

INSTITUTIONAL APPRAISAL THROUGH PROFESSIONAL INSTITUTIONAL NETWORK (PIN)

The National Rural Employment Guarantee Act (NREGA) notified on 7th September, 2005, aims at enhancing livelihood security of households in rural areas of the country by providing at least one hundred days of guaranteed wage employment in a financial year to every household whose adult members volunteer to do unskilled manual work. The choice of works suggested in the Act addresses causes of chronic poverty like drought, deforestation and soil erosion, so that the process of employment generation is maintained on a sustainable basis. The Act was implemented in a phased manner. In Phase one it was introduced in 200 of the most backward districts of the country, an additional 130 districts were included in Phase two 2007-2008 and the remaining 274 rural districts were brought under NREGA in Phase three 2008-2009.

1. Rationale & Objective of the Appraisal

Two years of the programme have indicated a need to evolve the design of the monitoring system to more effectively address implementation challenges. Thus, there is a need to develop Professional Institutional Network (PIN) for steady, sustainable interventions that enhance the quality of the programme to undertake concurrent monitoring & appraisal, evaluation & impact assessment, research, action research, case studies on priority and capacity building & curricula development in the longer term. The Ministry may facilitate the development of a network that would conduct a rapid assessment to identify constraints, deviations, deficiencies and enable corrective action.

The appraisal of NREGA processes and procedures will highlight issues, to aid in bridging systemic procedural gaps.

2. Constitution & Structure

The objective will be to ensure optimum coverage of the NREGA districts in the state. Districts will be prioritized based on performance.

During the Roundtable on Professional Support, held on August 1, 2008, participating institutions had indicated their willingness to support the Ministry in its effort to more effectively implement NREGA. These institutions and other select institutions, depending on institutional capacity and expression of interest, may be requested to take up the appraisal (Annexure II).

It is proposed around 40 institutions will undertake the appraisal.

3. Methodology and Sample Size

The institute will

- i. Review and appraise implementation of NREGA Processes, Documentation, Transparency Mechanisms and Human Resources
- ii. Share and discuss findings with State Governments and Central Government
- iii. Suggest remedial action to State and Central Government & monitor follow up action at quick intervals if required

The appraisal may be started in all the states with atleast 25% of total districts per state (approx. 160 districts), selected on the basis of performance, size of the state and recommendations of the Ministry. The institute may undertake on an average 3-5 districts (atleast one from Phase I, II & III) for appraisal. A suggestive list of districts, classified according to good performing districts and districts that need attention, for appraisal will be shared with the institutes by Ministry (Annexure I)

Suggested sampling:

- *Blocks and Gram Panchayats:* The sample will consist of two blocks from each district, four Gram Panchayat, four villages (one in each GP) from each block.
- *Works:* One work should be surveyed per Gram Panchayat. Out of the total 4 works per block, 3 should be ongoing and 1 should be completed.
- *Workers/Non-beneficiaries:* The method of cross verification and indepth analysis should be applied. Sample could include ten workers per work

Field observations and interactions should be verified from the official records at Gram Panchayats, Blocks and District level, discrepancies, if any should be noted.

4. Tool kit for Appraisal

The Ministry will design and structure parameters for institutions and a model tool kit to begin the appraisal as scheduled. The tool kit will include, themes for quantitative and qualitative analysis Based on field experiences and district specificities, the institutions may evolve/revise these questionnaires in consultation with the Ministry.

5. Periodicity and Time Frame

The selected institute would be required to visit each assigned district once or more depending on the issues identified and need for follow up visits.

The study team may comprise of 8 persons and each district visit is expected to take 6 days. Out of the total days, 3 days will be at the village/Gram Panchayat level, one day at the level of the block, one day at district and one day at state. In addition to verification of field observations, all issues of concern will be discussed with the district and the state during the visit. The Institute may choose to revisit some of the Panchayats/works visited in the second and third month if they believe there are issues/discrepancies that need monitoring. Standardized toolkits for evaluation and training will be provided by the Ministry for data collection, documentation and dissemination.

6. Reporting and Deliverables

A hard and soft copy of the compiled report should be submitted by the end of the 3 month period , that is January 2009, to the Ministry of Rural Development. Prior to submission of the report to the Ministry, the institution should share their findings with each district for necessary action and give a certificate to this effect. The report should be submitted in a standardized format given by the Ministry.

7. Budget

The per visit cost for a 6 day visit to a district is estimated to be Rs. 82,000. An estimate of the cost per Institute is indicated at Annexure II.

