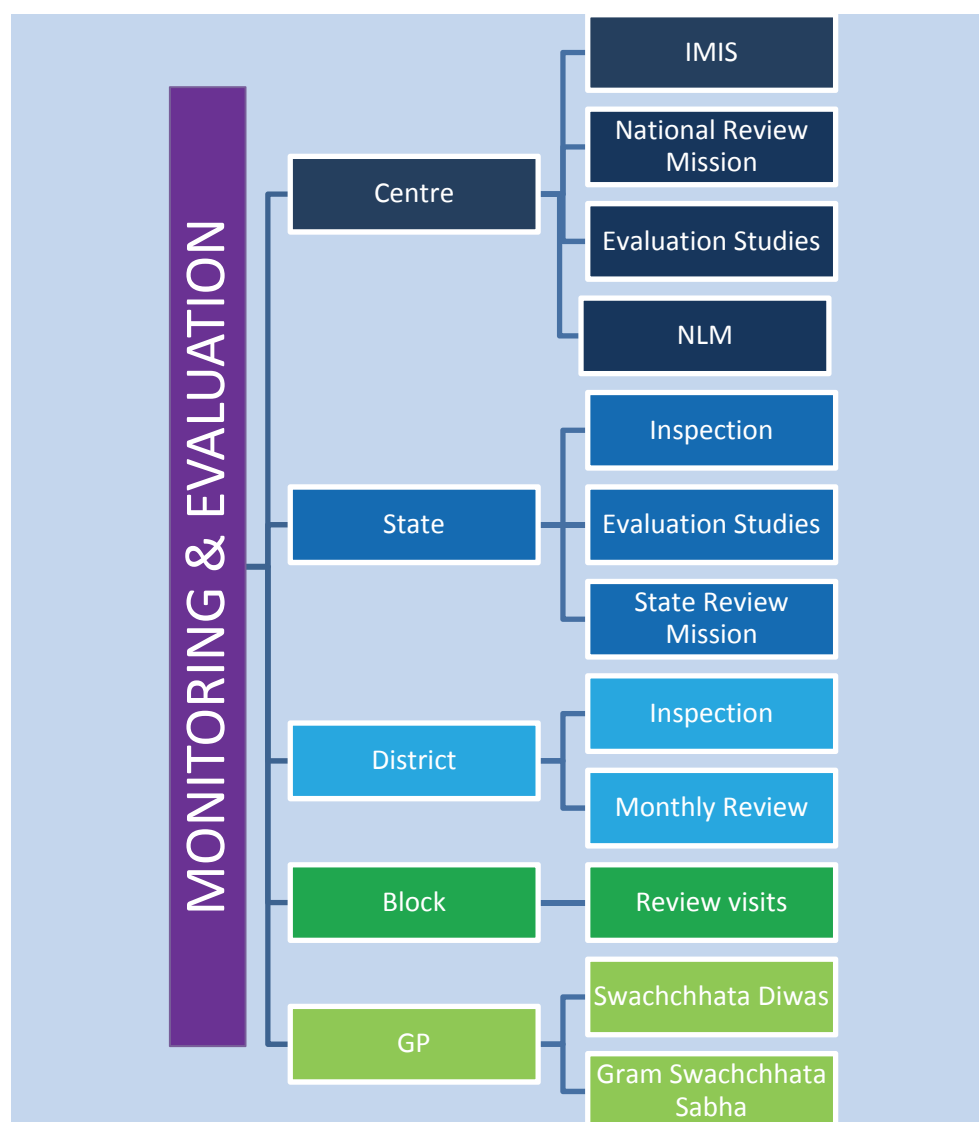


## Chapter-7 : Monitoring and Evaluation

### 7.1 Introduction

The monitoring and supervision of the Scheme had a five-tier set up, viz. at the National, the State, the District, the Block and the Gram Panchayat levels as depicted below:



### 7.2 Non-utilisation of funds

The Ministry failed to ensure optimal utilisation of funds approved under M & E – Other Charges. Against the total expenditure of ₹ 22.40 crore booked under the head during the period 2009-10 to 2013-14, the Ministry could utilise ₹ 0.32 crore only on the activities covered

under M&E. Remaining amount of ₹ 22.08 crore was diverted to other activities pertaining to administration of Nirmal Gram Puraskar like 'payment to agencies for physical verification of Gram Panchayats'. Under-utilisation of funds impacted the physical achievements under the scheme as discussed below.

