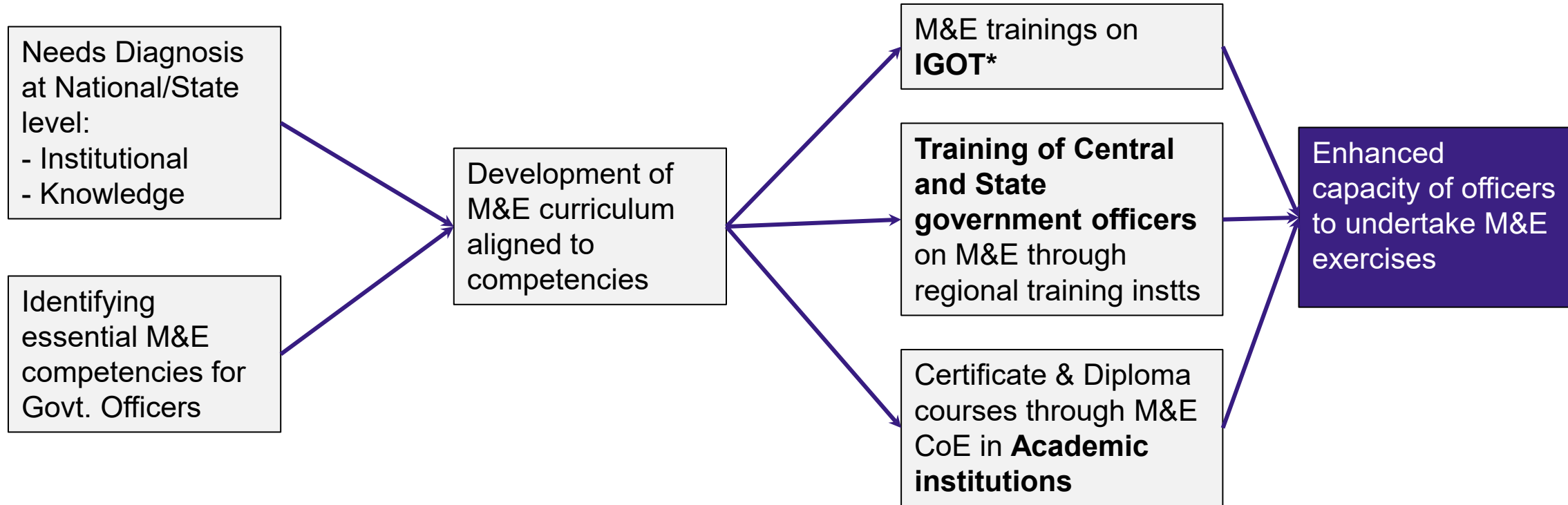
3. Improving Data Governance

4. Building Strong Partnerships

1 Rethinking Evaluations

- **SDG perspective** in the scope of evaluations
- **RCEESI + E Framework** (Relevance, Coherence, Effectiveness, Efficiency, Sustainability, Impact + Equity) - OECD
- Include **cross-sectional themes** such as gender mainstreaming, inclusion of marginalized populations
