Toolkit for Monitoring & Evaluation

For

e-Governance under JNNURM

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Ministry of Urban Development (MoUD)
Government of India

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Contents

1 Introduction

The National e-Governance Plan (NeGP) of Indian Government seeks to lay the foundation and provide the impetus for long-term growth of e-Governance within the country. National e-Governance Plan (NeGP) comprising of 27 Mission Mode Projects (MMPs) and 8 components was approved by government on May 18, 2006. 'e-Governance in Municipalities' aims at leveraging ICT for sustained improvement in efficient & effective delivery of municipal service to citizens. During first phase, eight (8) civic services / management functions have been selected to be taken up in identified 'Mission' cities. The program may be eventually rolled out in 423 cities/towns having population over one lakh as per 2001 census, covering 90% of India's population.

'e-Governance in Municipalities' is a large scale program & from an analysis conducted, it has been observed that ULBs are at different levels of maturity in terms of e-governance readiness/ preparedness. The complexities of different dimensions underscores the importance of having an effective Monitoring and Evaluation (M&E) framework to measure the *output, outcome* & *overall impact* to provide information for *informed decision making*. M&E framework would thus

- provide a common institutional mechanism for monitoring, reporting, controlling and disseminating information for both physical and financial progress, outputs and outcomes
- help in identification and resolution of delays/ risks in a timely basis
- measure the impact-assessment post program implementation
- Generate inputs for policy making and facilitate better program planning, management and improving program performance

This toolkit is indented to provide a broad framework to assist the stakeholders (States & ULBs) for effective & efficient monitoring of e-Governance project implementation to ensure timely interventions and its subsequent evaluation in order to achieve the desired outcome within the stipulated timeframe. The participating states & ULBs may develop their detailed guidelines & formats as per respective needs based on the toolkit.

**** Note:*** Formats for Quarterly Progress Reports (QPRs) required for monitoring by MoUD are being provided separately.

2 Understanding Monitoring & Evaluation

2.1 Defining Monitoring & Evaluation (M&E)

Monitoring and Evaluation work in unison but are *distinct* functions serving varied purposes. They are *complementary* functions performed sequentially in a program. A figure 1 lists the various activities and resultant distinction between Monitoring and Evaluation.

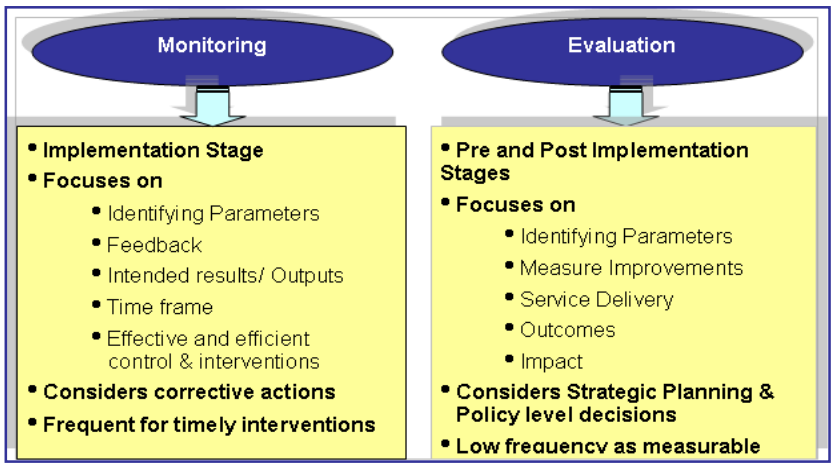

FIGURE 1: Distinction between Monitoring and Evaluation

However both Monitoring and Evaluation focuses in delivering:

- *Efficiency:* Measure whether output is desirable with the inputs provided
- *Effectiveness:* Determine whether program has achieved desired goals and objectives
- *Impact:* Determine whether there has been measurable improvement post-implementation.

2.2 Linking M&E with Program Phases

To have a clear picture M&E needs to be linked with various phases of program and also identify key/ focus areas at the different phases. The figure 2 illustrates linkage of M&E process with various phases of program.