Ministry stated that verification of Gram Panchayats for NGP was a part of monitoring exercise and money spent on the same could not be regarded as diversion.

Reply of the Ministry is not tenable as a separate budget head 'NGP-other charges' was being operated for such expenses and any expenditure on physical verification, in excess of the budget available under 'NGP-other charges' was, as a matter of routine charged to other budget heads like 'M & E', 'Human Resource Development' and 'IEC'.

### 7.3 Integrated Management Information System (IMIS)

As per the guidelines on monitoring, all project districts were required to upload the monthly physical and financial progress made during the month on IMIS by 15<sup>th</sup> of the next month and an annual performance report was to be submitted to the Ministry in hard copy.

Audit noted that there was no system in the Ministry to verify the reliability of the data received online. The Ministry was also not ensuring credibility of data by cross checking with Annual Performance Reports. As a result, physical progress was over reported on the IMIS. There were wide gaps between the different sets of data available on the IMIS of the Ministry. For instance coverage of scheme components as reported by districts was on higher side in comparison to the coverage reported by GPs (Format-F5). This is summarised in the **Table-7.1** below:

**Table-7.1: Difference in District MPR and GP MPR**

Components	Achievement		Difference	
	District MPR	GP MPR	Number	Per cent
BPL Toilets	5,24,53,615	3,06,46,776	2,18,06,839	71.15
APL Toilets	4,49,55,539	2,46,80,794	2,02,74,745	82.14
School Toilets	1345,196	5,31,373	8,13,823	153.15
Anganwadi	4,72,827	2,55,993	2,16,834	84.70
Sanitary complex	27,901	10,176	17,725	174.18

[Source: Ministry of Drinking Water and Sanitation]

Similarly, there were variations in the figures of physical progress in different set of reports like Census 2011, Baseline Survey of the Ministry (Year 2012-13) and NSSO reports vis-a- vis IMIS of the Ministry as shown in the **Table-7.2** below:

**Table-7.2: Variations in the figures of physical progress**

Year	Access to toilets	
2011	Census 2011-32.70 %	IMIS-62.26 % (IHHL)
2012-13	Baseline Survey- 40.35 %	IMIS-72.88 % (IHHL)
2012-13	BLS: IHHL-6.91 crore	IMIS: IHHL- 9.16 crore
2013	NSSO-40.60 %	IMIS-72.88 % (IHHL)

[Source: Census-2011, NSSO Reports and Ministry of Drinking Water and Sanitation]

Further, the actual variation in the data may be higher because the data of sanitation coverage reported by Census 2011, Baseline Survey and NSSO also included households which had access to any type of toilets and households where toilets were constructed without any intervention of the scheme but IMIS data of the Ministry was showing progress only of IHHL constructed under the scheme.

The Ministry was aware of this fact of incorrect and over reporting and the same was also highlighted in the draft EFC<sup>1</sup> memorandum circulated in July 2014 but no effort was ever made to reconcile the difference.

It was noted during field audit that various States<sup>2</sup> also failed to periodically validate field data and credibility of IMIS data was not ensured through cross-checking with data received through Monthly Progress Reports (MPRs).

Difference in figures of target and achievement in respect of IHHL (BPL/APL) and Institutional toilets available with the Ministry and actual

<sup>1</sup> Expenditure Finance Committee

<sup>2</sup> Andhra Pradesh (including Telangana), Arunachal Pradesh, Madhya Pradesh, Maharashtra, Punjab, Tripura, Uttar Pradesh and West Bengal

figure noted during field audit in some States<sup>3</sup> are given in the **Annex-7.1**.