- **Multiple products** to address needs of policy makers – Quick Assessments, Performance Notes, Rigorous Evaluations, Policy Briefs etc.
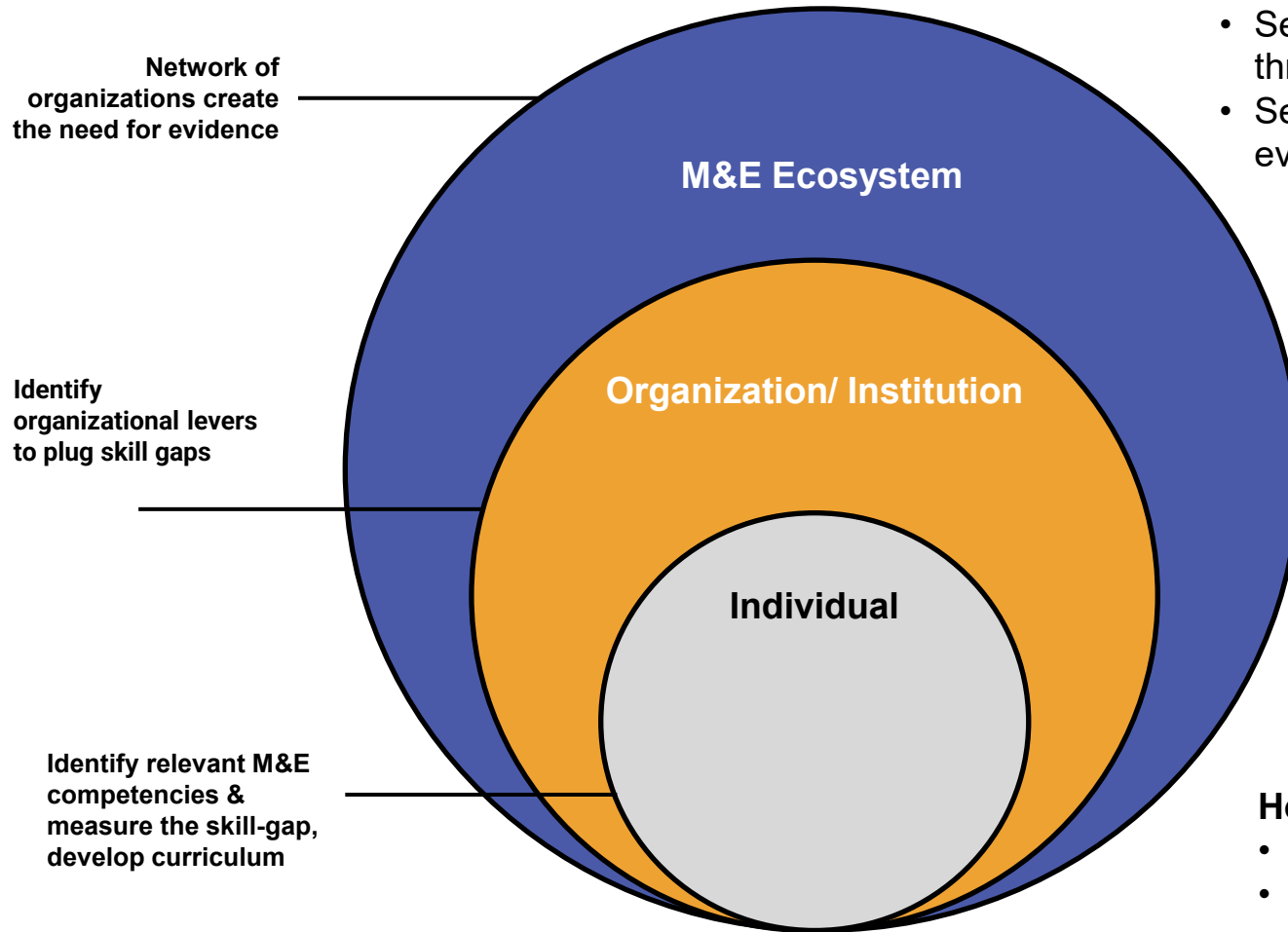

125 Schemes across 10 Sectors
- Full Evaluation Studies
- Best Practices Compendia
- Sector Reports
- Policy Briefs
- Cross-sectional Theme reports

