

Government Performance Management by participatory Monitoring:

The Case of Kerala



E G Prem Kripal
Additional Director,
Planning & Economic Affairs Dept
Government of Kerala

Presentation Outline

1. About Kerala
2. Where we are
 - RFD Implementation in Kerala
3. How we got there
4. Why do we do it this way
5. Where do we go from here

About Kerala – An overview

Kerala – God's Own Country

Some Facts

- **34 million people (100% literates)**
- **Density 860 /sq km**
- **Gender ratio: 1084 females to 1000 males**
- **HDI : 0.782**
- **IMR - 13/1000 live births (All India: 31)**
- **MMR – 81/ lakh live births (All India: 212)**
- **Highest Institutional delivery - 99% (All India 47%)**

Kerala – Empowerment of people

- First State to devolve financial and administrative power to the Local Self Government Institutions (LSGIs)
- 25% of the State's Plan fund is allocated to the Local Self Government Institutions (LSGIs)
- Public participation is the corner stone for correcting administration and governance



His Excellency
Shri Nikhil Kumar
Governor of Kerala



Sri. Oommen Chandy
Hon'ble. Chief Minister
of Kerala

[Read More>>](#)



▼ **Governance**

- ▶ Government Departments
- ▶ Secretariat Departments
- ▶ Field Departments
- ▶ Government Institutions
- ▶ Local Self-Governance

Updates

- ▶ Press Releases
- ▶ Kerala Gazette
- ▶ Scholarships

1000 Days



Whats new



▼ **Government**

- ▶ State Profile
- ▶ Members-Niyama Sabha
- ▶ Members-Lok Sabha
- ▶ Members-Rajya Sabha

**KASTURIRANGAN REPORT
AN OVERVIEW (MALAYALAM)**



**VIGILANCE &
ANTI-CORRUPTION BUREAU**
www.keralavigilance.org



*Gateway
to Other States*

Results

Initiatives

- ▶ 35th National Games
- ▶ Emerging Kerala
- ▶ Virtual Trading Centre

Annual Plan 2013-14

ANNUAL PLAN 2013-14
31-12-2013

RFD 2012-2013
RESULTS
FRAME WORK DOCUMENT

Reports

- ▶ Policies
- ▶ Reports & Manuals
- ▶ Economic Review
- ▶ Five Year Plan

**BUDGET
2014 – 2015**

**RIGHT TO 2012
SERVICE ACT**

**21st
Kerala Minister**

Presentation Outline

1. About Kerala

2. Where we are

- RFD Implementation in Kerala

3. How we got there

4. Why do we do it this way

5. Where do we go from here

M & E

Monitoring

Evaluation

Budget

Performance
Budget

Outcome
Budget

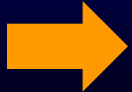
RFD

1	Financial Inputs
---	---------------------

1	Financial Inputs
2	Activities
3	Outputs

1	Financial Inputs
2	Activities
3	Outputs
4	Outcomes

1	Financial Inputs
2	Activities
3	Outputs
4	Outcomes
5	Non-financial Outcomes



Kerala Declares Results

- First state in India to declare performance scores for three years in a row



GOVERNMENT OF KERALA



National Games
KERALA 2015

Abstract

Planning & Economic Affairs (CPMU) Department – Performance Monitoring and Evaluation System - Results Frameworks Document Evaluation Report (2013-14) of 38 Administrative Departments - Approved – Orders issued.

Planning & Economic Affairs (CPMU) Department

GO (MS) No.44/2014/Plg. Dated, Thiruvananthapuram : 07.10.2014.

Read: GO(Rt) No.241/14/Plg dtd 12.05.2014.

ORDER

Results Framework Documents is a part of the Performance Monitoring and Evaluation System (PMES) to monitor and evaluate the performance of the Government Departments. RFD includes the agreed objectives, policies, programmes and projects along with the success indicators and targets to measure the performance in implementing them. The document is to be prepared by each department at the beginning of every financial year. 2013-14 is the third consecutive year of adoption of RFD by the Govt. of Kerala.

Vide paper read above, Govt. have approved the RFD 2013-14 of 38 Administrative Departments. As per the guidelines of Results Framework Documents, the concerned Administrative Departments have carried out the evaluation of the achievement of targets mentioned in their Results Framework Documents for the year 2013-14 and submitted the evaluation report online to the Planning and Economic Affairs Department.

The department wise composite scores are as follows.

Sl. No.	Name of Department	Composite Score
1	Agriculture	62.71
2	Animal Husbandry	85.10
3	Co-operation	83.03
4	Cultural Affairs	74.55
5	Environment	70.30
6	Excise	92.12
7	Finance	76.99
8	Fisheries	51.41
9	Food, Civil Supplies & Consumer Affairs	63.29
10	Forest & Wildlife	88.60
11	General Administration	77.68
12	General Education	56.56
13	Health & Family Welfare	80.92

Kerala Declares Results

- First state in India to declare performance scores for three years in a row

14	Higher Education	77.97
15	Home	76.04
16	Housing	77.70
17	Industries & Commerce	62.11
18	Information & Public Relations	68.44
19	Information Technology	62.06
20	Labour & Rehabilitation	67.48
21	LSGD	60.04
22	NORKA	74.47
23	P&ARD	59.54
24	Planning & Economic Affairs	81.48
25	Ports	53.50
26	Power	72.14
27	PWD	89.22
28	Registration	74.10
29	Revenue	0
33	SC Development Department	76.14
31	Science & Technology	Nil
32	Social Justice	79.16
33	Sports & Youth Affairs	64.51
34	ST Development Department	75.10
35	Taxes	72.37
36	Tourism	85.91
37	Transport	89.72
38	Water Resources	54.73

Government, after examining in detail the Evaluation Report of Results Framework Documents 2013-14 of each Administrative Department and pleased to approve the scores as mentioned above.

