

# Symposium on International Experience with Monitoring and Evaluation (M&E) in Government

September 18, 2015, Hyderabad





## Symposium on

## International Experience with Monitoring and Evaluation (M&E) in Governance

September 18, 2015, Hyderabad



# INDIA

**Prof. Prajapati Trivedi**  
Senior Fellow (Governance) &  
Adjunct Professor of Public Policy  
Indian School of Business

# P M E S

Performance Monitoring & Evaluation System



# RFED

## Results-Framework Document

An Instrument for Improving Government Performance

# Presentation Outline

---

1. What do we do?
2. What is new about it?
3. Why do we do it this way?
4. Impact of what we did?

# Kerala

## Population: 35 Million



### GOVERNMENT OF KERALA

#### Abstract

Planning & Economic Affairs (CPMU) Department - Performance Monitoring and Evaluation System - Results Frameworks Document Evaluation Report (2012-13) of 35 Administrative Departments - Approved - Orders issued.

#### Planning & Economic Affairs (CPMU) Department

**GO (MS) No.42/2013/Plg. Dated, Thiruvananthapuram : 07.08.2013.**

Read: GO(MS) No.24/13/Plg dtd 27.03.2013.

#### **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.

Vide paper read above, Govt. have approved the RFD 2012-13 of 35 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 2012-13 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	69.83
2	Animal Husbandry	70.98
3	Co-operation	78.14
4	Cultural Affairs	86.5
5	Environment	30.94
6	Excise	85.28
7	Finance	78.09
8	Fisheries	75.44
9	Food, Civil Supplies & Consumer Affairs	53.39
10	Forest	68.83
11	General Administration	68.27
12	General Education	59.91
13	Health & Family Welfare	87.05
14	Higher Education	68.88
15	Housing	42.27
16	Industries & Commerce	71.55
17	Information & Public Relations	65.77
18	Information Technology	71.35
19	Labour & Rehabilitation	51.23

20	LSGD	61.08
21	NORKA	62.54
22	P&ARD	51.17
23	Planning & Economic Affairs	76.35
24	Ports	40.54
25	Power	63.03
26	PWD	73.76
27	Registration	76.37
28	Revenue	51.6
29	SC/ST Development Department	66.2
33	Social Welfare	30.5
31	Sports & Youth Affairs	52.33
32	Taxes	76.75
33	Tourism	67.09
34	Transport	23.75
35	Water Resources	55.52

Government, after examining in detail the Evaluation Report of Results Framework Documents 2012-13 of each Administrative Department are 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 indicative of the level of performance.

(By Order of the Governor)

Rachna Shah,  
Secretary (Planning)

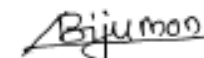
To

All Additional Chief Secretaries, Principal Secretaries and 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)  
CA to Additional Secretary & Director, (CPMU)  
Stock file / OC.

Forwarded/ By Order



Section Officer

CITIES - BENGALURU

BENGALURU, January 20, 2015

Updated: January 20, 2015 05:32 IST

## Report card of State government is out

PreLaunch Homes in Mumbai - 2, 3, 4 BHK, Duplexes & Penthouses in South Mumbai by LiveNR3  
[livenr3.com/Godrej\\_Sky](http://livenr3.com/Godrej_Sky)

Ads by Google

NAGESH PRABHU  
 MURALIDHARA KHAJANE

COMMENT · PRINT · T T

Like Share  Tweet  +1  in share PinIt Share  1

### HOW THEY PERFORMED (in per cent)

#### CATEGORY A

Housing	86.69
Higher Education	86.62
Excise	85.81
Rural Development and Panchayat Raj	84.20
Agriculture	78.77
Primary and Secondary Education	78.25
Cooperation	77.41

#### CATEGORY B

Women and Child Development	74.46
Medical Education	74.45
Public Works	73.27
Kannada and Culture	71.38
Transport	69.60

#### CATEGORY C

Health	58.69
Social Welfare	53.79
Urban Development	53.15
Revenue	51.78

Housing, Higher Education and Excise are top performers

# Karnataka

## Population: 62 Million



## Govt rates its depts; DPAR emerges on top, Revenue is at bottom

**BENGALURU:** The State government has prepared a Result Framework Document evaluating the performance of each of its 38 departments to bring in reforms in the financial year 2013-14.

As per the RFD report, 21 departments have secured 'A' grade, 13 'B' grade and four 'C' grade. Grades are awarded based on the achievement of the department against the targets.

The Department of Personnel and Administrative Reforms (DPAR) prepares the report every year.

The government sets short-, medium- and long-term targets for each department to usher in reforms such as computerisation, introduction of e-governance and making services user friendly.

### Top four performers

DPAR (Personnel and Administrative Reforms): 93.87 pc; Housing: 86.69 pc; Higher Education: 86.62 pc; Excise: 85.81 pc

### Worst performers

Revenue: 51.78 pc; Urban Development: 53.79 pc; Social Welfare: 53.79 pc; Health and Family Welfare: 58.69 pc

**DH News Service**

## Top four performers

DPAR (Personnel and Administrative Reforms): 93.87 pc; Housing: 86.69 pc; Higher Education: 86.62 pc; Excise:

## Worst performers

Revenue: 51.78 pc; Urban Development: 53.79 pc; Social Welfare: 53.79 pc; Health and Family Welfare: 58.69 pc

**DH News Service**

the top 10 ministers



# RFD

## Results-Framework Document

An Instrument for Improving Government Performance

- 1. What is RFD?**
- 2. How does RFD work? (The Process)**
- 3. Origins of RFD Policy**
- 4. What has been the progress in implementation?**

# 1. What is RFD?

(The Content of RFD)

# RFD

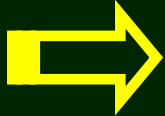

seeks to address three basic questions:

1. What are department's main objectives for the year?

2. What actions are proposed to achieve these objectives?

3. How to determine progress made in implementing these actions?

# Format of Result-Framework Document (RFD)

Section 1	Ministry's Vision, Mission, Objectives and Functions.
Section 2	<i>Inter se</i> priorities among key objectives, success indicators and targets. 
Section 3	Trend values of the success indicators. 
Section 4	Description and definition of success indicators and proposed measurement methodology.
Section 5	Specific performance requirements from other departments that are critical for delivering agreed results.
Section 6	Outcome / Impact of activities of department/ ministry 

# Section 2 of Results-Framework Document

Criteria / Success Indicators		Weight	Target / Criteria Values				
			Excellent	Very Good	Good	Fair	Poor
			100%	90%	80%	70%	60%
1	% Increase in number of primary health care centers	.50	30	25	20	10	5
2	% Increase in number of people with access to a primary health center within 20 KMs	.30	20	18	16	14	12
3	Number of hospitals with ISO 9000 certification by December 31, 2009	.20	500	450	400	300	250



# Section 3: Trend Value of Success Indicators

← 5-year Trend →

Objective	Actions	Success Indicator	Unit	Actual Value for FY 12/13	Actual Value for FY 13/14	Target Value for FY 14/15	Projected Value for FY 15/16	Projected Value for FY 16/17
Objective 1	Action 1	No. of Schools	No.	500	650	800	1000	1400
	Action 2							
	Action 3							
Objective 2	Action 1							
	Action 2							
	Action 3							
Objective 3	Action 1							
	Action 2							



# Calculation of Composite Score

Step 1

Step 2

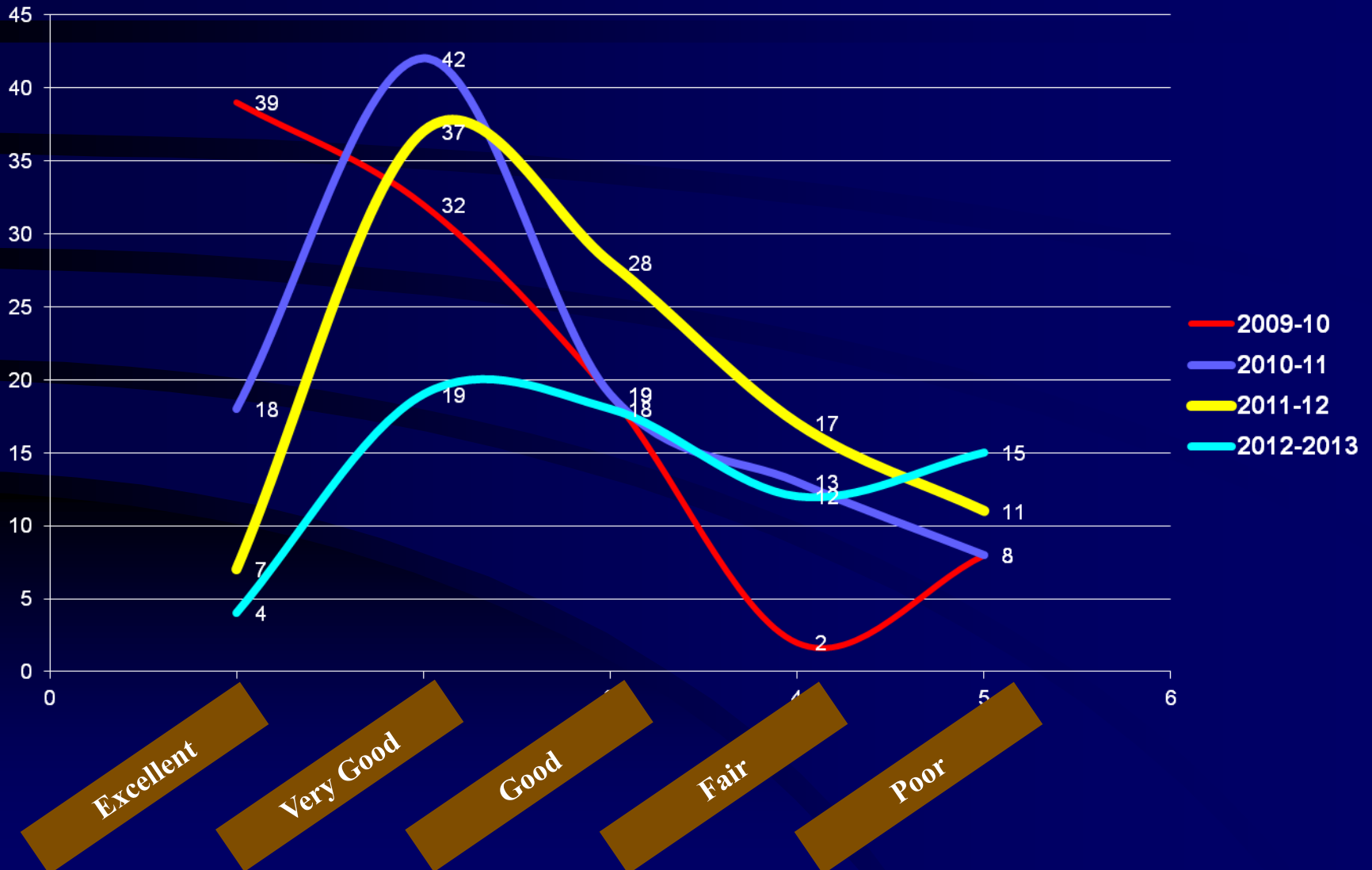
Step 3

Step 4

Criteria / Success Indicators		Weight	Target / Criteria Values					Achievement	Raw Score	Weighted Raw Score
			Excellent	Very Good	Good	Fair	Poor			
			100%	90%	80%	70%	60%			
1	% Increase in number of primary health care centers	.50	30	25	20	10	5	15	75%	37.5%
2	% Increase in number of people with access to a primary health center within 20 KMs	.30	20	18	16	14	12	18	90%	27%
3	Number of hospitals with ISO 9000 certification by December 31, 2009	.20	500	450	400	300	250	600	100%	20%
<b>Composite Score</b>									<b>84.5%</b>	



# RFD Results for Four Years



# Results for 2011-2012



# How does RFD work? (The Process)

**1**

Beginning  
of Year

**Prepare  
RFD**

April 1

**2**

During  
the Year

**Monitor  
Progress**

October 1

**3**

End  
of Year

**Evaluate  
Performance**

June 1

# How does RFD work? (The Process)



RFDs reviewed by  
PMD and ATF

Departments incorporate  
PMD / ATF suggestions



Departments send RFD to  
Cabinet Secretariat

RFDs approved by HPC on  
Government Performance



Minister approves RFD

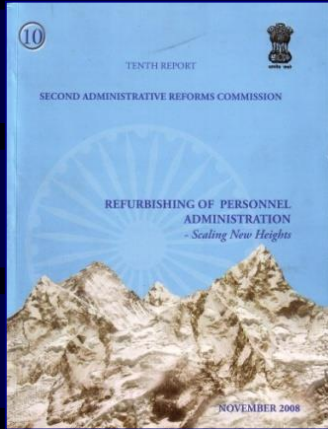
Departments place RFDs  
on Departmental Websites

# Origins of PMD

2008

10<sup>th</sup> Report of

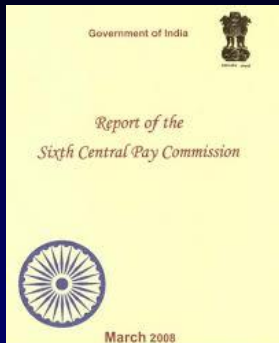
Second Administrative Reforms Commission



*“Performance agreement is the most common accountability mechanism in most countries that have reformed their public administration systems.”*

2008

6<sup>th</sup> Central Pay Commission



*“Introduce Performance Related Incentive Scheme (PRIS)”*

# Origins and Coverage of RFD Policy

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**June  
2009**

President announced that the Government will within 100 days:

*Establish mechanisms for performance monitoring and performance evaluation in government on a regular basis*

**September  
2009**

Prime Minister issued an order to implement “*Performance Monitoring and Evaluation System (PMES)*”

# Current Coverage of RFD Policy

**2009-2010**

**59 Departments**

**2010-2011**

**62 Departments**

**2011-2014**

**80 Departments**

**74 RFDs for Departments**

**6 Departments RFDs for RCs**

**800 Responsibility Centers**

**17 States**

# Implementation at State-Level

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## Already Begun Implementation

1. Maharashtra
2. Punjab
3. Karnataka
4. Kerala
5. Himachal Pradesh
6. Assam
7. Haryana
8. Chhattisgarh
9. Tripura
10. Rajasthan
11. Andhra Pradesh
12. Mizoram
13. Jammu & Kashmir
14. Meghalaya
15. Odisha
16. UP (request)
17. Puducherry (request)



# Current Coverage of RFD Policy

## SCOPE OF RFD

**2010-2014**

**Citizens' / Clients' Charter**

**Grievance Redress Mechanism**

**ISO 9001 in Government**

**Corruption Mitigation Strategies**

**Innovation in Government**

**Implementing RTI in Government**

**Compliance with CAG Audit**

# Presentation Outline

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✓ What do we do?