2. Enhancing M&E Capacities in the Ecosystem

```
┌─────────────────────┐
│ Needs Diagnosis     │
│ at National/State   │
│ level:              │──┐                                    ┌─────────────────────┐
│ - Institutional     │  │                                    │ M&E trainings on    │──┐
│ - Knowledge         │  │      ┌──────────────────┐          │ IGOT*               │  │
└─────────────────────┘  ├─────▶│ Development of   │──┐       └─────────────────────┘  │
                         │      │ M&E curriculum   │  │                                 │
                         │      │ aligned to       │  │       ┌─────────────────────┐  │   ┌─────────────────────┐
                         │      │ competencies     │  ├──────▶│ Training of Central │  ├──▶│ Enhanced            │
┌─────────────────────┐  │      └──────────────────┘  │       │ and State           │──│   │ capacity of officers│
│ Identifying         │  │                            │       │ government officers │  │   │ to undertake M&E    │
│ essential M&E       │──┘                            │       │ on M&E through      │  │   │ exercises           │
│ competencies for    │                               │       │ regional training   │  │   └─────────────────────┘
│ Govt. Officers      │                               │       │ instts              │  │
└─────────────────────┘                               │       └─────────────────────┘  │
                                                      │                                 │
                                                      │       ┌─────────────────────┐  │
                                                      │       │ Certificate &       │  │
                                                      └──────▶│ Diploma courses     │──┘
                                                              │ through M&E CoE in  │
                                                              │ Academic            │
                                                              │ institutions        │
                                                              └─────────────────────┘
```

◀ **Consultation with Central M/Ds, States & Other Stakeholders** ▶

Capacity building – Multi-level Framework

Network of organizations create the need for evidence

M&E Ecosystem

Organization/ Institution

Individual

Identify organizational levers to plug skill gaps

Identify relevant M&E competencies & measure the skill-gap, develop curriculum

Role of ecosystem
- Sets the overarching demand for evaluations and evidence through organizational networks
- Sets the standards and expectations from evaluators and evidence

Why institutions matter?
- Capacity building initiatives are situated within an institutional context
- Strong institutions are key to sustaining and utilizing learnings from capacity development
- Strengthening of institutions/processes has to happen alongside capacity building initiatives

How to build individual capacities?
- Systematic look at existing capacities
- Plugging gaps and identifying spaces for continual learning

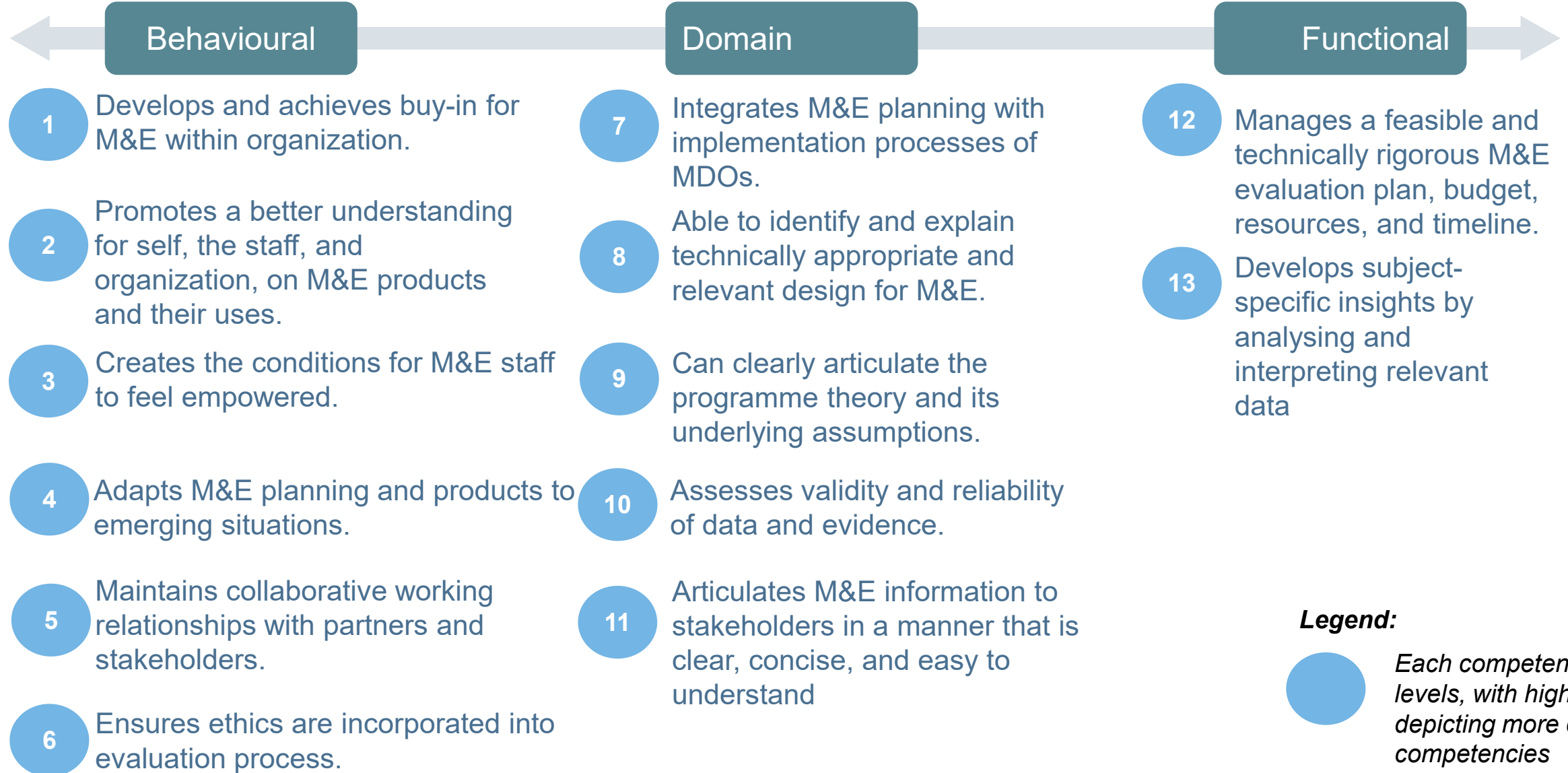# Diagnostic Tool for Evaluation Systems Assessment