Government have approved in principle to use the concept of Results Framework Documents to improve the performance of departments and not to grade them. Further it is not an indicative of the level of performance.

(By Order of the Governor)

P Mara Pandiyan,
Principal Secretary (Planning).

To

All Additional Chief Secretaries/ Principal Secretaries/ Secretaries
Dr.Prajapati Trivedi, Secretary, PMD, Cabinet Secretariat,
Government of India (with C/L)
Performance Management Division, Cabinet Secretariat, Govt. of India.
All Heads of Departments
All District Collectors
Private Secretary to Hon'ble Chief Minister
Private Secretary to all Ministers

Copy to

Additional Secretary to Chief Secretary
PA to Principal Secretary to Govt. (Planning)

Kerala Declares Results

So what's the big deal?

- Few governments around the World have taken government performance management to its logical conclusion
 - Some do monitoring but not evaluation
 - Some do partial evaluation but not comprehensive evaluation
 - Some prepare results but do not declare it!!!

Results

- Results for 2011-12, 2012-13 and 2013-14 were declared.
- In 2013-14, Revenue dept got 'zero' score
- Results were taken up by media to a different plane
- Generated discussion in the public domain about the performance of the Government departments

Presentation Outline



About Kerala



Where we are

- RFD Implementation in Kerala

3. How we got there

4. Why do we do it this way

5. Where do we go from here

How we got here?

- The performance scores are based on RFD
- Hence three logical questions:
 - What is RFD? (No explanation required)
 - Why Kerala adopted RFD?

How we got here?

- The performance scores are based on RFD
- Hence two logical questions:
 - What is RFD?
 - Why Kerala adopted RFD?

Why was RFD introduced?

1. Monitoring on the basis of financial progress is not good measure
2. RFD is a tool jointly prepared by the grass root level functionaries of the departments and moderated by the third party
3. RFD is a measure which defines the 'Objective', 'Success Indicator' and its 'Target' with scale for its measurement

Why was RFD introduced?

4. Assessment of a programme/scheme in an objective manner is possible
5. Results and process are available in the public domain
6. Social scrutiny by the people, media and all is possible which improves the quality of the document

When was RFD introduced?

- On 15th and 16th June 2011, the workshop led by Dr Prajapati Trivedi, Secretary, PMD, to brainstorm with Ministers, Secretaries and HODs
- Chief Minister decided to implement the RFD from 2011-12 onwards
- Included in the first 100 days of the programme of the Government of Kerala. (*very few schemes were included in this fast track*)

How was RFD introduced?

1. Commitment on the part of the State Administration
2. Sensitisation meetings were conducted involving peer groups, experts and practitioners
3. Benefit and utility of the new system conveyed to the Head of Departments (till they were convinced)

How was RFD introduced?

4. No formal structure created for the implementation.
5. Resource Team developed from among the second level officers from the user Departments
6. Progress assessed by group of Senior Secretaries (Mentors)
7. Mentor Secretaries interacted with the Department Secretaries to fine tune, the vision, objectives and targets etc

Progress so far...

1. Three complete RFD cycles of 37 depts (of the total 38 depts) completed with in four years.
2. (RFD prepared, Evaluated and Scores declared and documented)
3. RFD for Home is also started from 13-14. Kerala is one among the very few States to prepare RFD for Home department.
4. RFD for 14-15 also prepared. But results are yet to be declared

Institutional Development

1. Planning and Economic Affairs Department spear headed the programme
2. Resource Persons helped a group of 6 to 7 departments in every process of the RFD
3. Senior Secretaries who had better understanding about the tool interacted with department Secretaries.
4. Objective is to make the planning process and monitoring of schemes completely RFD compliant.

Challenges faced and strategies used

1. RFD as a tool should be useful to the department functionaries. Many times RFD's targets, objectives do not get reflected in the departmental review meetings.
2. RFD did not do well in measuring the financial progress as a yardstick.
3. Activities having good budgetary allocation do not get commensurate weightage and targets

Comparison with GoI Approach

- GoK developed a local ATF so that the Members are more familiar with the functions, responsibilities and practice in the State
- The weight for the Mandatory Indicators of GoI is 15 whereas the same is 30 in the case of Government of Kerala (GoK). How ? And Why ?

Presentation Outline

1. About Kerala

2. Where we are

- RFD Implementation in Kerala

3. How we got there

4. Why do we do it this way

5. Where do we go from here

**Future of RFD in Kerala—
Where do we go from here?**

New strategies to be developed

1. Major schemes, purpose of the department, services 'expected from the department by the public' should be included in the RFD.
2. Schemes with a span of more than a year to be monitored with financial implication and achievement against the set targets
3. Physical achievement and financial expenditure and process involved should also be monitored in the RFD

New strategies to be developed

4. RFD format should be simple, understandable by all officers at any level
5. Past performance should have a positive correlation, availing and utilising funds from GoI should be given adequate weightage
6. Score of the department should depict the actual performance of the department as per the public perception.

New strategies to be developed

7. Link the Objectives, functions of the scheme with the Budget Head of Account
8. Objectives, Success Indicators, Targets should be synchronised with the priorities, resource allocated etc of the department.
9. Data retrieval in all possible combination should be possible
10. Codification of Objectives, functions and targets should also be possible

Vision for the future

- Ensure that every parameter is organically connected with the grass root level administrative structure
- Budgetary allocation and expenditure should also be incorporated in RFD
- It should be short and simple so that this is used for monitoring and evaluation by all.

Vision for the future

- Must be owned by officials on its own merit
- Should be a tool for social accountability and service delivery

Discussion Please

- premkripal@hotmail.com