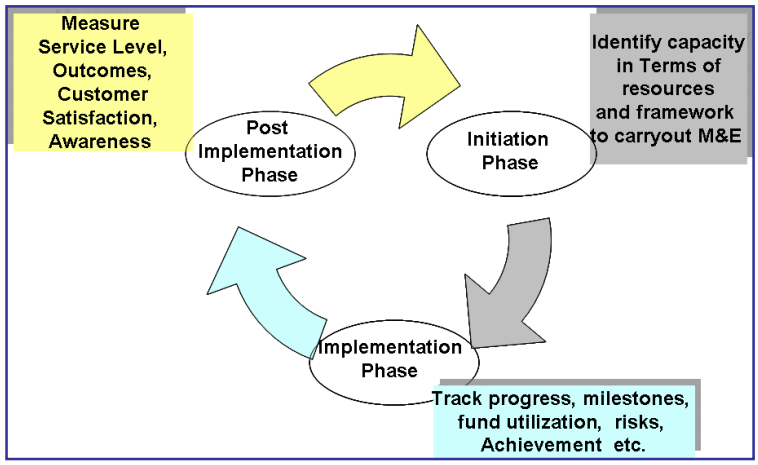

FIGURE 2: Linking M&E process with phases of Program

3 Approach for Designing & Implementing M&E

M&E forms an integral part of overall program and hence it should be tightly integrated with overall program approach. (Figure 3) Essentials of approach are

- Define objectives
- Define framework
- Identify components and indicators (quantitative & qualitative) to be tracked
- Process for implementation
  - Select requisite data points
  - Collect data
  - Data analysis
  - Reporting and feedback
- Institutional framework

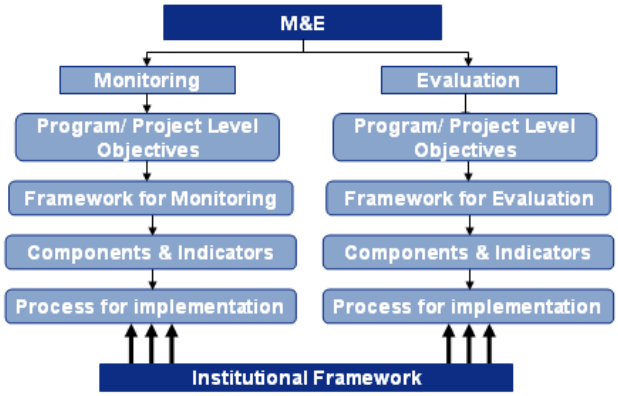

FIGURE 3: M&E Process

3.1 Defining M&E at ULB, State and MoUD

Monitoring will have different meaning at ULB, State & MoUD.

At **ULB**, monitoring will be more frequent at regular intervals, systematic & ongoing, measuring progress against defined milestones, targets, deliverables compliance to contractual agreements and budgets. Handling risks and deviations will also form a critical component of the process.

State shall standardize reporting formats and determine the frequency of reporting. It shall help the ULBs in overall implementation of monitoring process, collect data at regular intervals, perform analysis & extend necessary handholding, guidance and support to ULBs as and when required. It shall report the overall status to MoUD at regular interval.

MoUD shall collect data from the state at regular intervals, perform analysis and take policy level decisions as and when required. It will also extend necessary guidance and support to the ULBs & State as and when required.

Evaluation

After Go-Live of centralized solution, state needs to assess the effectiveness, efficiency, quality and availability/ accessibility of services being rendered against the Service Level Benchmark for e-Governance services in Municipalities. Analysis will be performed to

- Develop accurate and realistic plans for achieving the next level of targets based can be determined in advance
- Any strategic or policy level interventions can be made as and when required
- Report to MoUD

Based on the reports and MIS obtained from State, MoUD shall evaluate service levels and other outcomes achieved by state/ULBs against targets and analyse

- Relative position of ULBs against one another and against benchmark level
- Identify trends/ patterns across mission cities
- Make policy level interventions, if required.

3.2 Objectives for ULB, State, MoUD (Project & Program Level)

Based on the understanding of Monitoring and Evaluation at three levels, objectives for the various stakeholders at Project and Program Level is defined. An illustrative list has been provided in table 1.