OBJECTIVES

➢ 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.

DIMENSIONS

- Logical/Policy Framework for evaluation
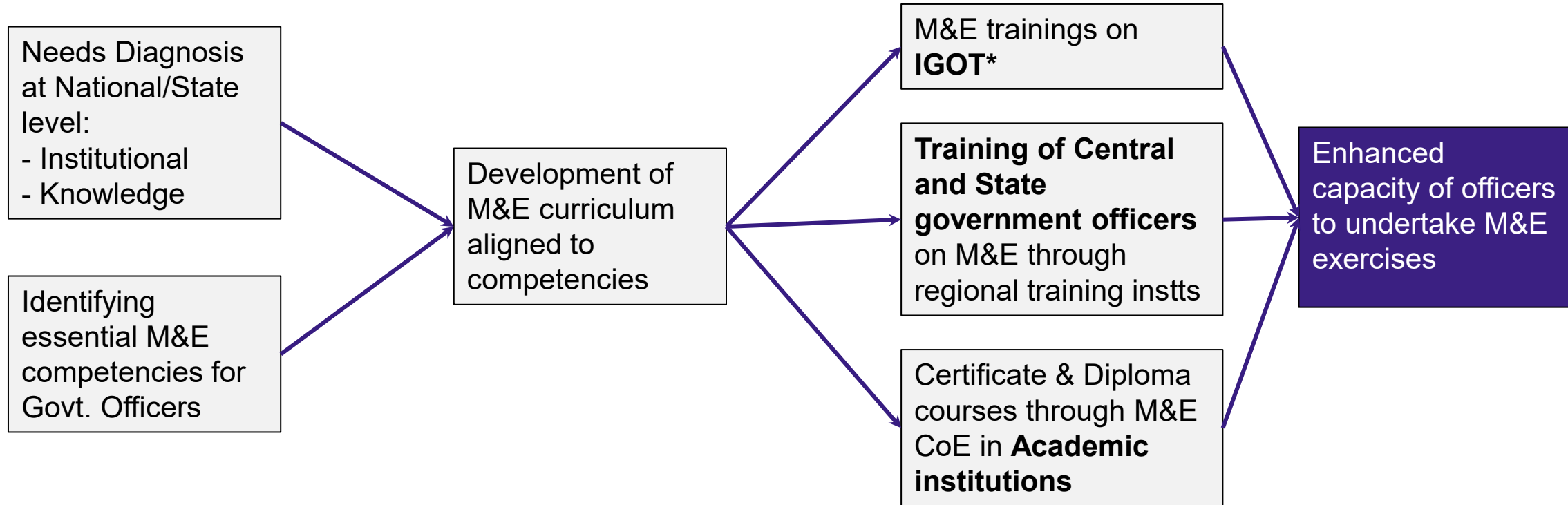- Institutional Structure
- Evaluation Planning
- Demand for evaluations
- Evaluation capacities in the state: Systemic and Individual
- Dissemination of evaluation findings