2. What is new about it?

3. Why do we do it this way?

4. Impact of what we do

# 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**

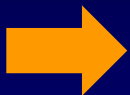
**1 Financial  
Inputs**

**2 Activities**

**3 Outputs**

**4 Outcomes**

**5 Non-financial  
Outcomes**





# Meta Evaluation: Evaluating Evaluation Systems

	Success Indicator	Budget	Performance Budget	Outcome Budget	RFD
2	Are the objectives prioritized?	No	No	No	Yes
3	Are the success indicators prioritized?	No	No	No	Yes
4	Are the deviations agreed ex-ante?	No	No	No	Yes

# Presentation Outline

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✓ What do we do?

✓ What is new about it?

3. Why do we do it this way?

4. Impact of what we do

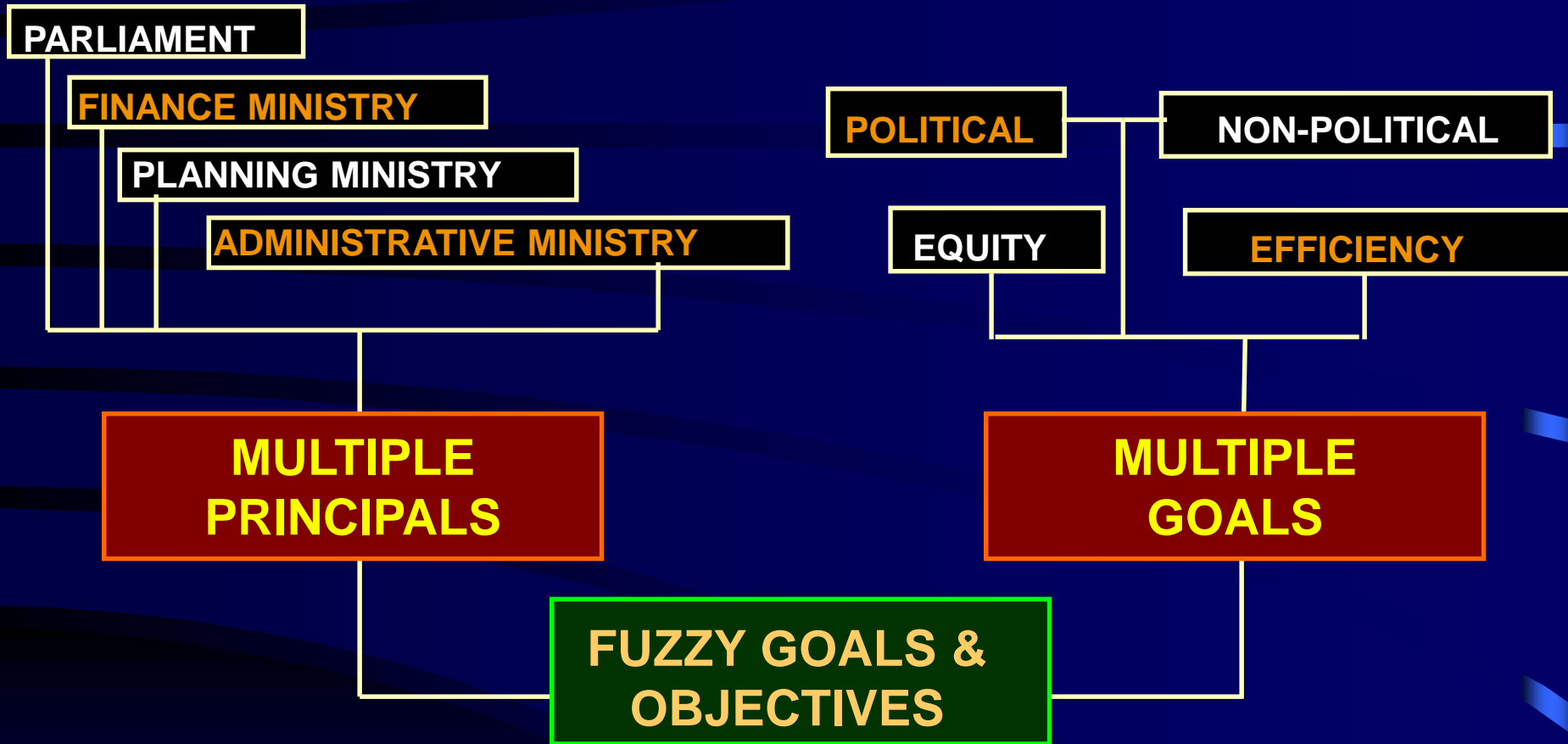
# 3. Why do we do it this way?

3.1 Diagnosis

3.2 Prescription

3.3 Overall Approach

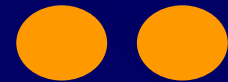
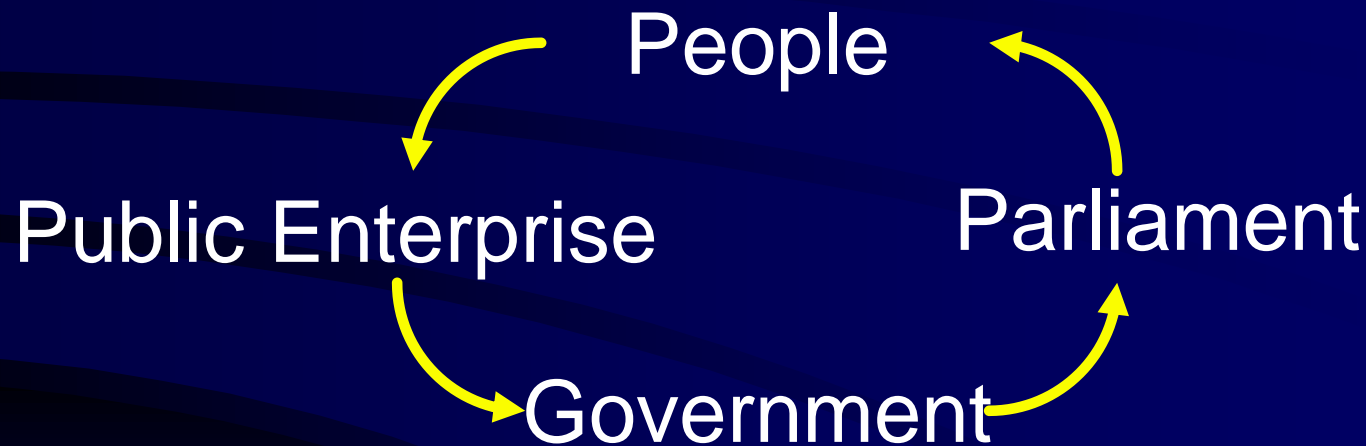
# Problems of Government Agencies - I