The Ministry stated that the data on IMIS was uploaded only after proper verification and authentication by the State Government. The Ministry also stated that cross checking of the data was being done by its consultants/officers during project visits. However, no documentation regarding cross checking of data to ensure veracity thereof was found on record.

TSC/ NBA current design does not have a mechanism to measure increase or decrease in rural population or the possibility of slip back of households with defunct toilets or toilets no longer in use or extinct.

Capturing data on construction of toilets under various components, their usage and slip backs has serious issues. The data captured on IMIS (Integrated Management Information System) suffers from severe data integrity problem. Ensuring robust accuracy of the data requires multiple checks and verification of data at various levels and also frequent monitoring by the Ministry which was absent.

#### **7.4 Evaluation Studies at State level**

Scheme guidelines provide that the States/UTs should conduct periodical Evaluation Studies on the implementation of the TSC. Remedial action should be taken by the States/UTs on the basis of the observations made in these evaluation studies and also in the Concurrent Evaluation conducted by or on behalf of the Government of India.

It was observed that 17 States<sup>4</sup> had not conducted any evaluation study on the implementation of the Scheme.

However, evaluation studies were conducted in Bihar, Karnataka and Kerala by independent agencies.

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<sup>3</sup> Arunachal Pradesh, Himachal Pradesh, Jammu & Kashmir, Karnataka, Manipur, Odisha, Punjab and Tripura

<sup>4</sup> Andhra Pradesh (incl. Telangana), Gujarat, Himachal Pradesh, Jharkhand, Maharashtra, Manipur, Meghalaya, Mizoram, Nagaland, Odisha, Punjab, Rajasthan, Tamil Nadu, Tripura, Uttar Pradesh, Uttarakhand and West Bengal

### 7.5 Research studies at State level:

Scheme guidelines stipulate that Research Institutes, organizations and NGOs with proven track record should be involved to study the present technology of human excreta waste disposal systems in the rural areas. The research/study outcome should enable improvement of technology, making it more affordable and environmentally safe to suit the requirements of different geo-hydrological conditions.

It was observed that 10 States<sup>5</sup> had not engaged any agency to conduct research studies. Research studies were not conducted in Maharashtra except for research on design of two pit toilets.

### 7.6 Concurrent monitoring and evaluation

As per Scheme guidelines, implementation progress review/study of a group of TSC/NBA projects in States(s) may be undertaken by the Government of India. A multi-agency team of officers / professionals would be constituted to undertake the review with specific terms of reference. Such types of reviews are helpful for timely remedial action on the basis of the observations made.

The Ministry had not undertaken any concurrent evaluation or implementation progress review. It was stated that process for conducting a concurrent evaluation study at National Level was on the verge of finalization. It was also informed that implementation progress review/study for a group of NBA projects in State was undertaken through National Level Monitors. Multi-agency teams were not constituted for this purpose instead one agency was engaged to conduct review for a single district.

### 7.7 National Review Mission

The Scheme guidelines have provision of Review Missions at the national level which may be sent to the States periodically to assess the quality of implementation. It was informed that due to shortage of staff in the Ministry it was not possible to depute such Missions to the States, instead they were deputing Area Officers to do the task.

<sup>5</sup> Andhra Pradesh (Incl. Telangana), Gujarat, Himachal Pradesh, Jammu and Kashmir, Jharkhand, Manipur, Meghalaya, Punjab, Uttar Pradesh and West Bengal

However, no Area Officers were nominated for the period 2009-10 to 2013-14 and first such appointment was made only in February 2014. Thus the Scheme effectively continued without any direct monitoring by the Ministry.

Further, the Ministry had engaged retired officers against the vacant posts to manage the work and as such there was no shortage of staff in the Ministry.