TABLE 1: Objectives at ULB, State, MoUD

Stakeholder	Level	Objectives
ULB	**Project Level**	• Identify key personnel • Perform monitoring and evaluation through set parameter • Prompt reporting mechanism • Identify and address challenges, deviations and risks • Work towards continuous improvement
SLNA	**Project and Program Level**	• Identify state coordinator for M&E • Circulate project specific templates • Coordinate, collect & analyse information (progress report) gathered at specific interval to monitor progress • Communicate analysis to MoUD • Make interventions & make policy level decisions

Stakeholder	Level	Objectives
MoUD	**Program Level**	• Design framework & guidelines at national level • Standardise reporting formats • Regularly meet representatives to discuss issues • Provide guidance & make interventions

3.3 Framework with Components & Indicators at Project and Program Level

3.3.1 Project Level

The framework for M&E at project level shall be as shown. In Fig 4 The components are

- **Design**: Relates to design of policies & guidelines, governance structure, roadmap to achieve service levels, surveys etc.
- **Progress :** Relates to plans & tools needed to measure overall progress of project, quality standards, Risk Management, Funds,

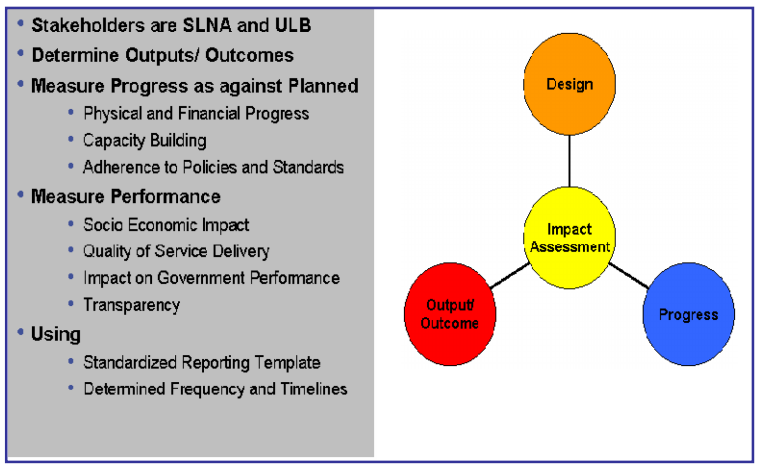

FIGURE 4: M&E Framework at Project Level

- **Output/ outcome :** Relates to output/ outcomes to be achieved. For example :
  - Percentage of citizens using online (Alternate Channels) services vis-à-vis offline (Departmental) – By Citizen survey
  - Efficiency of Service Delivery – By Citizen survey
  - Reduced Cost – By survey at Municipal Corporations
  - Social Benefits – By Impact Assessment Survey
  - Number of trainings conducted under each head after need assessment
  - Usage of ICT by officers and increase in transactions by officers - By survey at Municipal Corporations

3.3.2 Program Level

- **Design :** Relates to about design of Policies, Procedures, Guidelines at Program Level, Service Levels Benchmarks, Project Milestones, surveys to be conducted**,** over-all Program Implementation, Formats, Questionnaires etc

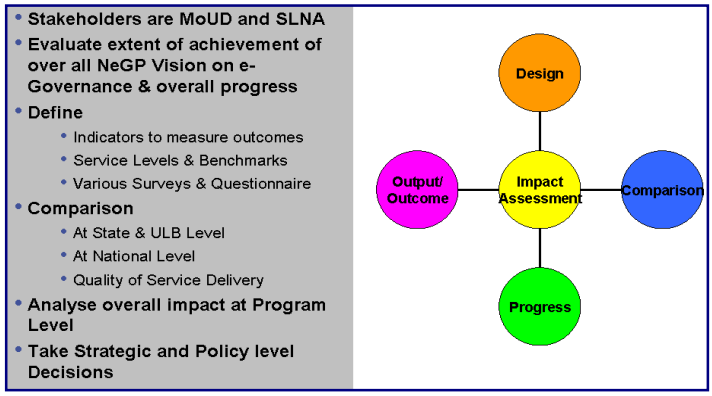

FIGURE 5: M&E Framework at Program Level

- **Progress :** Relates to plans and tools (Reports, online tool, score cards etc) needed for measuring the overall progress the program
- **Output/ outcome** : Relates to various output/ outcomes to be achieved by various ULBs. For example
  - Service level KPIs to be achieved
  - Percentage of services online
  - Coverage in terms of Service Delivery Infrastructure
  - Demand Takeoff as a result of the investment
  - Movement of Laggard State in terms of e-Readiness
  - Customer Satisfaction Index
  - Measures for Citizen Awareness and Communication
- **Comparison:** Relates to perform comparison at national level and across various ULBs

3.4 Process/ Approach for implementation

3.4.1 Monitoring Process

The figure depicts a monitoring process with strong control mechanism & organisation structure in place. Process/ approach for implementation shall be based defining the following

