

CHAPTER-VI: MONITORING AND EVALUATION

6.1 Introduction

Successful implementation of a scheme depends on effective monitoring at all levels to ensure that the scheme is being planned and managed efficiently in accordance with scheme guidelines, rules and regulations and instructions of the Government. Evaluation studies should also be undertaken by the Government to identify gaps in planning and implementation of schemes and for assessing the scheme's effectiveness and outcomes with a view to draw lessons and undertake corrections.

In the absence of effective monitoring, there would be inadequate assurance that the scheme was being planned and implemented economically and efficiently in accordance with instructions, rules, regulations, approvals and agreement provisions. Lack of evaluation studies especially where the scheme is being implemented in phases over a long time frame would limit the avenues of identifying scheme weaknesses and drawing lessons for improving planning and implementation strategies with respect to subsequent phases of the Scheme.

The PMSSY Division of the Ministry of Health and Family Welfare (Ministry) was entrusted with the overall task of implementation and monitoring of PMSSY. Committees at Central, State and Institute levels had also been formed for monitoring the implementation of the scheme.

6.2 Monitoring through Project Management Committee

The Ministry constituted a Project Management Committee (PMC) under the Chairmanship of the Secretary (Health) in January 2004 with representatives from the Ministry of Finance, Prime Minister Office, Planning Commission, Airport Authority of India and AIIMS Delhi. The PMC was the apex steering body and was responsible for guiding and monitoring activities relating to establishment of new AIIMS and for upgradation of GMCIs in the States.

Audit noted that though the PMC conducted 42 meetings upto August 2017, there were significant time intervals between its meetings. While 30 meetings of the

PMC were held during the initial period from January 2004 to August 2009, only five meetings were held during March 2012 to March 2017 indicating a slackening in the monitoring of the scheme during this period at the apex level.

The Ministry stated (February 2018) that high level co-ordination with State Governments and other stakeholders was required during the early stage of the projects to sort out problems/hindrances like availability of encumbrance free land, various approvals/clearances before starting of construction. By the year 2010, critical issues of the above nature had been resolved and construction activities had also started. Once the project work got initiated, there was a drop in the number of PMC meetings i.e. five meetings from March 2012 to March 2017 as PMC level meetings were not needed at that stages.

Audit observed that apex level monitoring remained necessary in the context of pervasive shortfalls with respect to targets on all fronts and the expanding scope of the scheme in later phases.

6.3 Monitoring of the new AIIMS

6.3.1 Monitoring by Project Cell

Dedicated Project Cells¹were envisaged at each of the new AIIMS and tasked with test check of work done, verification of bills of the contractor and monitoring the progress of all works including that of the residential complexes. It was noted that key project cell posts in the new AIIMS had not been filled up as given in **Table-6.1:**

Table-6.1: Position of Project Cell posts

Name of new AIIMS	Posts sanctioned	Members-in-position	Details of members not in position
Bhopal	8	3	Director, Medical Superintendent, Executive Engineer (Civil), Executive Engineer (Electrical) and Administrative Officer (5)
Bhubaneswar	8	4	Medical Superintendent, Executive Engineer (Civil), Executive Engineer (Electrical) and Administrative Officer (4)
Jodhpur	8	3	Financial Advisor, Medical Superintendent, Executive Engineer (Civil), Executive Engineer(Electrical) and Administrative Officer (5)

¹ Comprising of Director (AIIMS), Medical Superintendent, Deputy Director (Administration), Financial Advisor, Superintending Engineer, Executive Engineer (Civil), Executive Engineer (Electrical) and Administrative Officer.

Name of new AIIMS	Posts sanctioned	Members-in-position	Details of members not in position
Patna	8	2	Deputy Director (Admn.), Superintending Engineer, Medical Superintendent, Executive Engineer (Civil), Executive Engineer(Electrical) and Administrative Officer (6)
Raipur	8	3	Financial Advisor, Medical Superintendent, Executive Engineer (Civil), Executive Engineer (Electrical) and Administrative Officer (5)
Rishikesh	8	3	Financial Advisor, Medical Superintendent, Executive Engineer (Civil), Executive Engineer (Electrical) and Administrative Officer (5)

The absence of Executive Engineer (Civil) and Executive Engineer (Electrical) in all the Project Cells when construction of various packages were under way was a significant shortcoming in the Institute level monitoring set up.

The weaknesses in the Institute level monitoring mechanism led to inadequate supervision of agencies including both consultants and contractors which led to significant time overruns and complaints of poor performance on the part of agencies. The Cell also did not efficiently manage contracts leading to delayed decisions and several instances of irregular payments to contractors.