### 7.8 National Level Monitors (NLMs)

Keeping in view the importance of independent monitoring of its programmes, the Ministry of Rural Development<sup>6</sup> evolved a comprehensive system of National Level Monitoring by involving public spirited senior level retired Civil/Defence Service Officers and Academia, willing to provide voluntary services for a public cause.

NLMs were required to visit approximately 150 districts in a quarter so as to cover all the districts of the country in a year. Limited number of Special Monitoring rounds, to be planned at the beginning of the year was also required to be undertaken every year for in-depth coverage of a programme or certain specific features of a programme.

Position of monitoring of the Scheme by NLM during 2009-10 to 2013-14 is given in **Table-7.3** below:

**Table-7.3: Coverage of districts by NLM**

Year	No of districts to be covered	No of districts actually covered	Percentage shortfall
<b>Regular Monitoring</b>			
2009-10	590	NIL	100
2010-11	607	478	21
2011-12	607	NIL	100
2012-13	607	583	4
2013-14	607	584	4
<b>Special Monitoring</b>			
2009-10 to 2012-13	Not done		
2013-14	NA	57	NA

[Source: Ministry of Drinking Water and Sanitation]

<sup>6</sup> Ministry of Drinking Water and Sanitation was a department of the Ministry of Rural Development till 12 July 2011 and was made a separate ministry with effect from 13 July 2011, it was, however, utilizing the services of NLM till date.

Thus NLM could not monitor the programme in 2009-10 and 2011-12 and shortage in other years ranged between 4 to 21 *per cent*. Similarly, no special monitoring was done during 2009-10 to 2012-13.

Effectiveness of the NLM system depended crucially on the vigour with which follow-up was done by the Ministry and the States/districts concerned.

As the States were the main implementing agencies of the Programme, the reports submitted by these teams were forwarded to the States Governments for remedial action and were also shared with district administration for action at district level. Ministry had no information of action taken by the corresponding authorities.

## 7.9 Monitoring at other levels

### 7.9.1 Inspection

Regular inspections by senior State and district level officers were required to be made to verify progress of implementation at grassroots level and to ensure that the execution of works was in accordance with the prescribed procedures and specifications. The inspection teams were required to check and ensure that construction work had been done in accordance with the norms, selection of beneficiaries was transparent, there was proper use of latrines after construction, sanitary latrines were not used for any other purpose, etc.

It was noted that State/ districts officers were not inspecting the scheme implementation regularly. Inspections were either not done in 11 States<sup>7</sup> or done in casual and *ad hoc* manner. Inspection reports were also not available in almost all cases. Details of observations made during field audit in eight States are given in **Annex-7.2**.

### 7.9.2 State Review Mission

As per Scheme Guidelines, every State was required to constitute a Review Mission headed by Joint Secretary level officer and comprising at least three members from other linked departments like Rural

<sup>7</sup> Arunachal Pradesh, Assam, Gujarat, Himachal Pradesh, Jharkhand, Karnataka, Kerala, Odisha, Punjab, Rajasthan, Tripura

Development, Women and Child Development, Panchayati Raj and Human Resource Development and independent representatives from reputed organizations in the field of sanitation. States were also advised to set-up a panel of experts at State level for conducting reviews in each district periodically. These reviews were essential to assess the proposal for release of subsequent instalment of funds.

During checking of records it was observed that the Ministry had not received any report of State Review Mission from the State Governments so far. Further 12 States<sup>8</sup> had not even constituted State Review Mission in contravention of Scheme Guidelines.

- State Review Mission (SRM) had been constituted in **Jharkhand** (2013), **Punjab** (2000) and **Tamil Nadu** (2013) but it was not reviewing the scheme implementation till March 2014.

- In **Odisha**, SRM functioned till 2010 and after that the works were looked after by State level and District Level Consultants (DLC). It was, however, noted that DLCs were posted between September 2011 and August 2014 and five posts of DLC were still (September 2014) vacant.

In **Assam** and **West Bengal**, SRM had been constituted but the State admitted that they had not received any recommendation /report of review conducted by such mission. Similarly, 14 States<sup>9</sup> failed to set-up a panel of experts in their respective States.