BACK

Overview of the M&E competencies

Behavioural

1 Develops and achieves buy-in for M&E within organization.

2 Promotes a better understanding for self, the staff, and organization, on M&E products and their uses.

3 Creates the conditions for M&E staff to feel empowered.

4 Adapts M&E planning and products to emerging situations.

5 Maintains collaborative working relationships with partners and stakeholders.

6 Ensures ethics are incorporated into evaluation process.

Domain

7 Integrates M&E planning with implementation processes of MDOs.

8 Able to identify and explain technically appropriate and relevant design for M&E.

9 Can clearly articulate the programme theory and its underlying assumptions.

10 Assesses validity and reliability of data and evidence.

11 Articulates M&E information to stakeholders in a manner that is clear, concise, and easy to understand

Functional

12 Manages a feasible and technically rigorous M&E evaluation plan, budget, resources, and timeline.

13 Develops subject-specific insights by analysing and interpreting relevant data

Legend:

Each competency has 5 levels, with higher levels depicting more complex competencies

Draft M&E curriculum for senior in-service government officers

11 topics across 3 modules (17hrs)

| **Module 1** Evidence based decision making for effective public policy	**Module 2** Monitoring & evaluation concepts	**Module 3** Building blocks for high-quality M&E
Overview of the M&E landscape in India	Overview of concepts, key elements in an M&E system	Commissioning and management of evaluations
Strengthening Institutional capacities for M&E	Theory of change and performance measurement frameworks	Utilization of evaluation results
Evidence in action: Case studies on enhancing effectiveness and delivery of public policy through M&E	Indicators and performance metrics in M&E	Improving the quality and use of administrative data in decision making
	Research methods for programme performance assessment	
	Framing the evaluation questions; M&E cycle management	

2. Enhancing M&E Capacities in the Ecosystem

Needs Diagnosis at National/State level:
- Institutional
- Knowledge

Identifying essential M&E competencies for Govt. Officers

→ Development of M&E curriculum aligned to competencies →

M&E trainings on **IGOT***

Training of Central and State government officers on M&E through regional training instts

Certificate & Diploma courses through M&E CoE in **Academic institutions**

→ Enhanced capacity of officers to undertake M&E exercises

Consultation with Central M/Ds, States & Other Stakeholders

3. Improving Data Governance

Benchmarking & Transforming Data Maturity across Ministries & Depts (M/D).

Data Governance Quality Index to drive **Competitive & Contemplative** action
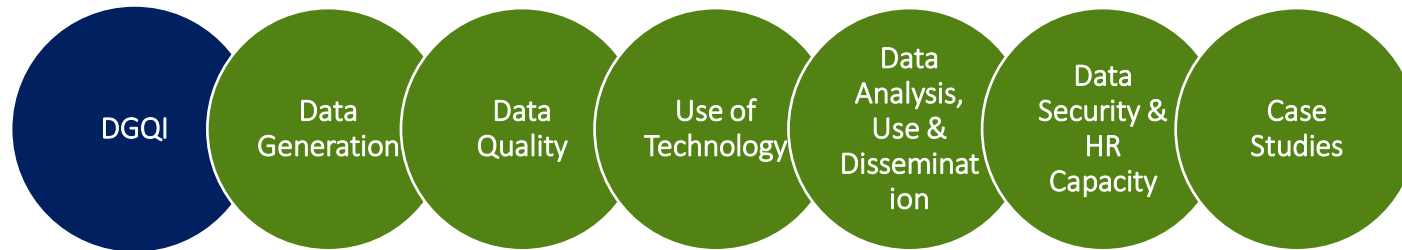
Scoring from 1 to 5 across **65 M/Ds**