# Problem of Government Agencies -II

## “NOT ME” Syndrome



# 3. Why do we do it this way?

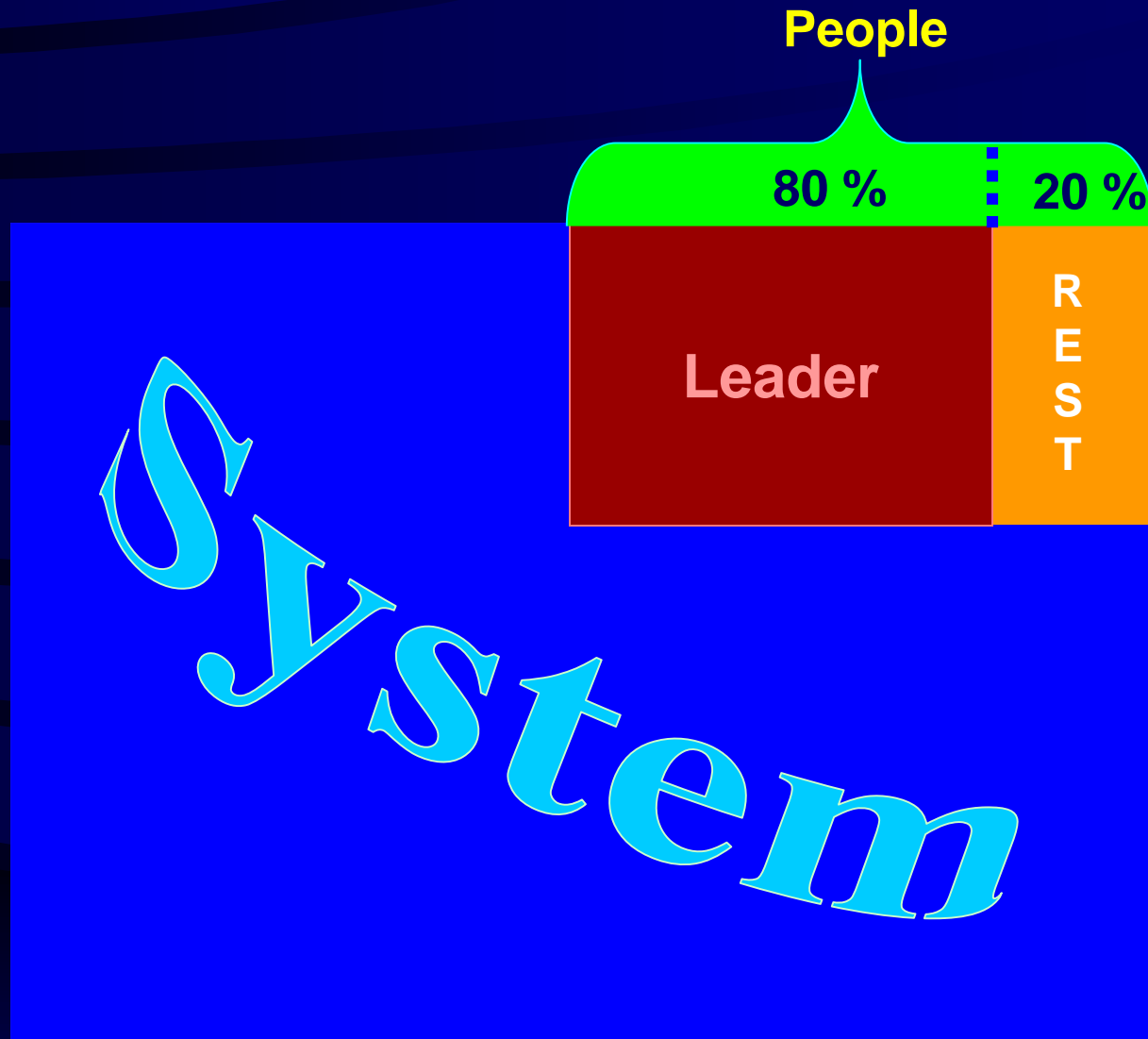
3.1 Diagnosis

3.2 Prescription

3.3 Overall Approach

# Determinants of Performance





**Determinants of Performance**

# What can be done to solve the problem?

Government Agencies have not delivered what was expected from them

Reduce Quantity of Government

Privatization

Traditional Civil Service Reforms

Increase Quality of Government

Trickle-down Approach

Direct Approach

# 3. Why do we do it this way?

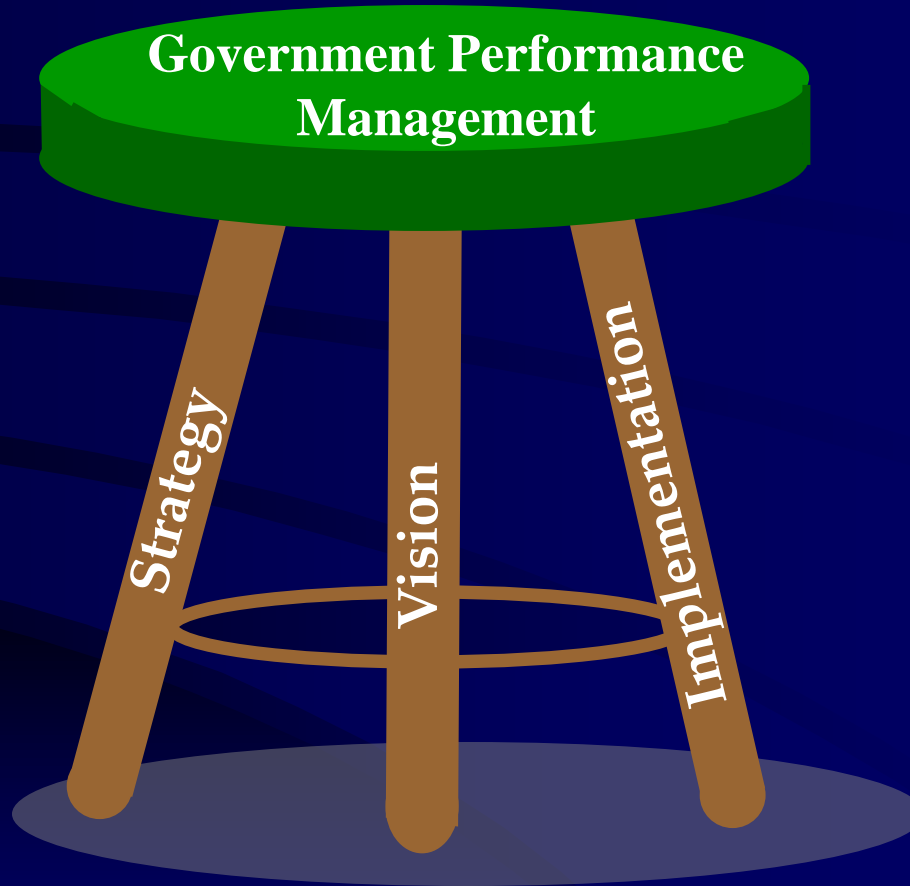
3.1 Diagnosis

3.2 Prescription

3.3 Overall Approach

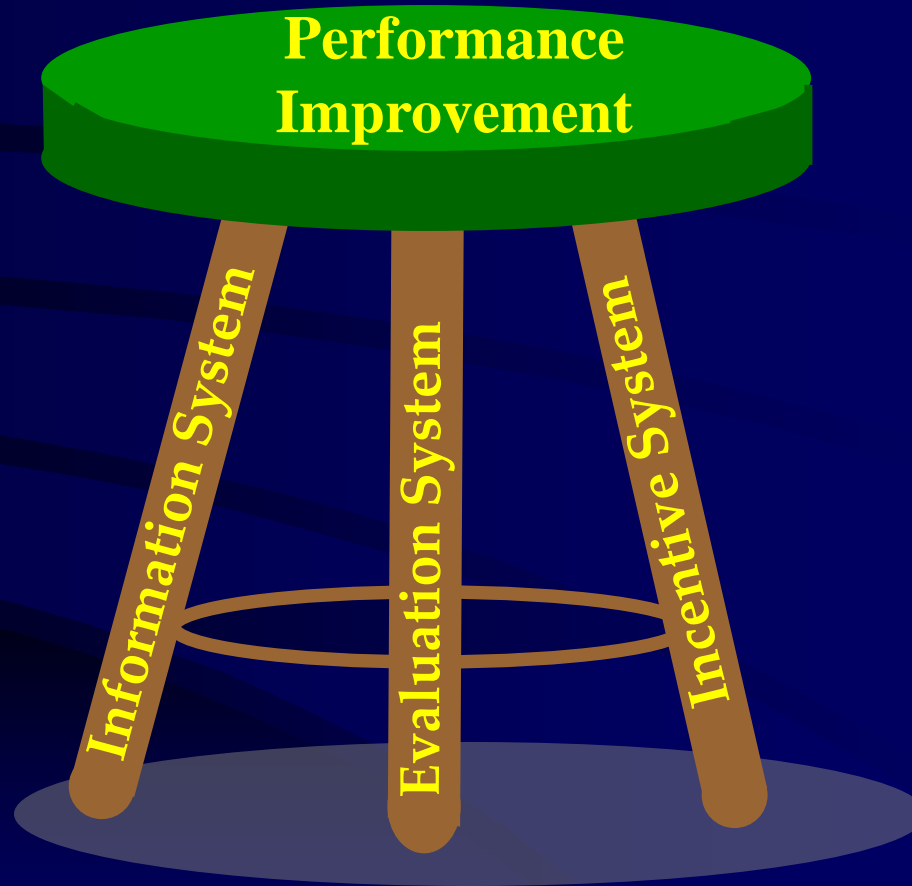
# Elements of Government Performance Management

**Stool # 1**



# Elements of Performance Improvement

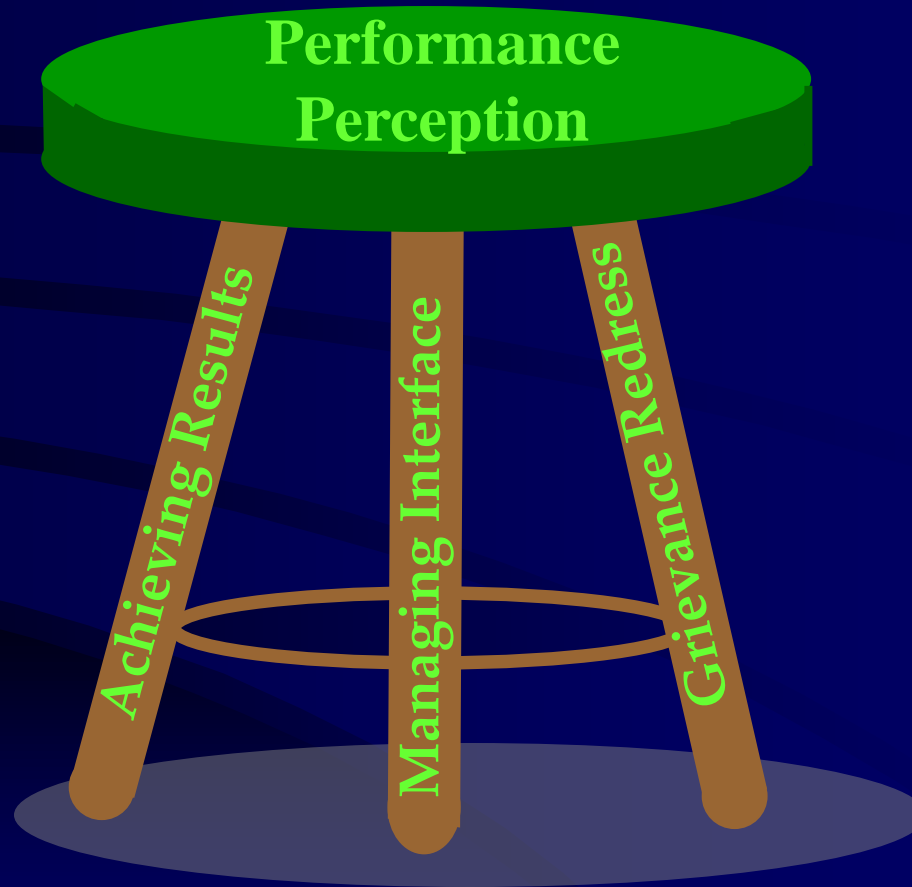
**Stool # 2**





# Determinants of Performance Perception

**Stool # 3**



# What explains the P

## Talk the Walk

Perception =

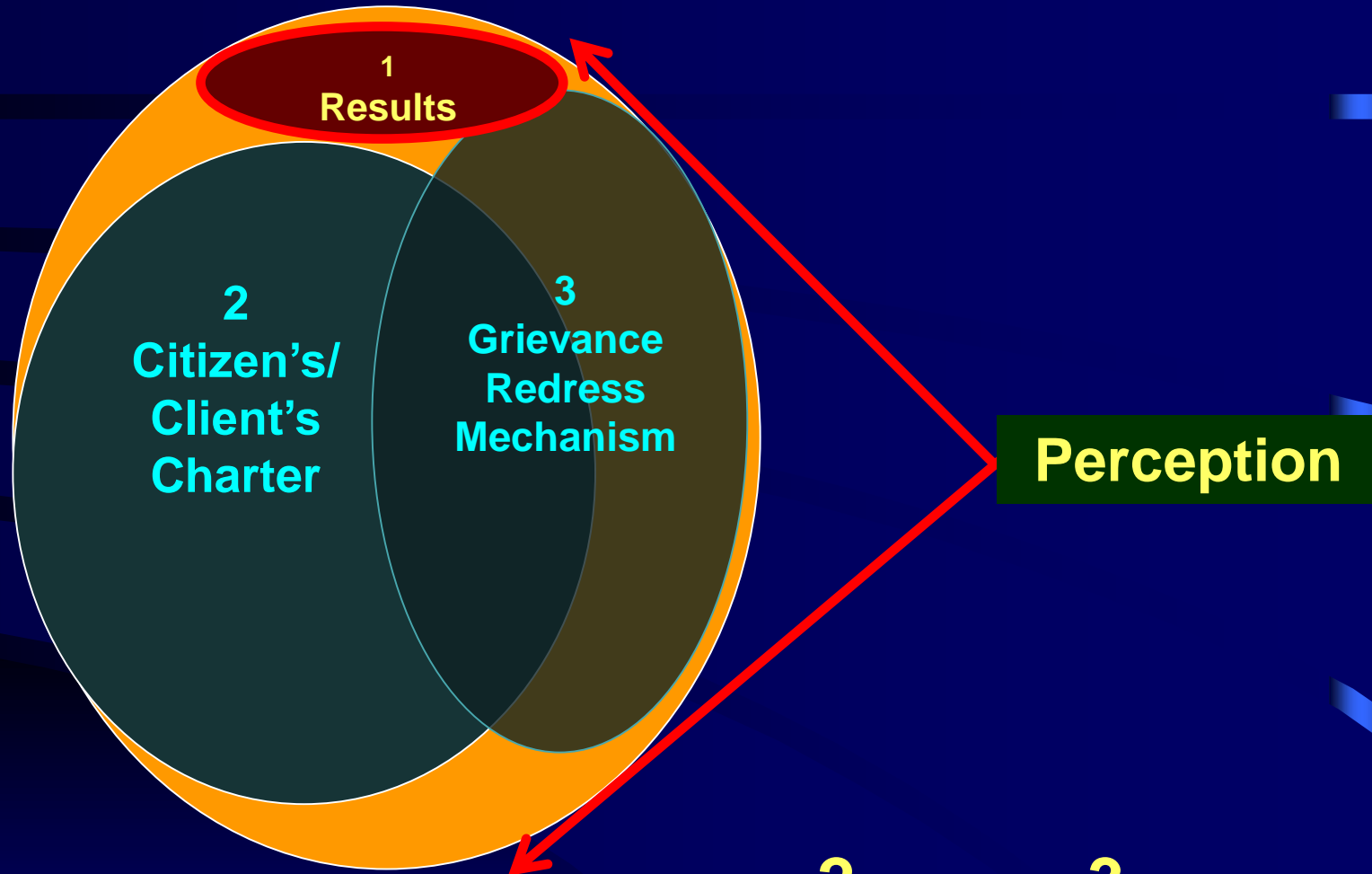
+ Quality Interface

+ Communication

Citizen's /  
Clients  
Charter

Grievance  
Redress  
Mechanism

# Determinants of Perception



$$\text{Perception} = 1 + 2^2 + 3^3$$

# Compendium of Citizens' / Clients' Charters (CCC):



## CITIZENS' / CLIENTS' CHARTER

Performance Management Division  
CABINET SECRETARIAT

Please refer all enquiries to :

Performance Management Division  
CABINET SECRETARIAT  
Government of India

Chanakya Bhavan, New Delhi 110021  
Email: performance-cabsec@nic.in  
Phone: 011-24675762, 23741164

website: [www.performance.gov.in](http://www.performance.gov.in)



## CITIZENS' / CLIENTS' CHARTER



(Printed on December 31, 2012)

Performance Management Division  
CABINET SECRETARIAT  
Government of India



# CITIZENS' / CLIENTS' CHARTER

Performance Management Division  
CABINET SECRETARIAT



# CITIZENS' / CLIENTS' CHARTER



(Printed on December 31, 2012)

Performance Management Division  
CABINET SECRETARIAT  
Government of India



सत्यमेव जयते

# Citizens' / Clients' Charter

DEPARTMENT OF CHEMICALS AND PETROCHEMICALS

Shastri Bhawan, New Delhi 110001

OUR COMMITMENTS TO YOU

Our Services and Transactions		How we measure our performance in this area	Our Service Standard
1	Recommendation to DGFT on Advance Authorization Application from Industry for import of raw material against the export of Petrochemical items.	Average time taken from the date of receipt of the fully completed proposal in all respects to issuance of recommendation to DGFT.	45 days
2	Recommendation to DGFT on applications for import of items covered under Restricted List of Import	Average time taken from the date of receipt of the fully completed proposal in all respects to issuance of recommendation to DGFT. .	45 days

# Independent Audit of Implementation of Citizens'/Clients' Charter (CCC)

*A Report*



CMS endeavours to  
work towards equity,  
social development  
and transparency in  
governance through  
research, advocacy  
and capacity building.