In **Odisha**, OSWSM constituted a panel of experts in November 2010. But, the panel was not made fully functional since only two out of its 20 members conducted review (February/April 2011) in two project districts<sup>10</sup> and in remaining 28 districts no members of the panel of experts conducted review even once.

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<sup>8</sup> Andhra Pradesh (including Telangana), Chhattisgarh, Gujarat, Jammu and Kashmir, Karnataka, Kerala, Madhya Pradesh, Maharashtra, Manipur, Meghalaya, Odisha, Uttarakhand,

<sup>9</sup> Andhra Pradesh (incl Telangana), Chhattisgarh, Jammu and Kashmir, Karnataka, Madhya Pradesh, Maharashtra, Manipur, Meghalaya, Nagaland, Punjab, Tamil Nadu, Tripura, Uttar Pradesh, West Bengal

<sup>10</sup> Puri and Baudh districts



### 7.9.3 Review by project authorities

Scheme Guidelines provide for constitution of a team of experts by the project authorities to review the implementation in different blocks at least once a quarter. It was, however, noted that in ten States<sup>11</sup> project authorities had not constituted any team of experts to review the implementation of scheme.

### 7.9.4 Social Audit

Social audit is conducted at Gram Panchayat level in the form of **Swachchhata Diwas** and **Gram Swachchhata Sabha (GSS)**. Each Gram Panchayat has to earmark a particular day of the Month to be named as 'Swachchhata Diwas' for recording monthly progress, identification of individual demand, projecting monthly plan, identifying slip back cases and verifying expenditure made on various activities in the previous month including disbursement of incentive amount, construction and other works and activities. Further, GSS is convened by Gram Sabha every six months to review the progress made under various Monthly Plans. It was found that Gram Panchayats in 21 States<sup>12</sup> had not organised Swachchhata Diwas to discuss the scheme progress. In four States, it was observed on limited number of occasions. Details are given in **Annex-7.3**.

Similarly, Gram Panchayats in 18 States<sup>13</sup> failed to convene GSS to review the progress made under various Monthly Plans. Status of organisation of GSS in some other States is given in **Annex-7.3**.

### 7.9.5 Departmental monitoring

Monitoring of the TSC project should be carried out at all levels. Block PRI and Block level officials must review progress in each Gram Panchayat. The CEO of the District Panchayat / Secretary of the DWSC must review the progress of the project with Block Officials on a

<sup>11</sup> Arunachal Pradesh, Bihar, Gujarat, Himachal Pradesh, Jammu and Kashmir, Karnataka, Meghalaya, Odisha, Punjab and Uttar Pradesh

<sup>12</sup> Andhra Pradesh(except Srikakulam district), Assam(2012-14), Bihar, Chhattisgarh, Gujarat, Haryana, Himachal Pradesh, Jammu and Kashmir, Jharkhand, Karnataka, Kerala, Madhya Pradesh, Manipur, Meghalaya, Mizoram, Odisha, Punjab, Tripura, Uttarakhand, Uttar Pradesh and West Bengal

<sup>13</sup> Assam (2012-14), Bihar, Chhattisgarh, Haryana, Himachal Pradesh, Jammu and Kashmir, Jharkhand, Karnataka, Kerala, Madhya Pradesh, Manipur, Meghalaya, Mizoram, Odisha, Punjab, Tripura, Uttar Pradesh and West Bengal

monthly basis. Similarly, Secretary in-charge of Rural Sanitation in the State must review progress with the District Officials on a quarterly basis. During field audit it was observed that Block/PRI level officials never visited the scheme projects to review the progress. Details of departmental monitoring in various States are given in **Annex-7.4**.

**Recommendations:**

- **Social Audit may be used as a tool for monitoring for which engaging reputed NGOs with expertise and experience in sanitation may be considered.**
- **Evaluation studies may be taken up concurrently for status check and to identify weaknesses in implementation of the scheme.**