

NATIONAL MONITORING AND EVALUATION MANUAL



**Planning Commission
Royal Government of Bhutan**

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CHAPTER 4

INSTITUTIONAL SETUP FOR MONITORING AND EVALUATION

This chapter defines the levels for monitoring and evaluation; and the roles and responsibilities of key entities engaged in different aspects of M&E under NMES.

4.1 M&E Levels

Monitoring and evaluation in the country shall be conducted at four levels of functional and administrative hierarchy as given below:

- i. National Level
- ii. Central Ministry/Agency Level
- iii. Dzongkhag Level
- iv. Gewog Level

There shall be an appropriate institutional setup at each level for data collection, verification, reporting, reviewing and feedback mechanisms. As far as possible, the existing institutional structures at different administrative levels have been prescribed in this Manual. There shall be systematic linkage between the four levels for reporting, review and communicating the feedback. The different levels and their linkages are shown in the flow chart in Figure 4.1

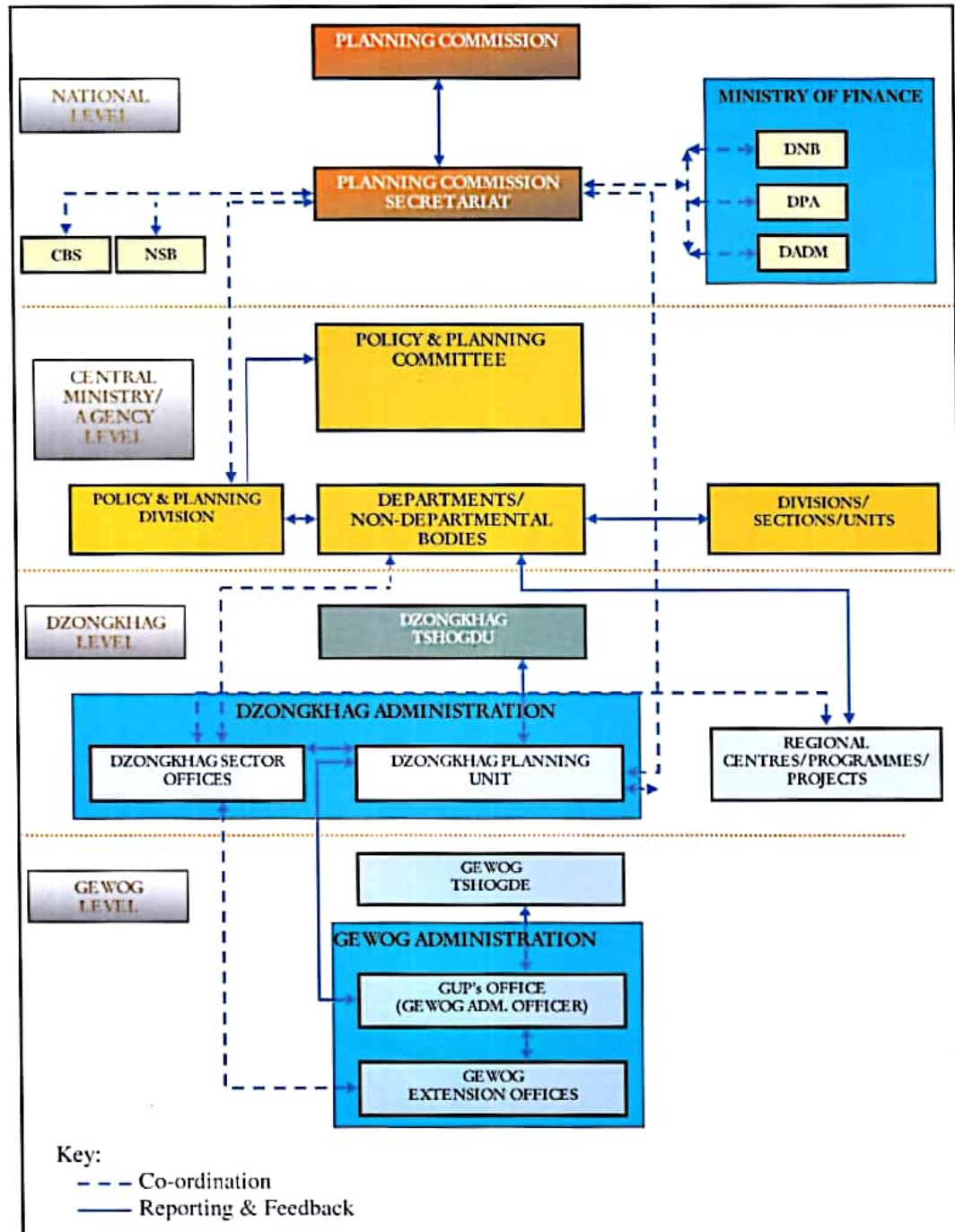
At each level, an **M&E Review Committee** shall be instituted as a reviewing and decision-making body for issues related to development policies, programmes and projects.