Data Strategy Units in each M/D to be set up

4. Building Strong Partnerships

To support the development of a **strong M&E ecosystem** through **synergic partnerships** with key stakeholders
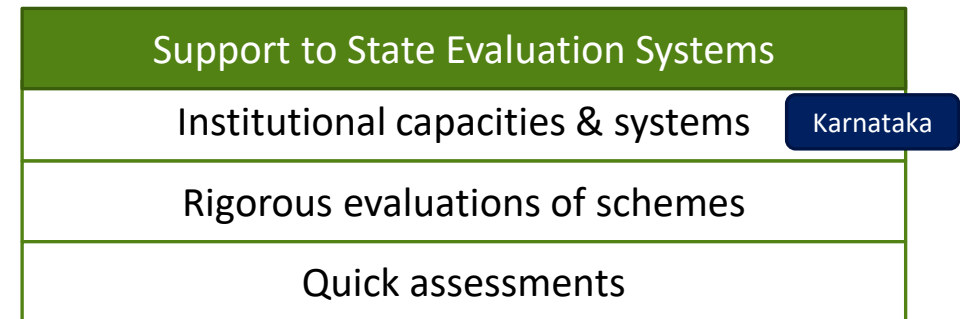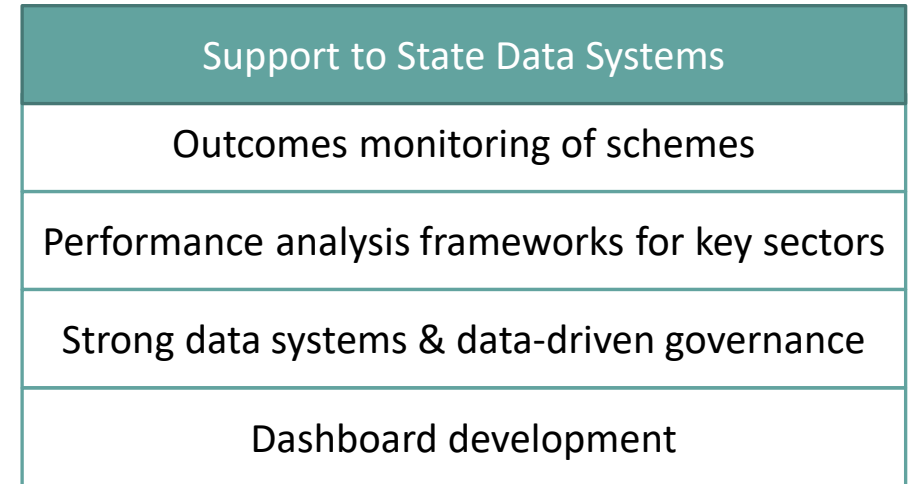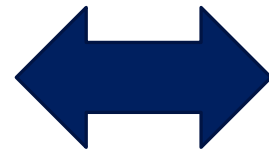
- Supplement & strengthen DMEO's own capacity