6.3.2 State level Project Monitoring Committee

In May 2008, the Committee of Secretaries suggested constitution of State Project Monitoring Committee (State PMC) under the chairmanship of State Chief Secretary² to monitor progress of new AIIMS being established in the State. The Committee was required to meet at least once in a quarter to review progress and communicate its views on issues requiring direct intervention of the Government of India. Each State PMC was therefore required to hold 35 meetings upto March 2017. It was observed in audit that State PMCs were not constituted for the two new AIIMS at **Raipur** and **Rishikesh**. For the remaining four new AIIMS, though the State PMCs were constituted, the stipulated number of meetings was not held. It is evident that the mechanism for monitoring at the State level was inadequate.

² Comprising of Secretary (Health/Medical Education), representatives of local bodies/municipal authorities, civil works/forest departments, District collector/Police Superintendent, Director of the concerned new AIIMS etc. The Project Consultants, Design DPR Consultants, in-house Consultants, and representatives of the Ministry were to be the special invitees to the committee.

The fact that several of the new AIIMS faced problems with regard to provision of encumbrance free land could have been effectively resolved had this mechanism worked as intended.

Ministry stated (February 2018) that it is not possible at this point of time to underline the exact reasons for not constituting State Level Project Monitoring Committee due to non-availability of information.

6.3.3 Third Party Quality Assurance in new AIIMS

Section 53.1 (2) of the CPWD works manual provides for a system wherein the quality of work is achieved during the construction stage itself rather than through post-construction 'quality control'. Section 53.11 (2) (ii) *ibid* provides for a minimum of three to four quality assurance inspections for all major works. The in-house consultant and the project consultant were required to provide assistance in arranging Third Party Quality Assurance (TPQA). Audit noted no TPQA was undertaken during the construction stage in any of the six new AIIMS.

6.4 Monitoring of works of upgradation of GMCIs

6.4.1 Project Monitoring Committee at State Level

In November 2007, the Ministry asked the State Governments to set up State Project Monitoring Committees (State PMCs) headed by the Principal Secretary (Health)/Medical Education of the respective State Government³ for monitoring the upgradation of GMCIs. The Monitoring committee was required to meet at least once in a month to review the progress of work. Audit noted that State PMCs were not constituted in eight GMCIs⁴. Though a State PMC was constituted in BMCRI-Bangalore in March 2008, there were no records of its meetings.

6.4.2 Monitoring through State level steering committee

As per the MoU signed between the Ministry and the State Governments for upgradation of GMCIs during Phase-III, a State level steering committee under

³ The other members of the PMC were from the local bodies, Civil Works Departments, in addition to Project Consultants, Architects and the Head of the GMCI being upgraded.

⁴ Pt. BDS, PGIMS-Rohtak, GMC-Nagpur, GMC-Mumbai, GMC-Amritsar, RIMS-Ranchi, RPGMC-Tanda, NIMS-Hyderabad and BJMC-Ahmedabad.

the chairmanship of Chief Secretary was to be constituted for expediting project completion. A representative of PMSSY Division of the Ministry was to be a member of this Committee which was required to meet each quarter. The Ministry, however, had no record on the status of constitution of these committees by the State Governments. Audit noted that these Committees were either not constituted or if constituted, were not active. The status of the constitution of the State Level Steering Committees is given in **Table-6.2**:

Table-6.2: Constitution of Steering Committees by State Governments

Sl. No.	Name of the GMCI	Audit observation
1.	DMCH-Darbhanga and SKMC-Muzaffarpur	The Steering Committee was constituted by the Govt. of Bihar in May 2014. However, no review meetings were conducted upto March 2017.
2.	PDUMC-Rajkot	The Steering Committee was not constituted
3.	PMCH-Dhanbad	No monitoring mechanism was functional in the state.
4.	GRMC-Gwalior	The Steering Committee was not constituted. Mechanism to monitor the implementation of PMSSY was not established. HSCC did not provide physical and financial progress to the department. DME stated that the committee was not constituted at the state level as the construction agency was a Central Government Enterprise.
5.	GMC-Kota	The Steering Committee was constituted in May 2014 but information on meetings were not available.

Ministry stated (February 2018) that the issues with GMCI/State Governments were resolved in various PMC meetings held frequently between 2004 and 2009.

6.4.3 Third Party Quality Assurance Audit in GMCI

Ministry had requested the State Governments (November 2007) to put in place a system of TPQA but this was not done. Audit noted that TPQA was not undertaken in 15 GMCI⁵. In three GMCI

In **GMC-Amritsar**, a quality control consultant was appointed during the construction work and the quality of works was also regularly monitored by the Technical Advisor and the State Vigilance-cum- Quality Control Cell, Punjab.