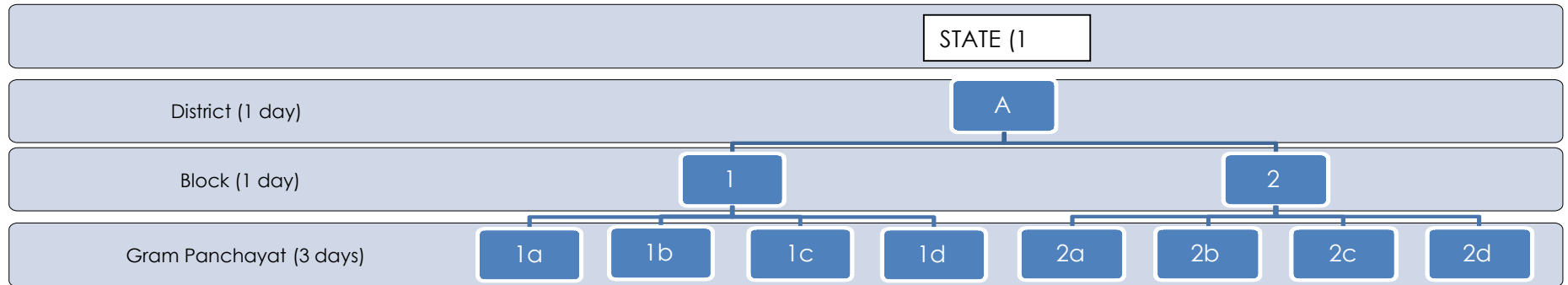
8. Operational Plan 2008-09: October Onwards

It is proposed that the institutions begin the appraisal begin in November 2008. At the end of January 2008, the Ministry of Rural Development will organize a Roundtable for the participating institutions to discuss their findings and reports.

	Activity	By Date
1	Orientation of Institutions and Sharing of methodology	1 st week of Nov 2008
2	Release of First Instalment	
3	First Visit	2 nd week of Nov 2008
4	Review with District & State Government	Dec 2008 & Jan 2009
5	Submission of Draft Report to Central Government	January 2009
6	Roundtable with Institutions	
7	Finalization of Report	February 2 nd Week

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ANNEXURE I



ANNEXURE II: Suggested List of Districts

S.No.		Good Performing Districts (High Persondays)			Poor Performing Districts (Low number of Persondays)		
		I	II	III	I	II	III
1	UP	mahoba ,lalitpur ,banda ,hamirpur ,jalaun ,pratapgarh ,mirzapur ,jaunpur ,sonbhadra ,chandauli ,kushi nagar ,fatehpur ,rae bareli ,sitapur ,barabanki ,kheri	Kanpur Dehat, Jhansi, Balrampur, Ambedkar Nagar, Etah, Bahraich, Sultanpur	Aligarh, Kanpur Nagar	Azamgarh, Gorakhpur, Kaushambi		varanasi ,jyotiba phoole nagar ,rampur ,moradabad ,shahjahanpur ,bulandshahr ,etawah ,lucknow ,mainpuri ,bareilly ,meerut ,kannauj ,sant ravidas nagar ,mathura ,firozabad ,deoria ,mahamaya nagar ,
2	Rajasthan	Dungarpur, Sirohi, Udaipur,	Barmer, Jalore	Ajmer, Bhilwara, Bikaner, Bundi, Jaipur, Jodhpur, Pali, Rajsamand,			
3	MP	balaghat ,barwani ,betul ,chhatarpur ,dhar ,dindori ,jhabua ,khargone ,mandla ,satna ,seoni ,sheopur ,sidhi ,tikamgarh ,umaria	burhanpur, Chindwara				Bhind ,bhopal ,gwalior ,neemuch ,shajapur ,ujjain
4	AP	adilabad ,anantapur ,chittoor ,cuddapah ,khammam ,mahbubnagar ,medak ,nizamabad ,rangareddi ,vizianagaram	Kurnool				Krishna, Vishakhapatnam, West Godavari
5	Chhattisgarh	Bilaspur, Dhamtari, Kanker, Korea, Rajnandagon, Surguja,	Janjgir-Champa, Raipur,		Bastar		Durg

6	Bihar	Araria ,Darbhanga ,Jamui ,Jehanabad ,Kaimur (bhabua) ,Katihar ,Munger ,Muzaffarpur ,Nalanda ,Nawada ,Patna ,Purnia ,Sheohar, Supaul	Arwal ,Buxar ,Madhepura ,Saharsa ,Saran ,Sheikhpura ,Sitamarhi ,Siwan		Madhubani, Rohtas, Vaishali	Khagari, Paschim Champaran, Purbi Champaran	
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7	Jharkhand	Chatra ,Dhanbad ,Garhwa ,Giridih ,Hazaribagh ,Koderma ,Latehar ,Lohardaga ,Pakur ,Palamu ,Ranchi ,Sahebganj ,Simdega	Deogarh, Singhbhum	Ramgarh		Bokaro, Gumla	Khunti
8	Tamil Nadu	Cuddalore, Dindigul, Nagapattinam, Sivagangai, Tiruvannamalai, Villupuram,	Karur, Thanjavur, Tiruvarur	Madurai, Ramanathapuram , Tiruchirappalli, Virudhunagar,			Ariyalur, Coimbatore, Dharmapuri, Kanniyakumari, Krishnagiri, Namakkal, Pudukkottai, Salem, The Nilgiris, Theni, Thiruvallur, Thoothukkudi(Tuticorin) , Vellore,
9	West Bengal	Bankura			24 parganas south ,Birbhum ,Dinajpur uttar ,Jalpaiguri ,Murshidaba	Nadia, Purb Medinipur	Howrah