- Leverage & activate existing capacities in the external ecosystem
- Support DMEO in meeting M&E technical assistance needs of Central, State Government & other stakeholders
- Fostering development data architecture for stronger governance
- Knowledge sharing in the M&E Ecosystem
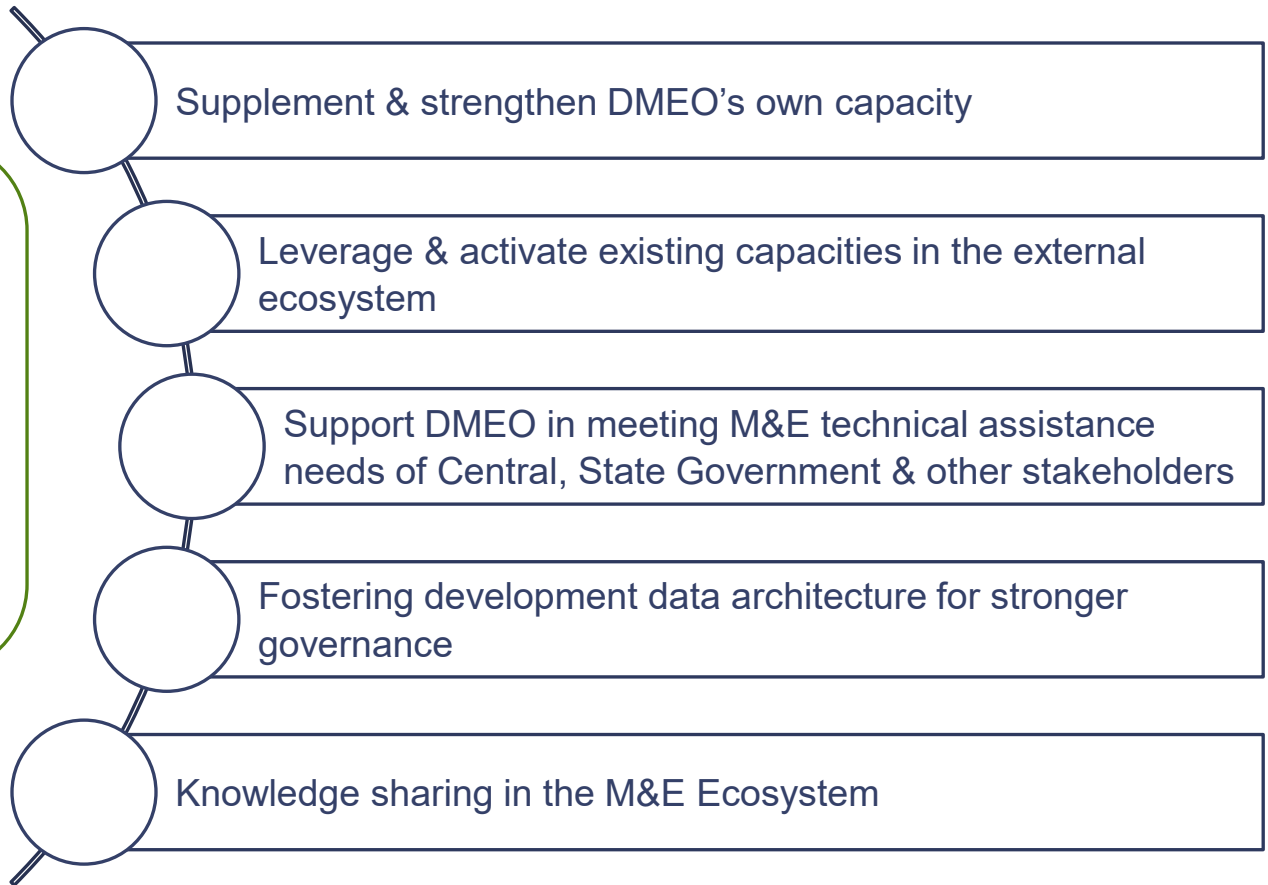
Partners