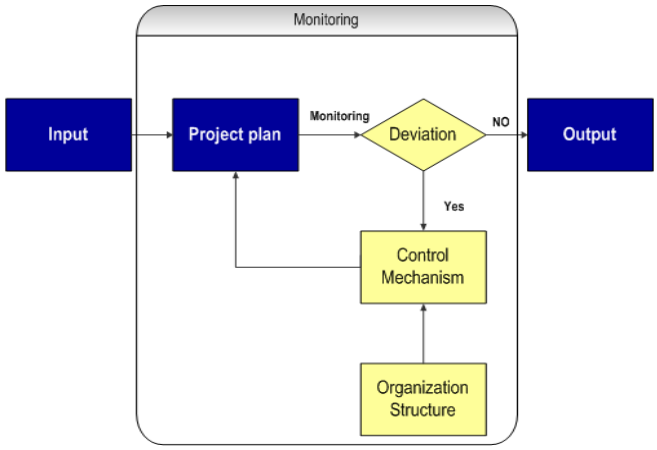

FIGURE 6: Monitoring Process

- ***'WHAT':*** Related to identifying the key processes and what needs to be monitored (Progress, Timelines, Deviations, Risks, Fund utilisation etc.). This can be done by breaking the key processes and sub-processes, and determining activities/ tasks to be measured.
- ***'HOW'*:** Relates to methods & mechanisms (monitoring tools & templates, engagement of 3rd party, citizen survey, usage of self assessment forms, surveys etc) for carrying out monitoring process
- ***'WHEN'*:** Relates to frequency & time intervals for monitoring & reporting
- ***'WHO'* :** Relates to identification of key resources for carrying out monitoring process

* *Note:* This above mentioned approach would be followed by ULB, SLNA & MoUD

3.4.2 Evaluation Process

Evaluation carried out at the Pre-implementation stage is called 'Base-Line' Survey, Post implementation is called 'End-Line' Survey and evaluation on Continuous basis after Program Implementation is called 'Ex-Post Implementation' Survey.

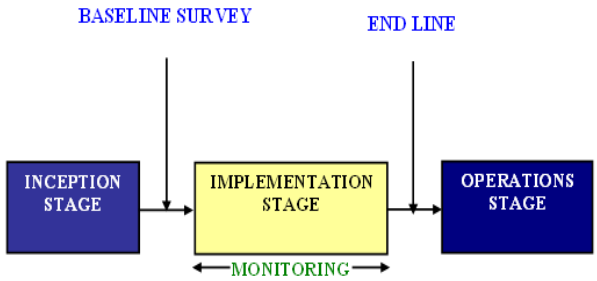

FIGURE 7: Evaluation Process

Evaluation process would involve the assessment of Key Performance Indicators (KPIs) against the objectives and outcomes defined in JNNURM guidelines & service level benchmarks defined at national level. The approach for evaluation process shall be as below

- ***'WHAT'* :** Identify critical Outcomes/ Service Levels to be evaluated
- ***'HOW'* :** Identify methods/ Tools to Plan and Measure
- ***'WHEN'* :** Determine Period and frequencies to measure
- ***'WHO'* :** Identify the key resources for carrying out the evaluation process

**Note:* This above mentioned approach would be followed by SLNA and MoUD

3.5 Institutional framework & Governance Structure

To roll out the plan on the field it is imperative to have well defined governance structure with defined roles and responsibilities at the planning phase of the project. The figures and tables below present the governance structure at ULB, State and MOUD along with defined roles and responsibilities for the key positions identified.

3.5.1 Governance Structure & Responsibilities at ULB

Governance structure at ULB shall be as in figure. It identifies key positions & responsibilities.