⁵ NIMS-Hyderabad, GRMC-Gwalior, RIMS-Ranchi, PMCH-Dhanbad, GMC-Nagpur, GMC-Mumbai, Pt. BDS, PGIMS-Rohtak, BJMC-Ahmedabad, PDUGMC-Rajkot, RPMC-Tanda, GMKMC-Salem, BMCRI-Bangalore, IMS-Varanasi, JNMC-Aligarh and JMC-Jammu.

viz. **GMC-Kota; DMCH-Darbhanga** and **SKMC-Muzaffarpur**, TPQA was established only in March 2017 but no activity for quality assurance was undertaken.

6.4.4 Other observations on monitoring of GMCIs

Other audit observations on the absence of monitoring in GMCIs are given in the **Table-6.3:**

Table-6.3: Observations on monitoring of GMCIs

Sl. No.	Audit observation
1.	Pt. BDS, PGIMS-Rohtak The Director General, Medical Education and Research being regulatory body was responsible for monitoring the implementation of the project. However, no periodical reports were prescribed for monitoring the scheme implementation.
2.	GMC-Amritsar The Ministry inter-alia released funds for Hospital Management Information System (HMIS). GMC-Amritsar conducted a feasibility study for the same in 2011 but thereafter no steps were taken to make the system operational.
3.	GMC-Mumbai and GMC-Nagpur (i) The Ministry had directed (April 2008) that GMCIs should submit fortnightly progress report on procurement of equipment and works. However, these progress reports were not being submitted by the two GMCIs. (ii) It was envisaged (May 2008) that Chief Controller of Accounts of the Ministry would carry out periodic internal Audit from time to time. However, no inspections were conducted by the Chief Controller of Accounts. (iii) State level data such as funds received from the Ministry, funds released and expenditure incurred by GMCIs, physical and financial progress of construction activities and equipment procurement were not maintained by Medical Education and Drug Department/Department of Medical Education and Research of the State Government.
4.	RPGMC-Tanda Although meetings had been held by the State Government to assess progress of work, this was done on an <i>ad-hoc</i> basis and no formal review committee with representation of various stakeholders had been created.

Sl. No.	Audit observation
5.	<p>GMKMC-Salem</p> <p>The State Government did not produce any records in support of formation of the state level Monitoring Committee. However, six meetings were held by the Principal Secretary with the Director of Medical Education and Dean of GMC, Salem during 2008 to 2011 to monitor the progress. Despite these meetings, audit noticed that electrical equipment were kept idle in the absence of AMC, essential equipment were not purchased despite funds and staff were not recruited which indicated inadequate monitoring.</p>
6.	<p>GMC-Kota</p> <p>A Committee was constituted (October 2016) by Principal and Controller of Medical College, Kota to watch the quality and progress of the work. This committee was required to submit fortnightly reports to Principal and Controller of Medical College, Kota. However, no such fortnightly report was found in the records of the GMCI.</p>

The Ministry stated (February 2018) that constitution of committees for monitoring was primarily the responsibility of the concerned State Government/ GMCI. However, issues were being resolved in various PMC meetings. In Phase-III and later Phases, Project Monitoring Group meetings in the respective States are being held to review progress.

6.5 Evaluation

Department of Expenditure, Ministry of Finance had prescribed guidelines in the matter of continuation of ongoing schemes from XI Plan to XII Plan. These stipulated that before continuation of the scheme in the XII Plan, the scheme was to be subjected to evaluation with regard to performance in the XI Plan.

PMSSY was started in the X Plan and it continued till XII Plan. The Planning Commission had advised for evaluation of the scheme before its continuation in the XII Plan to sort out lacunae in the slow implementation process despite of adequate availability of funds. It was, however, noted that no evaluation of the performance of the PMSSY has been done as of August 2017. In the absence of any evaluation study, the Ministry was unable to identify scheme weaknesses and draw lessons in a structured manner for taking remedial action in subsequent phases.

The Ministry stated (February 2018) that an evaluation study of the PMSSY has been recently assigned to the Indian Institute of Public Administration, Delhi.

Audit Summation

Audit examination revealed lack of effective monitoring mechanisms. Monitoring committees constituted at apex, State and Institution levels for the new AIIMS remained ineffective or inoperative in the later years while upgradation of GMCIs was left entirely to the concerned Institutions with neither the Ministry nor the State Governments playing any significant role in monitoring the planning and implementation of the projects. The lack of effective monitoring mechanisms was reflected in the shortfalls with regard to both planning and implementation which has delayed achievement of envisaged Scheme deliverables even in completed and functional institutes. The absence of an evaluation study to identify gaps in planning and implementation and to draw lessons before implementing subsequent phases provided no assurance that subsequent phases would avoid the constraints and pitfalls witnessed in the first three phases of the scheme.