- Policymakers
- Central M/Ds
- States/Districts
- Universities/Colleges
- Civil Society Organizations
- Multi-lateral organizations

Way Forward

- Technical assistance on key projects
- System capability assessment & development
- Institutional capacity building
- Exchange of knowledge resources, toolkits
- Access to global network of domain experts

Support to State Data Systems

- Outcomes monitoring of schemes
- Performance analysis frameworks for key sectors
- Strong data systems & data-driven governance
- Dashboard development

Support to State Evaluation Systems

- Institutional capacities & systems   Karnataka
- Rigorous evaluations of schemes
- Quick assessments

Example: Karnataka Model of Development

Basic pillars:
- Technology led growth
- Equity
- Human Development
- SDGs 2030
- Governance- People friendly & Citizen centric
- Evidence Based Policy

Participatory process of Planning & Development

Partnerships- Public, Private, Academic & Corporate

Karnataka Model of Development
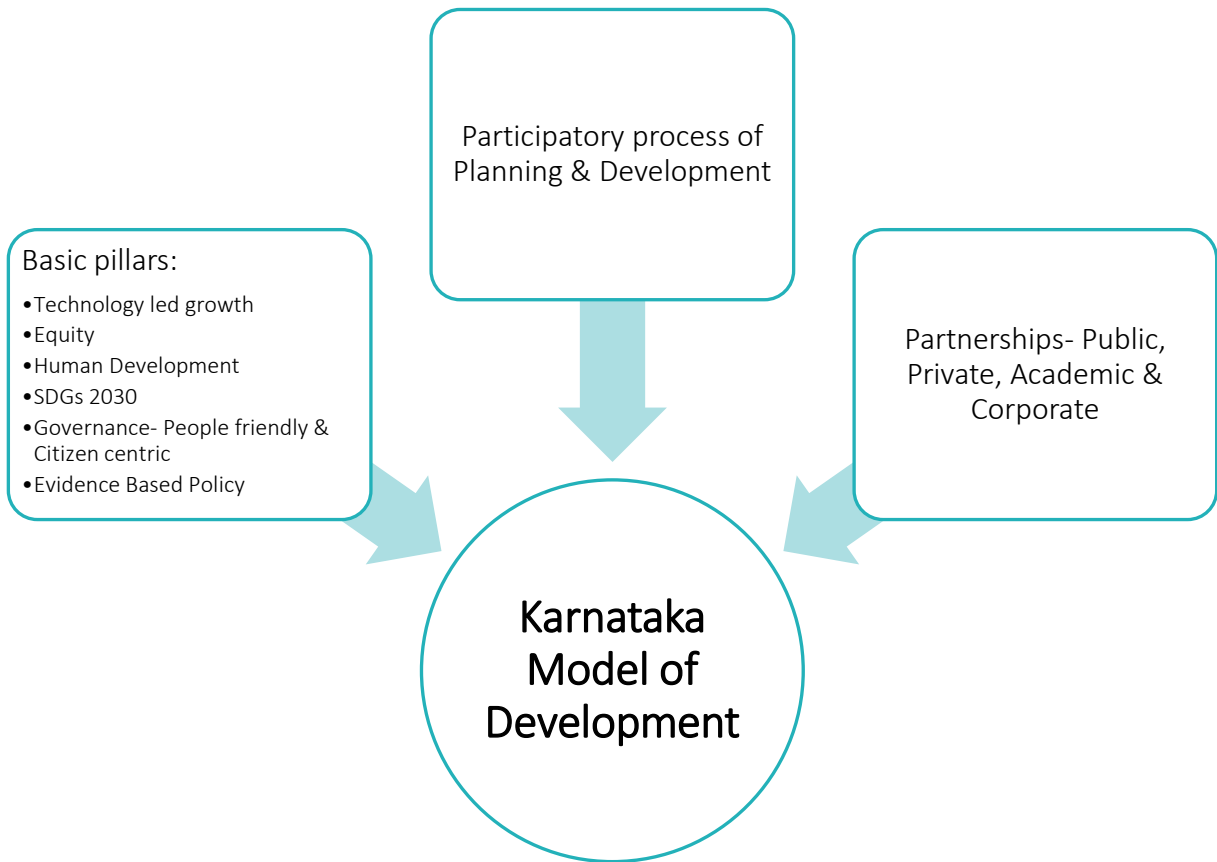
- One of the first States to formulate an **Evaluation policy in 2000**
  - Schemes over Rs.1 crore outlay evaluated at least once in Plan period.
  - 1% of the total outlay of a project/scheme to be kept for project evaluation purpose.
  - Outcomes to be used for Improving Programme Design and Delivery.
  - Justification to take a Programme forward beyond Plan period.

- **Karnataka Evaluation Authority** set up in 2011 with clearly defined institutional mechanism for planning, conducting evaluations and follow-up on recommendations
  - Conducted **150+ evaluations** since inception

BACK

Thank you!

For questions, you can reach me at shweta.sharma82@nic.in

For more information about DMEO, please visit our website https://dmeo.gov.in/