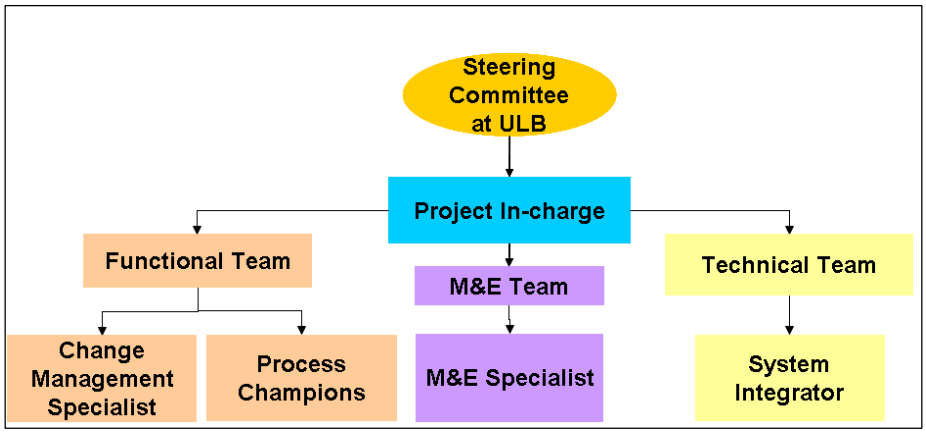

FIGURE 8: Governance structure at ULB

TABLE 2: Illustrative Roles & Responsibilities at ULB

Position Name	Roles and Responsibilities
Project Steering Committee	• Co-ordinate with SLNA to have policy level decisions and policy interventions if any.
Project In-charge	• Overall in-charge of program execution, Monitoring and Evaluation • Provide overall direction, assist in M&E & handle issues • Update progress status to steering committee
Functional Team	• Collect M&E data in format & submit to Project in-charge
Technical Team	• Technical Monitoring of project
Change Management Team	• Monitor progress for capacity building & change Management, training programs etc
M&E Team	• Collect the reports from various teams on timely basis • Submit the reports to Project in-charge • Discuss the progress related matters

3.5.2 Governance Structure at State & Responsibilities

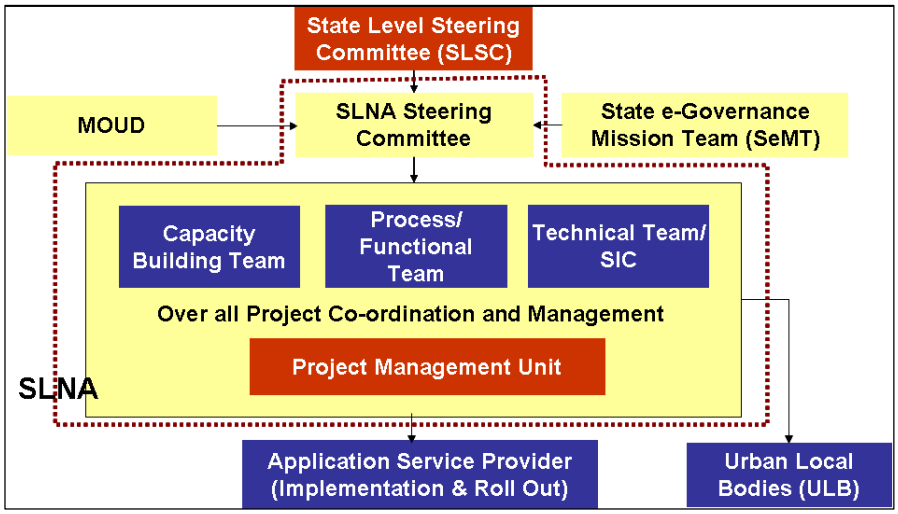

FIGURE 9: Governance structure at State

TABLE 3: Illustrative Roles & Responsibilities at State

Position Name	Roles and Responsibilities
State Level Steering Committee (SLSC):	• State Level Steering Committee would examine overall project in terms of physical and financial progress.
State Level Nodal Agency (SLNA):	• Oversee state level project implementation & monitoring
State Implementation Consultant (SIC):	• Overall in-charge of program execution, monitoring and Evaluation • Update progress status to state coordinator for M&E
State Coordinator of M&E	• Compile data, prepare reports and submit to SLNA

3.5.3 Responsibilities at MOUD

TABLE 4: Responsibilities at MoUD

Position Name	Roles and Responsibilities
Ministry of Urban Development (MoUD)	• Responsible for overall program Monitoring and evaluation. Ministry would coordinate with all States and ULBs for the purpose of effective monitoring.
Program Management Unit (PMU)	• PMU would prepare Monitoring and Evaluation templates for SLNA and ULBs. Coordinate, collect and compile the information sent by SLNA and ULBs.

4 Conclusion

The Monitoring and Evaluation framework has been prepared as a part of e-Governance initiative of JNNURM for e-Governance services which envisages providing effective and efficient citizen-centric services and improving internal functioning of the municipalities. It is therefore imperative that e-governance efforts and service levels should be measurable, visible and offer transparent ways to measure progress, through benchmarking and effective monitoring & evaluation. In this context, a formal, common, and comprehensive M&E framework should be developed by participating stakeholders which shall aim towards measuring outcome, improving overall effectiveness and providing information for informed decision making.