An **M&E Coordinator or focal point** at each level shall be appointed for coordinating M&E activities and supporting the M&E Review Committee.

Table 4.1: M&E Review Committees & Coordinators at different levels

M&E Level	M&E Review Committee	M&E Coordinator/ Focal Point	Main Focus of M&E	Frequency of Review
National	Planning Commission	Planning Commission Secretariat	Outcomes, Impacts, development policies & cross-sectoral issues	Annual, Mid-Term, End of Plan (Terminal)
	Department of National Budget (with Department of Public Accounts)	Department of National Budget	Budget Performance at Output level	Annual
Central Ministry/ Agency	Policy & Planning Committee	Policy & Planning Division	Activities, Outputs, Outcomes & Impacts	Semi-Annual
Dzongkhag	Dzongkhag Tshogdu	Dzongkhag Planning Unit	Activities & Outputs	Semi-Annual
Gewog	Gewog Tshogde	Gewog Administrative Officer	Activities & Outputs	Semi-Annual

Figure 4.1 M&E Institutional Setup & Functional Linkages



The following sections describe the primary roles and responsibilities of M&E Review Committee, M&E Coordinator/Focal Point and other key entities at each level.

4.2 Primary M&E Roles and Responsibilities ¹

4.2.1 National Level

Planning Commission (PC)

The PC shall be the M&E Review Committee at the National level.

- i. The roles and responsibilities of the M&E Review Committee at the National Level shall include:
 - Review the implementation progress of broad national development goals, strategies and achievements of desired outcomes and impacts
 - Review the implementation progress of international goals and targets such as MDGs and SDGs, etc.
 - Review cross-sectoral policies, strategies and other issues related to planning and implementation.
 - Issue policy directives and recommendations for reorientation and re-planning (when necessary) of objectives, strategies and programmes of line ministries, agencies, Dzongkhags and Gewogs.
 - Ensure that the ministries and agencies are accountable for the achievements of outcomes and impacts of their respective sectors.

Planning Commission Secretariat (PCS)

The PCS shall function as the National M&E Coordinator. The Policy and Research Division within PCS shall serve as the focal point for all matters related to M&E. The primary M&E roles and responsibilities of PCS shall be to:

- Implement and monitor the institutionalization of NMES at all levels.
- Improve and update the NMES.
- Provide technical guidance and support to the M&E Coordinators/Focal

¹ M&E roles and responsibilities for the Thromdes has been left out for the time being due to lack of clarity of their status in development planning and implementation.

- Points in the line ministries/agencies, Dzongkhags and Gewogs.
- Conduct trainings and workshops to build the capacity of M&E personnel in the line ministries/agencies, Dzongkhags and Gewogs.
 - Function as the Secretariat to National M&E Review Committee.
 - Prepare Annual M&E Plan and Budget.
 - Organize Annual M&E Review Meetings.
 - Coordinate and conduct Mid-Term Review and Terminal Review Meetings.
 - Analyze and prepare consolidated progress reports and tabling them to the PC meetings.
 - Record minutes during M&E Review Meetings.
 - Communicate policy directives and recommendations of the PC to the line ministries/agencies, and Dzongkhags.
 - Take follow-up actions on the policy directives and recommendations of PC.
 - Form a National level *Mobile Monitoring Team* (MMT) and undertake regular field visits to monitor and assess the implementation of major programmes and projects.
 - Commission periodic evaluations and impact assessments on thematic areas and issues.
 - Carry out post-adoption evaluations of development policies as required by *GG Plus Report (2005)*.
 - Conduct joint evaluations or participate as national counterpart for major evaluations commissioned by donor agencies for their programmes and projects in the country.
 - The PCS shall be the central repository for all evaluations conducted in the country and shall maintain records and copies of all evaluations.