*Submitted to*

## **Performance Management Division**

**Cabinet Secretariat  
Government of India**  
[www.performance.gov.in](http://www.performance.gov.in)

*June 2013*

**CMS**  
RESEARCH HOUSE  
Saket Community Centre  
NEW DELHI  
[www.cmsindia.org](http://www.cmsindia.org)

**Table 2: Independent Audit Indicators**

	Success Indicator	Unit	Weight	Target / Criteria Value				
				Excellent	Very Good	Good	Fair	Poor
				100%	90%	80%	70%	60%
A.	Degree of visibility of CCC in relevant area	%	10	100	85	75	60	50
B.	Awareness of departmental officers/staff about CCC	%	10	100	85	75	60	50
C.	Degree of accuracy of the numbers and names of the contact persons mentioned in CCC	%	10	100	85	75	60	50
D.	Response rate for the phone calls made to contact persons	%	10	100	85	75	60	50
E.	Quality of the self-assessment report	%	10	100	85	75	60	50
F.	CCC Score as calculated by the department	%	50	100	85	75	60	50



# CCC Evaluation Results

**Table 4: Ministries/Departments- Scorecard on CCC Implementation**

S.No	Name of Ministry/Department	Audit Indicators						
		Combined (A+B+C+D+E+F)	A	B	C	D	E	F
		100	10	10	10	10	10	50
1	M/o Labour & Employment	97	10	10	10	10	10	47
2	M/o Statistics & Programme Implementation	95	10	9	10	10	10	46
3	D/o Pension & Pensioners Welfare	94	7	10	10	9	8	50
4	D/o Food & Public Distribution	94	10	9	10	10	9	46
5	D/o Health & Family Welfare	93	6	10	10	9	8	50
6	D/o Posts	93	10	10	4	10	10	49
7	D/o Commerce	91	7	10	10	9	9	46
8	D/o Scientific & Industrial Research	91	9	10	10	9	10	43
9	D/o AIDS Control	89	10	9	4	7	10	49
10	D/o Chemicals & Petro - Chemicals	89	7	9	6	7	10	50
11	D/o Telecommunications	89	10	9	10	10	10	40
12	D/o Public Enterprises	89	2	10	8	9	10	50
13	M/o Water Resources	89	5	9	10	10	10	45
14	D/o Personnel & Training	88	7	9	10	10	10	42
15	M/o Petroleum & Natural Gas	88	4	10	10	7	10	47
16	D/o Agriculture & Cooperation	85	4	10	4	7	10	50
17	D/o Land Resources	85	5	10	6	9	9	46
18	M/o Panchayati Raj	84	0	9	10	10	8	47
19	M/o New & Renewable Energy	83	2	9	6	7	10	49

20	M/o Housing & Urban Poverty Alleviation	82	2	10	4	7	9	50
21	D/o Justice	82	2	9	8	10	6	47
22	M/o Culture	82	5	9	10	6	8	44
23	M/o Mines	81	4	10	2	10	8	47
24	D/o Industrial Policy & Promotion	78	2	10	10	9	0	47
25	D/o Electronics & Information Technology	78	6	9	2	10	8	43
26	M/o Rural Development	78	7	10	4	9	10	38
27	D/o Fertilizers	77	4	9	0	7	10	47
28	D/o Heavy Industry	77	7	9	0	10	9	42
29	M/o Social Justice & Empowerment	77	9	10	0	10	10	38
30	D/o Animal Husbandry, Dairying & Fisheries	75	2	10	4	9	0	50
31	D/o Health Research	75	0	9	4	7	10	45
32	M/o Information & Broadcasting	75	2	10	10	0	10	43
33	M/o Tribal Affairs	75	2	10	0	10	10	43
34	M/o Road Transport & Highways	74	6	10	2	10	0	46
35	D/o School Education & Literacy	74	7	10	8	7	8	34
36	M/o Shipping	72	10	9	0	10	10	33
37	M/o Earth Sciences	71	10	9	10	10	0	32
38	M/o Drinking Water & Sanitation	68	2	10	2	8	0	46
39	M/o Food Processing Industries	64	2	9	4	9	0	40
40	M/o Youth Affairs & Sports	59	5	10	10	10	0	24
41	M/o Coal	58	4	10	0	7	0	37
42	D/o Consumer Affairs	44	4	9	2	6	0	23
43	D/o AYUSH	39	7	10	4	9	9	0
44	M/o Power	33	2	9	2	10	10	0

# **PUBLIC GRIEVANCE REDRESS**



The score for this mandatory success indicator was calculated on the basis of the following

S. NO.	Evaluation Criteria	WEIGHT
1	Is CPGRAMS link on the home page?	5%
2	Percentage of Responsibility Centres (RCs) covered	10%
3	Are non-electronic grievances uploaded?	5%
4	% of current grievances disposed during the year	40%
5	% reduction in total cumulative grievances pending	15%
6	Average customer feedback Score	10%
7	% of grievances disposed in 2 months or less	15%
	Total	100%

# GRM Evaluation Results

S. NO.	MINISTRY / DEPARTMENT	SCORE
1	D/o Administrative Reforms	69.40
2	D/o Agricultural Research and Education	37.45
3	D/o Agriculture and Cooperation	60.45
4	D/o AIDS Control	52.19
5	D/o Animal Husbandry, Dairying and Fisheries	33.20
6	D/o AYUSH	52.19
7	D/o Bio-Technology	74.50
8	D/o Chemicals and Petro-Chemicals	76.05
9	D/o Commerce	77.85
10	D/o Consumer Affairs	58.25
11	D/o Defense Production	31.20
12	D/o Defense Research and Development	29.30
13	D/o Drinking Water Supply	76.85
14	D/o Ex-Servicemen Welfare	32.50
15	D/o Fertilizers	60.10
16	D/o Food and Public Distribution	27.10
17	M/o Health and Family Welfare	52.19
18	D/o Health Research	52.19
19	D/o Heavy Industries	71.10
20	D/o Higher Education	42.10
21	D/o Industrial Policy and Promotion	58.40

10

TENTH REPORT



SECOND ADMINISTRATIVE REFORMS COMMISSION

REFURBISHING OF PERSONNEL  
ADMINISTRATION  
*- Scaling New Heights*



NOVEMBER 2008

**Chief Executive  
Performance  
Agreement**

**Proforma and Guidelines**



STATE SERVICES  
COMMISSION

Te Komihana  
O Nga Tari Kawanatanga

**1998/99**

Sample  
Performance  
Agreement  
From  
New Zealand



# HM TREASURY

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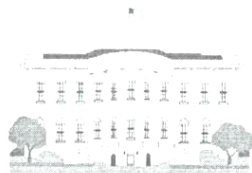
## Public Service Agreements in the UK

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P E R F O R M A N C E  
A G R E E M E N T

BETWEEN



THE PRESIDENT OF THE UNITED STATES  
WILLIAM JEFFERSON CLINTON

AND



THE SECRETARY OF ENERGY  
HAZEL R. O'LEARY

FISCAL YEAR 1995



PRINTED WITH SOY INK ON RECYCLED PAPER

Sample  
Performance  
Agreement  
From  
USA

Performance  
Agreement

between

The President of USA  
William Jefferson Clinton

and

The Secretary of Energy  
Hazel O'Leary

wage jobs and improves the quality of life

## We have changed how we do business.

To be successful in our business priorities we are implementing the second phase of National Performance Review initiatives and are changing how we do business. We are working to:

- Change the culture from reactive, command and control approaches to active, preventive solutions in environment, safety and health.

listen to our customers, and re-

## OUR VISION

*By the turn of the century, the Department of Energy through its leadership in science and technology will continue to advance U.S. economic, energy, environmental, and national security by being:*

- A major partner in world class science and technology through its national laboratories*

maintain a safe nuclear stockpile, safely dismantling weapons, and nuclear non-proliferation treaties.

- Clean up of contaminated weapons sites, pollution, and engage global environment; same determination that built our nuclear technologies at home and abroad.
- Achieve an investment-driven economy that wage jobs and improves the quality of life

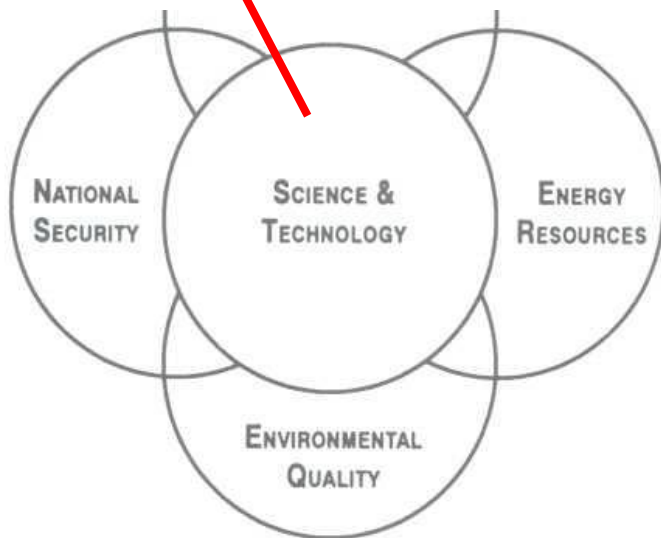
### We have changed how we do business.

To be successful in our business priorities we are implementing the second phase of National Performance Review initiatives and are changing how we do business. We are working to:

- Change the culture from reactive, command and control approaches to active, preventive solutions in environment, safety and health.
- Empower our employees, listen to our customers, and re-engineer major work processes.
- Flatten the bureaucracy, reduce organizational size, maintain or increase diversity while developing labor-management partnerships.

We have been measuring our progress against this Agreement since the beginning of the year. We are working to improve our measures to be more effective. We have a good plan, good people in charge, and a good Department of Energy with purpose and vision.

# DOE's Critical Success Factors



- future*
- Reduce the Global Nuclear Danger*
  - Restore, Stabilize, Protect, and Enhance the Environment*
  - Develop and Deploy Clean Energy Sources and Enhance Energy Security*
  - Stimulate U.S. Economic Productivity*



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# DOE's FY 1995 COMMITMENTS "AT A GLANCE"

## GOALS

	Page
<b>SCIENCE &amp; TECHNOLOGY</b>	
<p>Unleash the Department's deep reservoir of scientific and technological assets and capabilities—40,000 scientists and engineers, including Nobel Prize winners, and a \$30 billion laboratory system—to perform world class basic and applied research in commercial and national security arenas, that will advance U.S. security and economic productivity. DOE will continue to support a wide national science and technology portfolio, that spans from the supercomputing Initiative with its oil and gas exploration applications, to advanced materials research, with its automotive applications.</p>	5
	<ul style="list-style-type: none"><li><input type="checkbox"/> Improving Service Delivery At DOE Science Facilities</li><li><input type="checkbox"/> Advancing The State-Of-The-Art In High Performance Computing</li><li><input type="checkbox"/> Investigating The Causes Of Global Climate Change And Reducing Greenhouse Gas Emissions</li><li><input type="checkbox"/> Educating Young Scientists</li><li><input type="checkbox"/> Ensuring The Availability Of Isotopes For Health Care</li><li><input type="checkbox"/> Utilizing New Science For Our Nation's Security</li><li><input type="checkbox"/> Continuing Peaceful Uses Of The Atom</li><li><input type="checkbox"/> Diversifying America's Science Workforce</li><li><input type="checkbox"/> Bringing Science To The Information Infrastructure</li><li><input type="checkbox"/> Transferring Environmental Technologies</li></ul>
<b>NATIONAL SECURITY</b>	
<p>Support and maintain a safe, secure, reliable, and smaller nuclear weapons stockpile without underground nuclear testing; dismantle excess weapons; and provide technical leadership for national and global nonproliferation to reduce the continuing and new nuclear dangers in the world.</p>	7
	<ul style="list-style-type: none"><li><input type="checkbox"/> Reducing The Weapons Stockpile</li><li><input type="checkbox"/> Replacing Underground Testing With Science</li><li><input type="checkbox"/> Maintaining Reliability Of The Future Stockpile</li><li><input type="checkbox"/> Managing Workforce Restructuring</li><li><input type="checkbox"/> Leading Worldwide Control Of Weapons Materials</li><li><input type="checkbox"/> Strengthening Nonproliferation Worldwide</li><li><input type="checkbox"/> Managing DOE's Fissile Materials</li><li><input type="checkbox"/> Enhancing the Safety of Soviet-Designed Reactors</li></ul>
<b>ENVIRONMENTAL QUALITY</b>	
<p>Protect public health and the environment by understanding and reducing the environmental, safety, and health risks and threats from DOE facilities and develop the technologies and institutions required for solving domestic and global environmental problems.</p>	9
	<ul style="list-style-type: none"><li><input type="checkbox"/> Understanding The Risks</li><li><input type="checkbox"/> Reducing The Risks; Cleaning Up Nuclear Weapons Sites</li><li><input type="checkbox"/> Building Consensus On Waste Treatment</li><li><input type="checkbox"/> Finding Solutions To Spent Fuel Storage And Funding Issues</li><li><input type="checkbox"/> Ensuring Environmental Justice</li><li><input type="checkbox"/> Preventing Future Pollution</li><li><input type="checkbox"/> Negotiating International Sustainable Development Agreements</li></ul>



## DOE's CRITICAL SUCCESS FACTORS

The Department has adopted Total Quality Management principles to drive our National Performance Review initiatives to improve overall effectiveness and reduce costs. We will meet or exceed customer requirements and make DOE a professional and personally rewarding place to work. DOE has focused on **FOUR FACTORS** critical to successfully realizing the Department's mission:

### COMMUNICATION AND TRUST

Communicate our new post-Cold War missions in an environment of openness, communication, and trust.

### OUR COMMITMENTS

#### MAKING MORE INFORMATION AVAILABLE TO THE PUBLIC

Declassify more existing information, reduce the volume of new information and documents classified, and provide to millions of Internet subscribers worldwide an instant directory of previously classified material.

- Success will be measured by:
  - Classifying 20 percent fewer documents and declassifying 20 percent more information and documents than during FY 1994.
  - Continuing "Opennet," an on-line Internet bibliography of declassified DOE documents launched in FY 1994.
  - Identifying and setting priorities for declassification of the estimated 15 million classified documents in DOE's inventory by February 1995.

#### IMPROVING SERVICES TO CUSTOMERS AND STAKEHOLDERS


Develop techniques to improve delivery of services and products to customers and stakeholders.

- Success will be measured by:
  - Eliminating the pre-1990's backlog of headquarters Freedom of Information Act (FOIA) requests by January 1995.
  - Completing a second national survey of DOE stakeholders' attitudes, needs, and expectations of DOE by July 1995 to establish a baseline by which to measure future progress.
  - Implementing by July 1995 the Whistle-blower Initiative, which encourages DOE employees to identify Federal government waste, abuse and fraud while providing protection from reprisals.

## TERM OF AGREEMENT

This agreement will remain in effect until modified. It is expected that it will be updated at least annually to reflect significant changes in budget, policy, personnel, or other factors that may affect the accomplishment of objectives.