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10	Assam	Karbi Anglong, Kokrajhar, Lakhimpur, North Cachar Hills,				DHEMAJI	Baksa, Dhubri, Dibrugarh, Jorhat, Kamrup, Kamrup (Metro), Karimganj, Nagaon, Sivasagar, Sonitpur, Tinsukia, Udalguri
11	Gujarat	Sabarkantha, Panchmahals		Porbandhar	Dang, Narmada	Bharuch	Ahmadnagar
12	Orissa	Ganjam, Rayagada, Sonepur					Cuttack ,Jagatsinghapur ,Kendrapara ,Khordha ,Nayagarh ,Puri ,

1. Awareness Generation through Information Education Communication

- ❖ Are Sarpanch/ward members aware of the key provisions and procedures of the Act
- ❖ Did Sarpanches/ Ward members attend Block orientation Conventions
- ❖ Were Gram Sabhas held on NREGA ?
- ❖ Are there needy household who do not know about NREGA?
- ❖ Are Wage Seekers are aware of the key provisions and procedures of the Act?

2. Demand Process:

2.1 Registration and Job Card

- ❖ Are wage seekers able to register freely and easily for job cards?
- ❖ What is the time gap between registration and issue of Job Card (should not be more than two to three weeks and not more than a month)
- ❖ Are Job Cards freely given? Are there cases of job cards being obtained on price?
- ❖ Are minors on Job Cards
- ❖ Do job cards have photograph of the House hold members registered
- ❖ Are photographs free of Cost
- ❖ Who has custody of Job cards

2.2 Application for Employment

- ❖ Are applications submitted for employment
- ❖ Is dated receipt issued by Gram Panchayat

- ❖ Is work allotted in 15 days

3. Works Process

3.1 Planning

- ❖ Were Gram Sabhas convened to select works
- ❖ Have priorities of Gram Sabha been maintained in the formulation of GP development Plan
- ❖ Are local people happy with choice of works?

3.2 Shelf of Projects

- ❖ The Village has an approved shelf of projects of at least five works with technical and financial estimates ready to start when employment demand is received?
- ❖ Only permissible works have been taken up?
- ❖ What kind of works have been given priority?
- ❖ Are the works taken up useful? What does their quality look like?
- ❖ List of approved works on public display in Gram Panchayat ?

3.3 Execution

- ❖ Does the GP have at least 50% of works selected for execution.
- ❖ Are the Muster Rolls being properly maintained?
- ❖ Are workers without job cards working on work sites?
- ❖ Is there evidence of contractors and machinery?
- ❖ Is measurement of works done on time within a fortnight?
- ❖ Are works in progress being technically supervised regularly?
- ❖ Are the adequate work site facilities available

*** Additional questions on work execution and worksite can be referred in the worksite questionnaire and Muster Roll verification*

4. Wage Payment

- ❖ What is the average amount of wage paid per day per labourer?
- ❖ Are the worker able to earn the notified wages for agri labourers.
- ❖ Are the workers earning the full task rate notified in the Schedule of rates (SOR).
- ❖ In the task rate earned equal to the minimum wages.
- ❖ Are separate wage rates applicable to NREGA works? Or are they the same as the notified minimum wages for agricultural labourers?
- ❖ Is the Schedule of rates (SOR) applied to NREGA also applied to similar works executed by unskilled manual labour that does not use contractor and machinery? Or is an exclusive SOR applied to NREGA?
- ❖ Are their different task rates for men and women?
- ❖ Are wages paid within 15 days? If not what is the time lag between work completion and payment?
- ❖ Is the muster roll read out when wages are paid?

5. Records

- ❖ Muster Roll entries match with the job cards? Specially in term of days worked and amount paid.
- ❖ Work completed is recorded in the Asset Register?

6. Staff and Training

- ❖ Is Gram Rozgar Sewak available for each GP?
- ❖ Is there a technical assistant(junior engineer) for a group of Gram Panchayats to supervise, measure ?
- ❖ Have the following been trained?
 - ❖ - Gram Rozgar Sewak
 - ❖ - Panchayat Secretary (if he is handling NREGA)
 - ❖ -Sarpanches/Ward members

- ❖ -Vigilance Monitoring Committee Members

7 Monitoring

- ❖ Have works been inspected by district/ Block/ State functionaries?
- ❖ Does the VMC monitor and certify works completion?

8 Social audit

- ❖ Has social audit of all works been done? Who did social audit? Was the Gram Sabha and the workers involved?

9. Grievance Redressal

- ❖ Are complaints register available at GP level? Are Complaints disposed?