*This agreement represents our joint commitment to a Department of Energy that works better, costs less, and fulfills our sacred trust to the American People.*



HAZEL R. O'LEARY  
SECRETARY OF ENERGY



WILLIAM J. CLINTON  
PRESIDENT OF THE UNITED STATES

### MISCELLANEOUS

This agreement is intended only to improve the internal management of the Executive Branch and is not intended to and does not create any right, benefit, trust or responsibility, substantive or procedural, enforceable by law or equity by any party against the United States, its agencies, its officers, or any person.

### TERM OF AGREEMENT

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HAZEL R. O'LEARY  
SECRETARY OF ENERGY



WILLIAM J. CLINTON  
PRESIDENT OF THE UNITED STATES

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PERFORMANCE  
AGREEMENT

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BETWEEN



THE SECRETARY OF ENERGY  
FEDERICO PEÑA

AND

**EH**

THE ACTING ASSISTANT SECRETARY FOR ENVIRONMENT,  
SAFETY AND HEALTH  
PETER N. BRUSH

FISCAL YEAR 1998



EXECUTIVE OFFICE OF THE PRESIDENT  
OFFICE OF MANAGEMENT AND BUDGET

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# THE PRESIDENT'S MANAGEMENT AGENDA

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*FISCAL YEAR 2002*





## A Message From The President's Management Agenda...

*"Government should be results-oriented—guided not by process but guided by performance. There comes a time when every program must be judged either a success or a failure. Where we find success, we should repeat it, share it, and make it the standard. And where we find failure, we must call it by its name."* - **President George W. Bush**

# Executive Branch Management Scorecard

Current Status as of September 30, 2005

Progress in Implementing the President's Management Agenda

	Human Capital	Competitive Sourcing	Financial Perf.	E-Gov	Budget/Perf. Integration	Human Capital	Competitive Sourcing	Financial Perf.	E-Gov	Budget/Perf. Integration
AGRICULTURE	Yellow	Yellow	Red	Yellow	Yellow	Green	Green	Green	Green	Green
COMMERCE	Yellow ↓	Yellow	Green	Yellow	Yellow	Green	Green	Green	Green	Green
DEFENSE	Yellow	Red	Red	Red	Yellow	Green	Red	Yellow	Red	Green
EDUCATION	Yellow	Green ↑	Green	Yellow	Yellow	Green	Green	Green	Green	Green
ENERGY	Green	Yellow ↓	Green	Yellow	Green	Green	Yellow	Yellow	Green	Green
EPA	Yellow	Yellow	Green	Yellow ↓	Yellow	Yellow	Yellow	Green	Yellow	Green
HHS	Green	Green	Red	Yellow	Yellow	Green	Green	Green	Green	Green
DHS	Yellow	Yellow	Red	Red	Yellow	Green	Yellow	Yellow	Red	Green
HUD	Yellow	Yellow	Red	Yellow	Yellow	Yellow	Green	Green	Green	Green
INTERIOR	Green ↑	Green	Red	Red ↓	Yellow	Green	Green	Green	Red	Green
JUSTICE	Green ↑	Yellow	Red	Red ↓	Yellow	Green	Yellow	Yellow	Red	Green
LABOR	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green
STATE	Green	Yellow	Green	Yellow ↓	Green	Green	Green	Green	Green	Green
DOT	Green	Green	Red	Green	Green	Green	Green	Green	Green	Green
TREASURY	Yellow	Green	Red	Red	Yellow	Green	Green	Yellow	Green	Green
VA	Yellow	Red	Red	Red	Red	Green	Red	Yellow	Green	Green
AID	Yellow	Red	Red	Red ↓	Yellow	Green	Green	Green	Yellow	Green
CORPS	Green	Yellow	Red	Red	Red	Green	Green	Yellow	Red	Red
GSA	Yellow	Green	Green ↑	Yellow	Yellow	Green	Yellow	Green	Green	Green
NASA	Green	Green	Red	Yellow ↓	Green	Yellow	Green	Red	Yellow	Yellow
NSF	Green	Red	Green	Green	Green	Green	Yellow	Green	Green	Green
OMB	Yellow	Red	Red	Yellow	Red	Green	Green	Green	Green	Yellow
OPM	Green	Green	Red	Yellow	Yellow	Green	Green	Green	Green	Green
SBA	Yellow	Green ↑	Red	Green	Green	Green	Green	Green	Green	Green
SMITHSONIAN	Yellow ↑	Red	Red	Red	Yellow	Green	Red	Green	Green	Green
SSA	Green	Yellow	Green	Yellow	Green	Green	Green	Green	Green	Green

↑ ↓ Arrows indicate change in status since evaluation on June 30, 2005

# Executive Branch Management Scorecard

Current Status as of September 30, 2005

Progress in Implementing the President's Management Agenda

	Current Status as of September 30, 2005					Progress in Implementing the President's Management Agenda				
	Human Capital	Competitive Sourcing	Financial Perf.	E-Gov	Budget/Perf. Integration	Human Capital	Competitive Sourcing	Financial Perf.	E-Gov	Budget/Perf. Integration
AGRICULTURE	●	●	●	●	●	●	●	●	●	●
COMMERCE	● ↓	●	●	●	●	●	●	●	●	●
DEFENSE	●	●	●	●	●	●	●	●	●	●
EDUCATION	●	● ↑	●	●	●	●	●	●	●	●
ENERGY	●	● ↓	●	●	●	●	●	●	●	●
EPA	●	●	●	● ↓	●	●	●	●	●	●
HHS	●	●	●	●	●	●	●	●	●	●
DHS	●	●	●	●	●	●	●	●	●	●
HUD	●	●	●	●	●	●	●	●	●	●
INTERIOR	● ↑	●	●	● ↓	●	●	●	●	●	●
JUSTICE	● ↑	●	●	● ↓	●	●	●	●	●	●



Arrows indicate change in status since evaluation on June 30, 2005



## THE PRESIDENT'S MANAGEMENT AGENDA

### ▶ The Scorecard

#### How Does The Scoring Work ?

- [THE SCORECARD - September 30, 2005](#)
- [THE SCORECARD - June 30, 2005](#)
- [THE SCORECARD - March 31, 2005](#)
- [THE SCORECARD - December 31, 2004](#)
- [THE SCORECARD - September 30, 2004](#)
- [THE SCORECARD - June 30, 2004](#)
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- [THE SCORECARD - September 30, 2002](#)
- [THE SCORECARD - June 30, 2002](#)

The Executive Branch Management Scorecard tracks how well the departments and major agencies are executing the five government-wide management initiatives.

#### The Stoplight Scoring System

The scorecard employs a simple grading system common today in well-run businesses:

- **Green** for success,
- **Yellow** for mixed results, and
- **Red** for unsatisfactory.

#### Status

Scores for "status" (on the left side) are based on the [scorecard standards for success](#). The standards for success were developed by the President's Management Council and discussed with experts throughout government and academe, including the National Academy of Public Administration. They have subsequently been refined with continued experience implementing the President's Management Agenda. Under each of these standards, an agency is "green" or "yellow" if it meets all of the standards for success listed in the respective column, and "red" if it has any one of a number of serious flaws listed in the "red" column.



▶ **The Deputy Director for Mgmt**  
PMA updates, best practices, and general information.

▶ **Scorecard**  
Grading Implementation of the PMA.

▶ **Human Capital**  
Initiative updates, best practices, and general information.

▶ **Competitive Sourcing**  
Initiative updates, best practices, and general information.

▶ **Improving Financial Performance**  
Initiative updates, best practices, and general information.

▶ **E-Gov**  
Initiative updates, best practices, and general information.

▶ **Budget & Performance Integration**  
Initiative updates, best practices, and general information.

▶ **Sharing Best Practices**  
Stories of achieving breakthrough results in government.



HOME

THE PRESIDENT'S MANAGEMENT AGENDA

THE PRESIDENT & HIS LEADERSHIP TEAM

TOOLS FOR SUCCESS

## THE PRESIDENT'S MANAGEMENT AGENDA

### ▶ The Scorecard

#### How Does The Scoring Work?

- [THE SCORECARD - September 30, 2005](#)
- [THE SCORECARD - June 30, 2005](#)
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- [THE SCORECARD - June 30, 2004](#)



▶ The Deputy Director for Mgmt  
PMA updates, best practices, and  
general information.

**OPERATING EXPENDITURE PROGRAM AGREEMENT 1998  
MINISTRY OF PUBLIC WORKS**

1. **EXPENDITURE PURPOSE** .....: B52
2. **AGENCY** .....: Ministry of Public Works
3. **PROGRAM** .....: Roads and Bridges
4. **ACTIVITY** .....: Maintenance Service
5. **CODE** .....: 020400
6. **SOURCE OF AUTHORITY**
7. **OBJECTIVE**

To ensure that the Federal Roads and Bridges are constantly maintained at its original standard so that it remains in safe condition, is comfortable to use and is of light quality.

8. **POLICY/NEEDS ANALYSIS**

- (i) **Needs / Problems that need to be overcome/  
Scope of the Problem**
- (ii) **Reasons For the Need**
- (iii) **Alternative Policy and Strategies To Overcome Problems**

(A) **Alternative**

Road and Bridges maintenance could also be privatized. However in order to ensure quality of work by the private sector, supervision on the part of the government is still needed. The Road Maintenance Unit would be reduced in size in order to perform purely supervision only.

(B) **Strategy**

9. **CLIENTS**

- i) **Direct Clients**  
Roads Users
- ii) **Indirect Clients**  
Ministry of Works

10. **FUNCTIONS**

11. **RESOURCES**  
(Refer to Appendix ABM-2A (KJ))
12. **OUTPUT SPECIFICATIONS:**

Sample  
Performance  
Agreement  
From  
Malaysia

Performance Indicators	Last Year 1996			Current Year 1997		New Year 1998	
	Agreed	Achieved	Tolerable Variance Range	Proposal	Tolerable Variance Range	Proposal	Tolerable Variance Range
<b>ii) SCHEDULED MAINTENANCE</b>							
<b>(a) Road resurfacing</b>							
1. Length of road which is resurfaced	345	355	3	285		319	
2. % km of road resurfaced following set standards	100	100	5	1001	5	100	5
3. % km of road resurfaced following set time	100	100	5	100	5	100	5
4. Cost per km of resurfaced road	130,789	117,764		114,475		117,906	
<b>(b) Road Widening</b>							
1. Length km of road widened	20	20	0	39		41	
2. % km of road widened according to the set standards	100	100		100	5	100	5
3. % km of road widened according to the set time	100	100	5	100	5	100	5
4. Cost per km of road widened	100,789	105,388		100,650		100,530	

Sample Performance Agreement

### 13. IMPACT INDICATOR

<b>Impact Indicator</b>	<b>Actual Achieved Previous Year 1996</b>	<b>Current Year's Achievement 1997</b>	<b>Estimate For New Year 1998</b>
(i) Decline in the rate of complaints from road users.	NA	NA	NA
(ii) Percentage of roads below the Pavement Condition Index of <2.5	75%	75%	77%
(iii) Decline in the rate of road accidents as a road conditions.	9.8%	9.7%	9.6%





PERFORMANCE CONTRACT

BETWEEN

THE GOVERNMENT OF KENYA

AND

THE PERMANENT SECRETARY  
MINISTRY OF AGRICULTURE

FOR THE PERIOD  
1<sup>ST</sup> JULY 2006 TO 30<sup>TH</sup> JUNE 2007

PERFORMANCE CONTRACT

1<sup>ST</sup> JULY 2006 TO 30<sup>TH</sup> JUNE 2007

This Performance Contract (hereinafter referred to as "Contract") is entered into between the Government of Kenya (hereinafter referred to as GoK), represented by the Permanent Secretary, Secretary to the Cabinet and Head of Public Service of P.O. Box 30510, Nairobi, (Together with its assignees and successors) of the one part, and the Permanent Secretary/Accounting officer, Ministry of Agriculture (hereinafter referred to as "the Permanent Secretary/Accounting officer"), (together with its assignees and successors) of P.O. Box 30028 Nairobi of the other part.

WHEREAS,

The GoK is committed to ensuring that public offices are well managed and cost less in delivering efficient and quality service to the public;

The Government recognizes that Ministries hold a vital key to improving performance and sustaining the faith of the Kenyan people in the Government;

The purpose of this Performance Contract is to establish clarity and consensus about priorities for the Ministry's management;

This Contract represents a basis for continuous improvement as we reinvent our Government to meet the needs and expectations of the Kenyan people;

From this Contract, should flow the program and management priorities of the Ministry;

NOW THEREFORE, the parties hereto agree as follows:

# Results MINNEAPOLIS

Police

July 21, 2009



# R F D

Results-Framework Document

For

Department of Rural Development  
Government of India

(2010-11)



# R F D

Results-Framework Document

for

Government of Kerala  
(Health and Family Welfare)

(2011-2012)



# R F D

Results-Framework Document

for

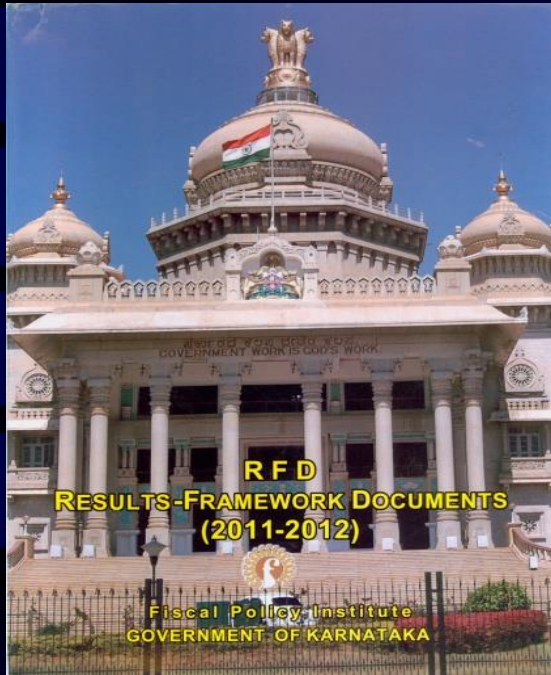
Government of Karnataka

(Department of Agriculture)

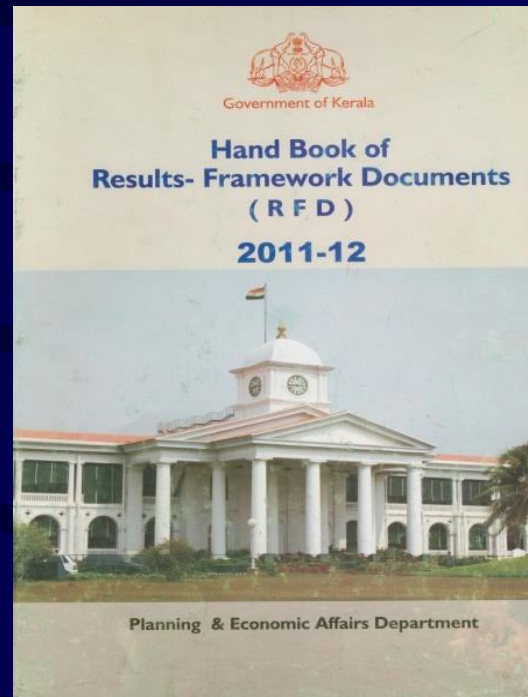
(2011-2012)



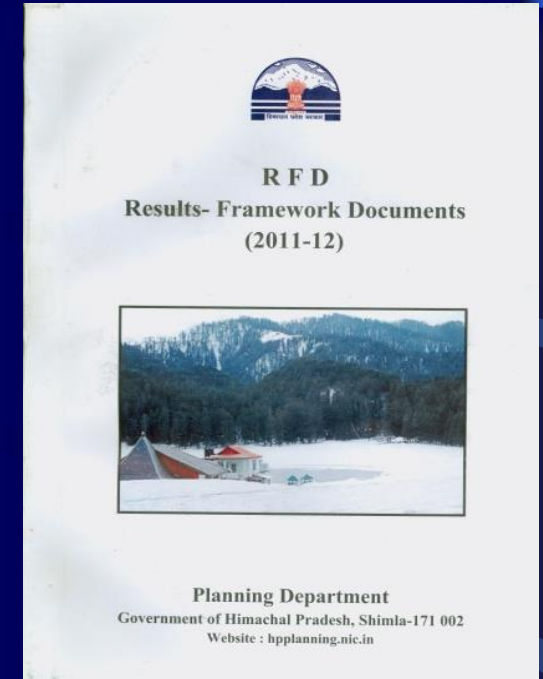
Government of Himachal Pradesh  
Results-Framework Document (R F D)  
for  
(Agriculture)  
(2011-2012)



**Karnataka**



**Kerala**



**Himachal Pradesh**



**RFD**  
**RESULTS-FRAMEWORK DOCUMENT**  
**(2012-2013)**



Performance Management Cell  
**PLANNING DEPARTMENT**  
**HARYANA**

**Haryana**



# Presentation Outline

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- ✓ What do we do?
- ✓ What is new about it?
- ✓ Why do we do it this way?

4. Impact of what we do

# Impact of PMES / RFD

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## Caveats

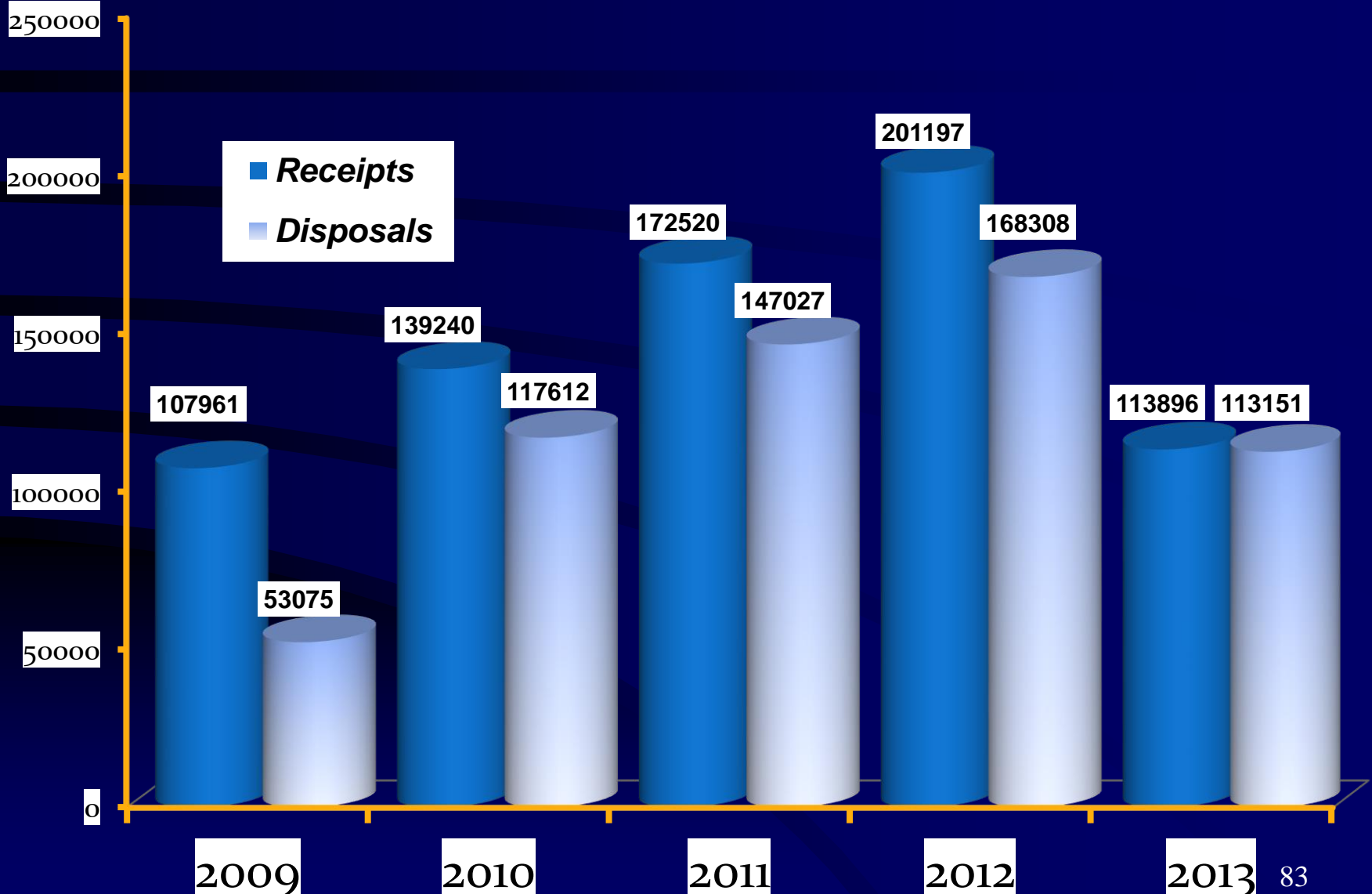
1. System not fully implemented
  - Coverage (all remaining departments should be covered)
  - Results (results should be declared officially)
  - Consequence (there should be explicit consequence)
2. Impact follows 2-3 years after full implementation

## Quantitative Evidence

### 1. Impact on departments

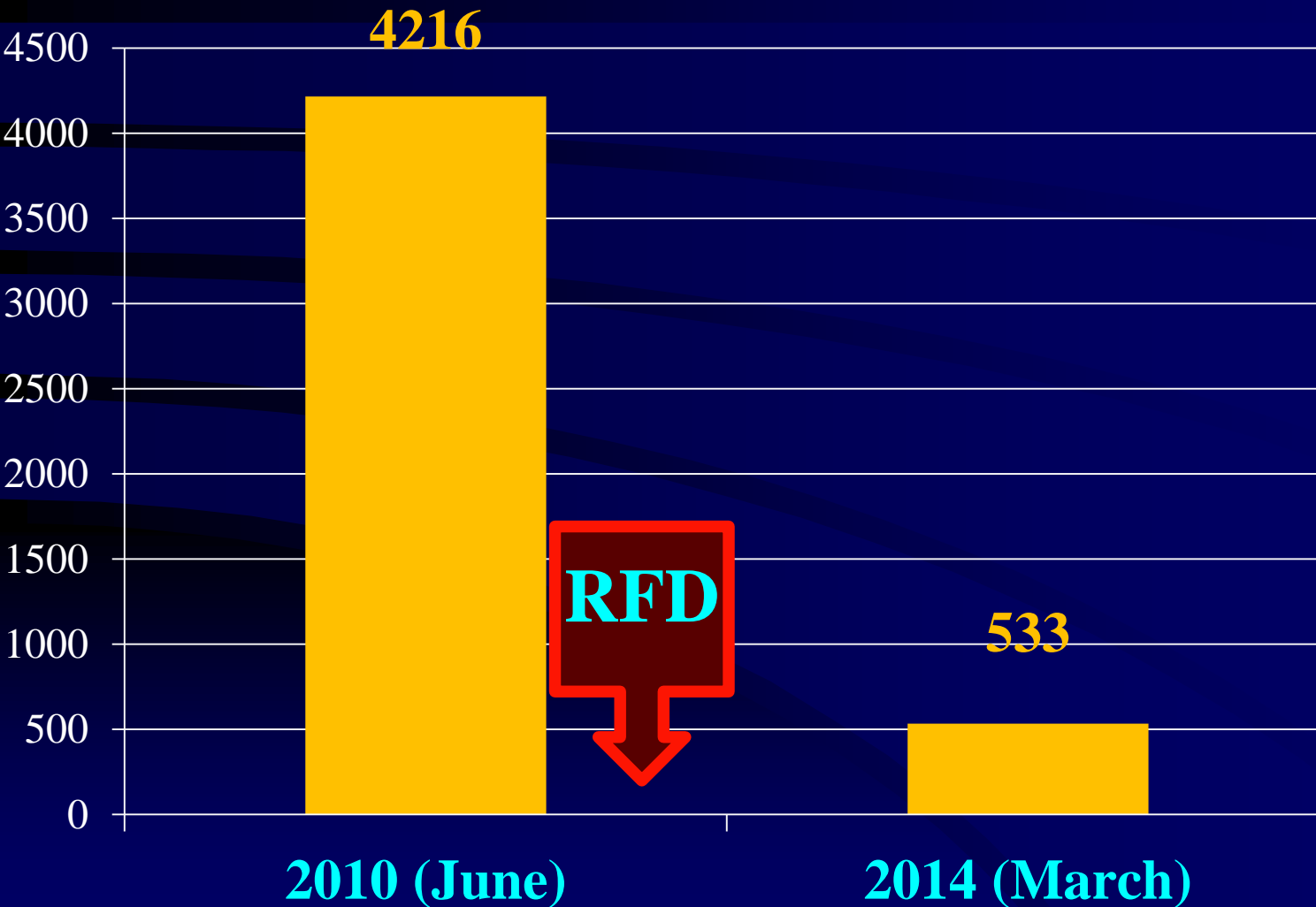
# Impact of RFD

## Grievance Redress in GOI



# Impact of RFD

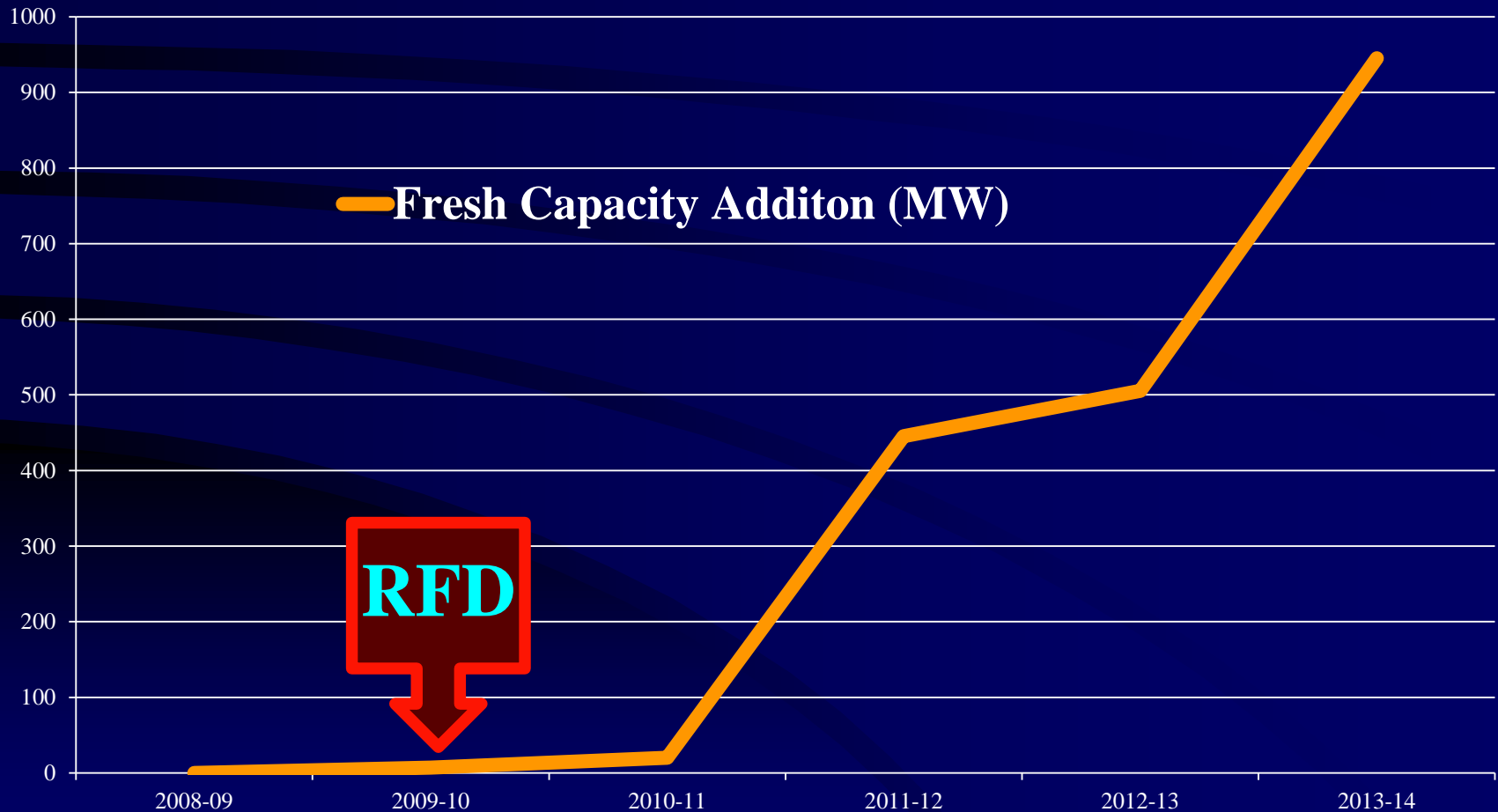
## Reduction in Pendency of CAG Paras in GOI



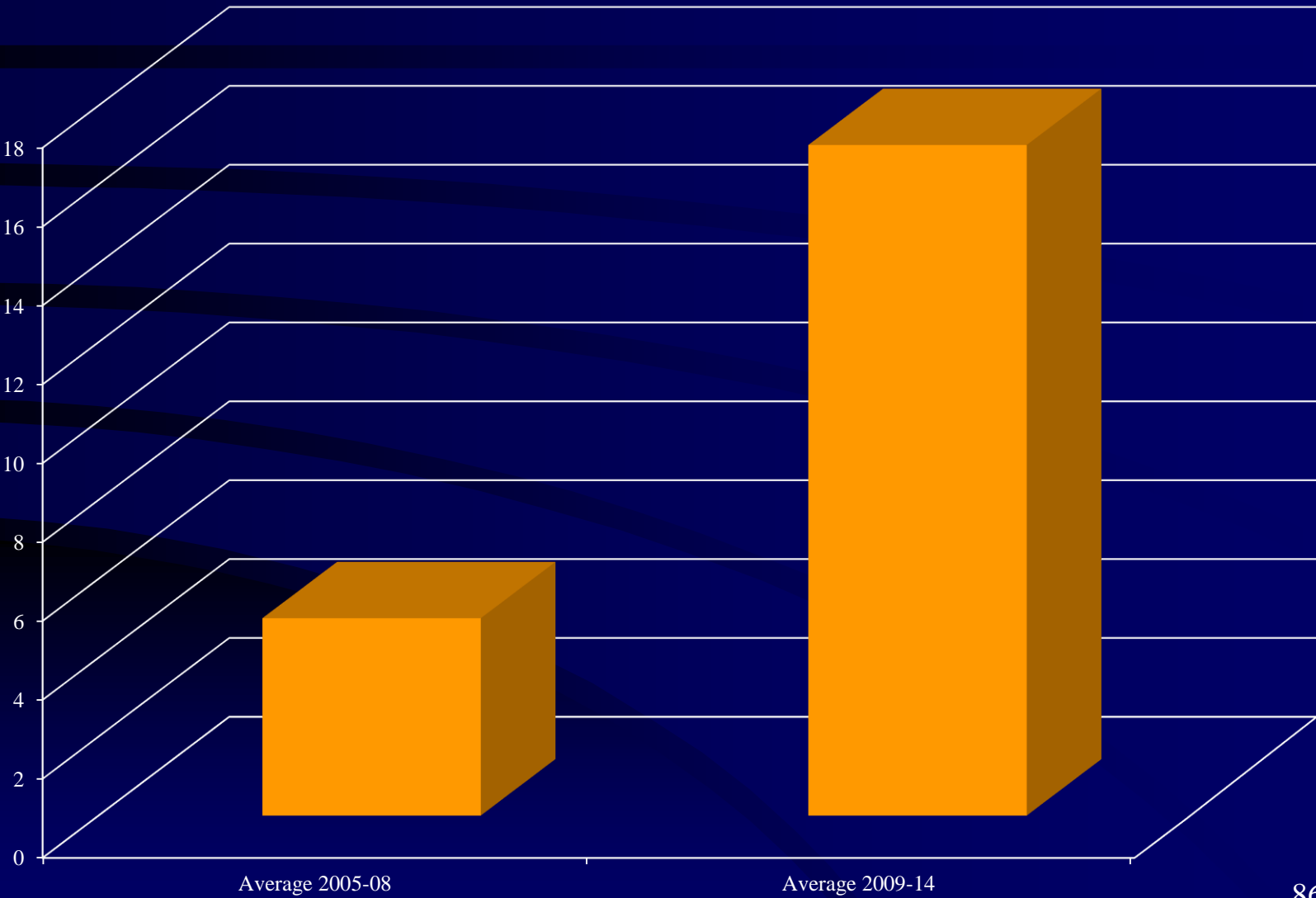
# Impact of RFD

## Solar Power - Fresh Capacity Addition

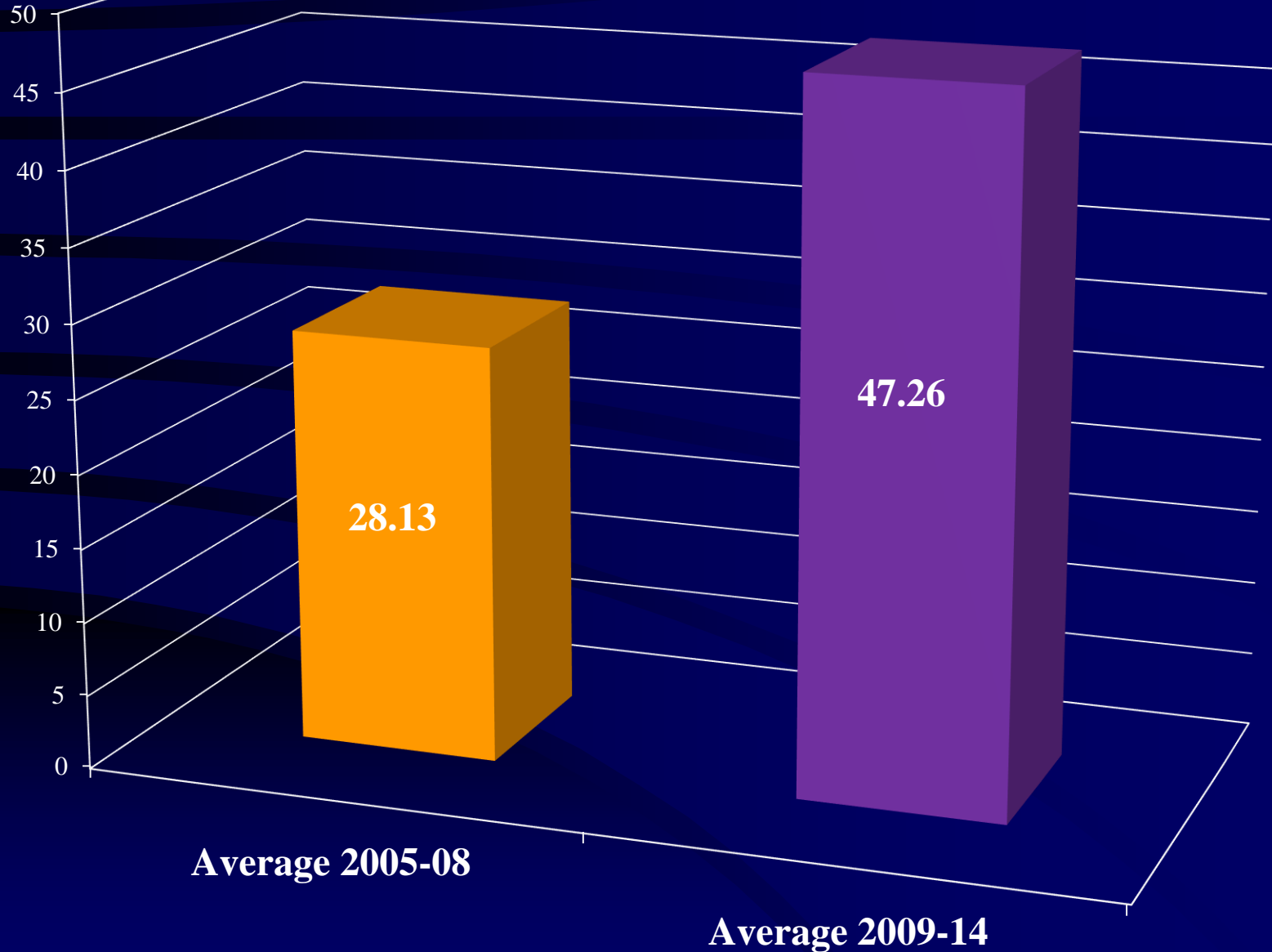
Ministry of New and Renewable Energy



# Coverage of SC students for Post-matric scholarship



# Coverage of SC students for Post-matric scholarship



# Impact of RFD

**Rural Teledensity** (Average Annual Growth Rate)

Department of Telecommunications



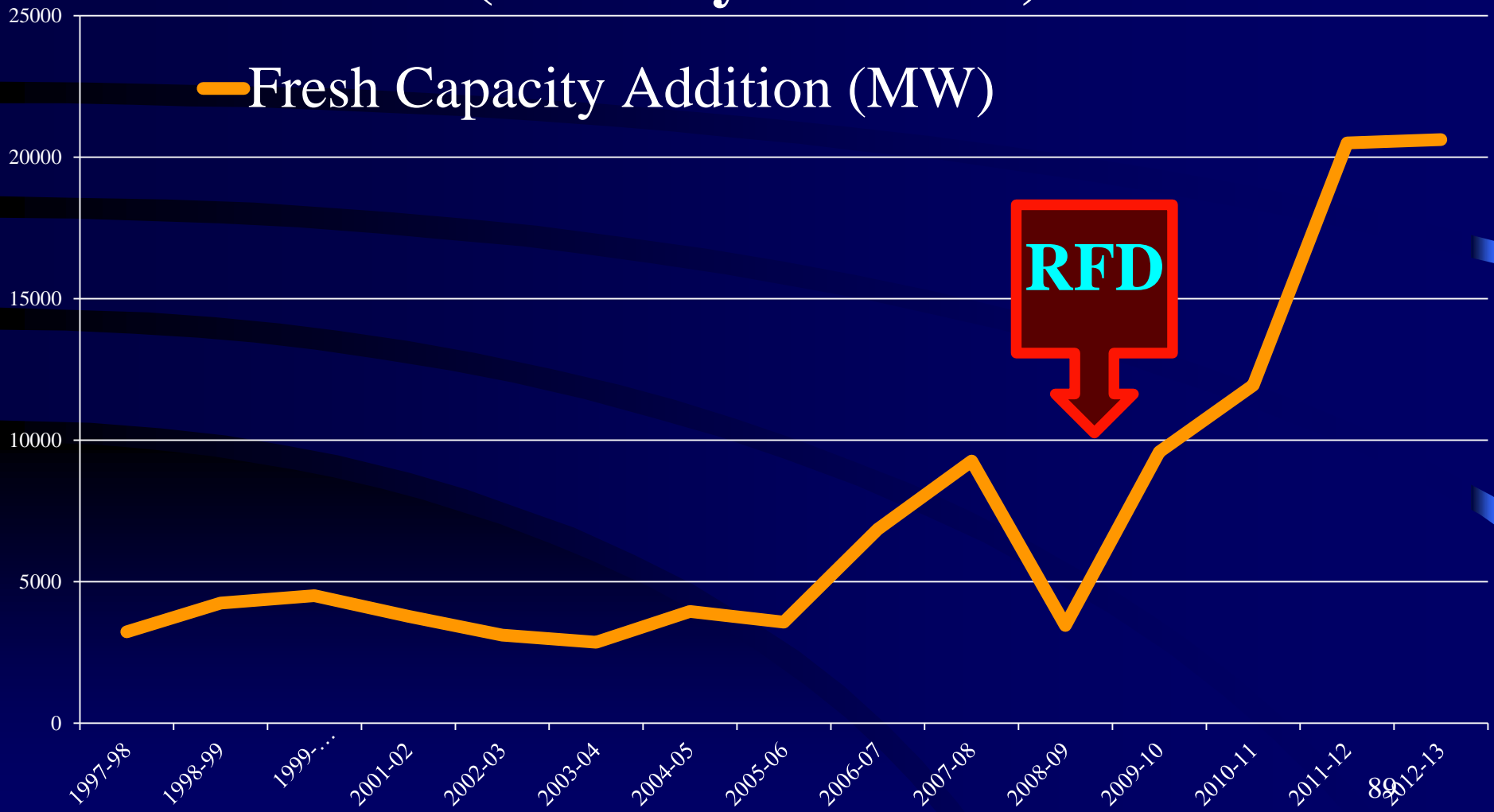
**2005-06 to 2009-10**  
**(Pre - RFD period)**

**2009-10 to 2013-14**  
**(Post - RFD period)**



# Impact of RFD

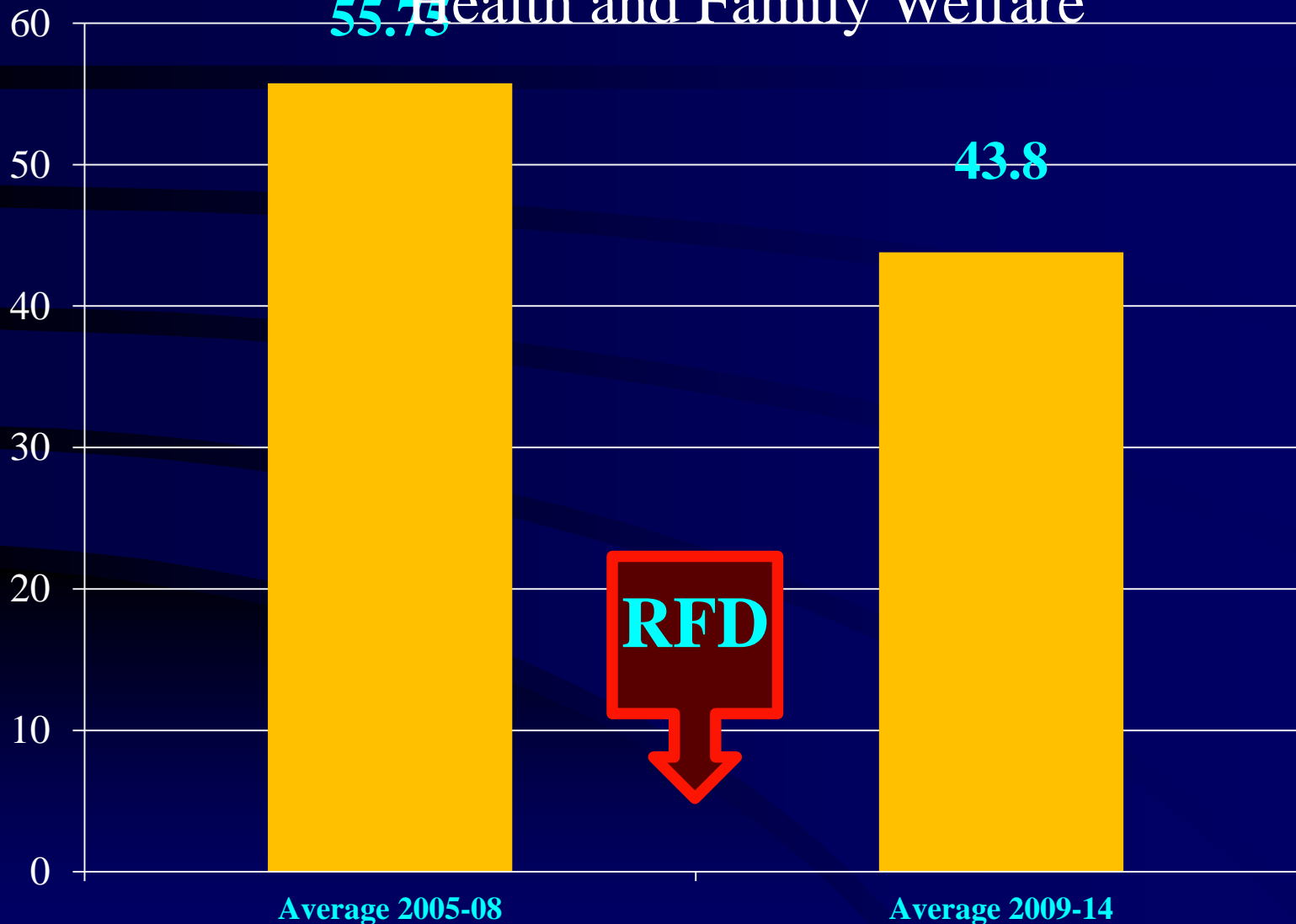
## Fresh Capacity Addition of Power (Ministry of Power)



# Impact of RFD

Reduction in Infant Mortality Rate (IMR) per 1000 live births

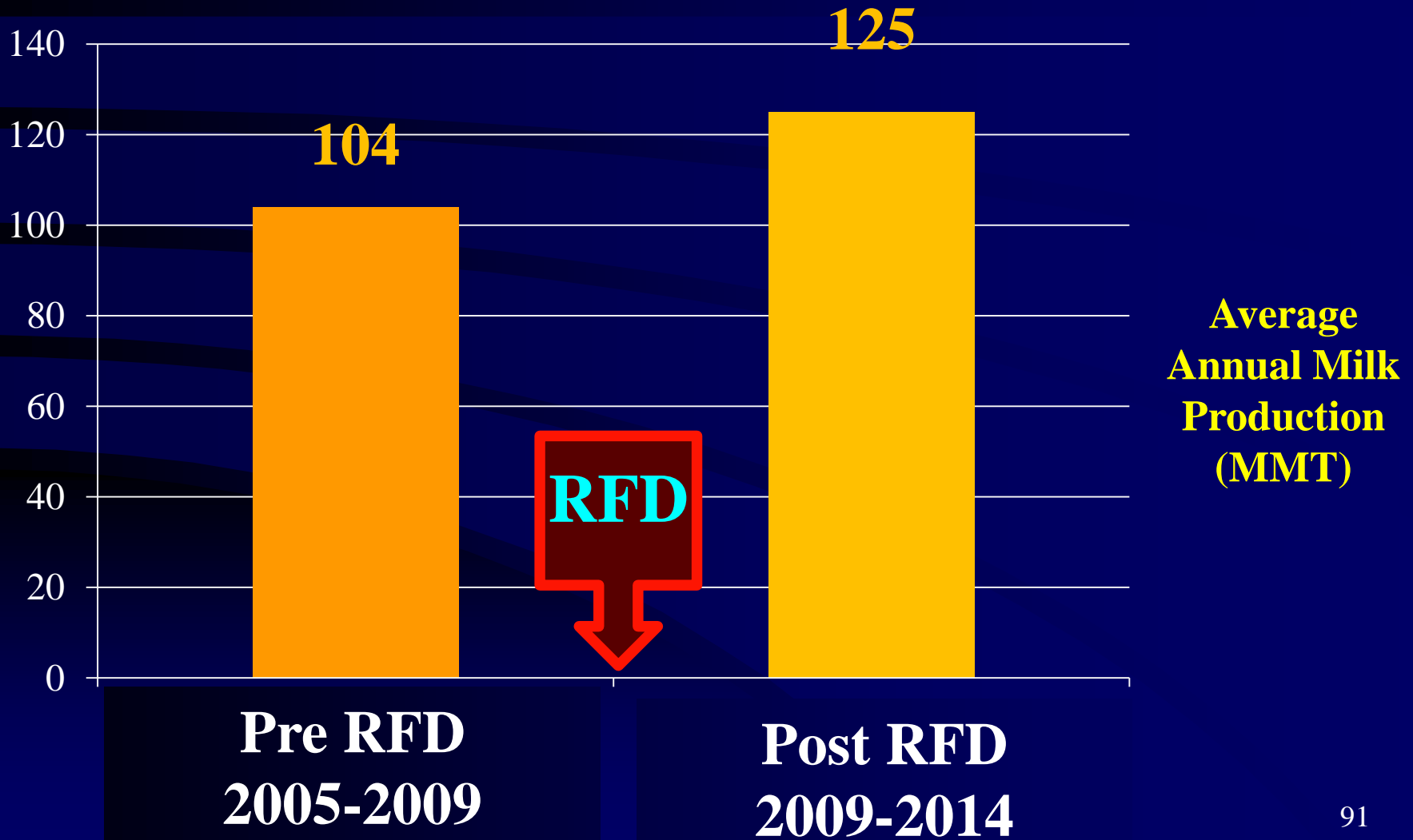
Health and Family Welfare



# Impact of RFD

## Increase in Enhancement of Milk Production

Department of Animal Husbandry, Dairying and Fisheries



# Impact of PMES / RFD

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## Quantitative Evidence

1. Impact on departments
2. Overall average of 83% for departmental performance over 5 years

2009 - 2010	2010 - 2011	2011- 2012	2012- 2013	2013- 2014	Average
89.16	85.44	81.54	76.46	82.38	82.99

# Impact of PMES / RFD

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## Qualitative Evidence

### 1. Findings of Ph. D. thesis on RFD

**Conclusion that RFD has made a huge impact through**

- a. Development of a template to assess the performance of Ministries objectively
- b. Facilitating objective performance appraisal of civil servants
- c. Inculcating performance orientation in the civil servants by channelizing their efforts towards meeting organizational objectives

# Impact of PMES / RFD

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## Qualitative Evidence

- d. Facilitating a critical review of the schemes, programs and internal organisational processes
- e. Facilitating the policy makers to re-evaluate and redefine the Ministry's 'Vision, Mission and Objectives'

## 2. New Initiatives Introduced

- a. Complete liquidation of stocks procured up to 2012-13
- b. Procurement in non-conventional states
- c. Preparation of National Register for GOI Lands

# Impact of PMES / RFD

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## Qualitative Evidence

### 3. Larger Outputs

Target for Housing for Bidi workers increased from 10 K to 25 K (150% increase)

### 4. More Efficient Service Delivery

Target for settlement of EPF claims in 20 days 69 % to 90 %

### 5. Procedural Reforms

Introduced Award for best employer of Ex-Service Men (ESM)

# Impact of PMES / RFD

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## Qualitative Evidence

### 6. Better Decision Making

- a. Timelines as Success Indicator have accelerated the process of decision making, issue of sanctions and release of funds, etc.
- b. helped in development and adoption of better and regular systems of monitoring and faster introduction of IT based monitoring systems.



# Impact of PMES / RFD

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## Qualitative Evidence

### 6. Better Decision Making

- c. With a focus on RFDs for the Responsibility Centres which are directly involved in implementation of the schemes, the implementation of the programmes and its monitoring has improved.
- d. RFDs clearly identify the shortcomings and critical areas of concern in each Min/Dept.

# Impact of PMES / RFD

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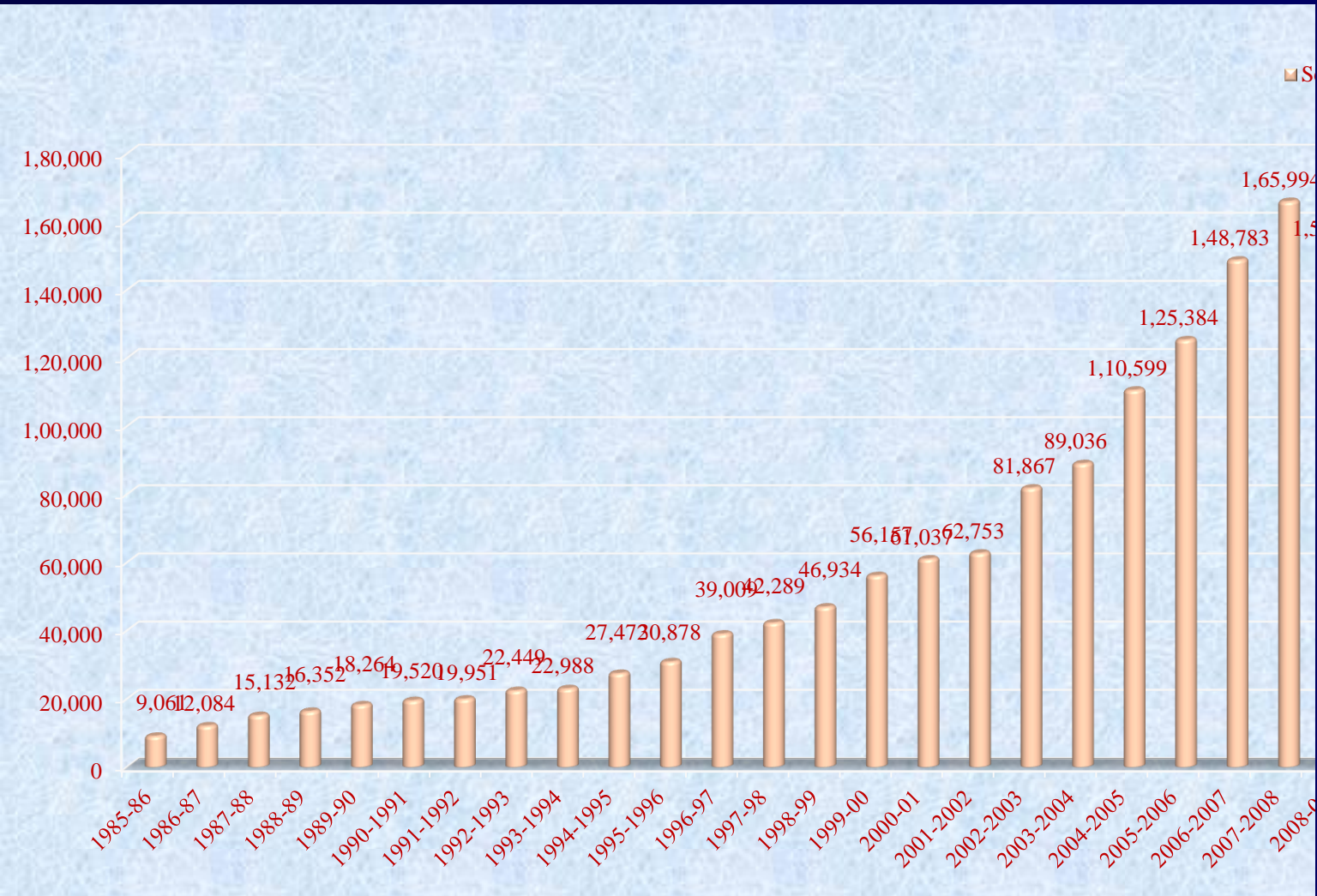
## Qualitative Evidence

### 6. Impact of MOUs

MOUs represent the counterpart of RFDs in public enterprises. Given that they have had an overall significant positive impact on the performance of Central Public Sector Enterprises (CPSEs), it is reasonable to expect RFDs to have a similar impact on the performance of Government Departments.

Some data on CPSEs' performance is presented next...

# Contribution of CPSEs to Exchequer



**THANK YOU**

**Professor Prajapati Trivedi**

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