To facilitate better coordination and effective undertaking of M&E, PCS shall maintain close functional linkages with PPDs of line ministries/agencies and Dzongkhag Planning Units. In addition, at the national level, PCS shall also maintain close functional linkages with the following agencies:

Department of National Budget (DNB) and Department of Public Accounts (DPA)

The PCS shall work closely with DNB and DPA in linking planning, budgeting and accounting systems.



The DNB in coordination with DPA and PCS will issue guidelines on procedures and forms for preparing TYRPB and APB.

Department of Aid and Debt Management (DADM)

The PCS shall coordinate with DADM for M&E requirements of donor agencies. DADM shall be the focal point for information pertaining to all donor assistance in the country.

PCS in coordination with DADM shall conduct joint evaluations or participate as national counterpart for major evaluations of programmes and projects assisted by donor agencies. The specific roles and responsibilities of PCS and other national counterparts in such joint evaluations shall be agreed with the individual donor agency before commissioning the evaluation.

National Statistical Bureau (NSB)

The PCS shall liaise closely with NSB for data collection and analysis required for M&E. The PCS shall work in partnership with NSB in collecting data such as baseline data, designing and conducting surveys particularly during evaluations and impact assessments.

Centre for Bhutan Studies (CBS)

The indicators from the Bhutan Development Index developed by CBS shall be used as one of the main basis for the outcome and impact evaluations to assess the progress towards achievement of GNH. PCS shall collaborate with CBS in undertaking such evaluations.

4.2.2 Central Ministry/Agency Level

Policy and Planning Committee (PPC)

The PPC or equivalent setup will be the M&E Review Committee at the Central Ministry/Agency level. Ministries/Agencies which do not have such a body are recommended to establish an appropriate setup.

- i. Heads of the Departments/Non-Departmental Bodies within the Ministry/Agency will be the members of the PPC.
- ii. The Head of the Ministry/Agency shall chair the PPC Meetings.



- iii. The PPC or equivalent set-up shall meet at least bi-annually to review the progress of the plans within the Ministry/Agency.
- iv. The roles and responsibilities of the M&E Review Committee at the Ministry/Agency level shall include:
 - Review and approve the TYRPB and APB of the Departments, Non-Departmental Bodies, Divisions, Regional Centres, Programmes and Projects before submitting to Ministry of Finance.
 - Review the implementation status of programmes and projects within the Ministry/Agency.
 - Review the achievements of outputs, outcomes and impacts of programmes and projects.
 - Review specific sector policies, strategies and operational issues of programmes and projects.
 - Issue directives and feedback for readjustment or reprioritization and resolve operational issues of programmes and projects.
 - Endorse the Sector Mid-Term and Terminal Progress Reports for submission to Planning Commission.
 - Ensure that the implementing entities are accountable for the performance of their respective programmes and projects.

Policy and Planning Division (PPD)

PPD or an equivalent entity in the line ministries and agencies will be designated as the M&E Coordinator for M&E at the Ministry/Agency level. Within the PPD or its equivalent, an M&E Section or Unit shall be established for day to day management and coordination of M&E activities. The key M&E roles and responsibilities of PPD shall be to:

- Coordinate with Finance Division/Section² during the preparation of TYRPB and APB and verifying the progress data of the Ministry/Agency.
- Institute procedures and requirements prescribed in the NMES within the Ministry/Agency.
- Provide technical guidance and support on M&E to the Programme or Project Managers and other implementing entities within the Ministry/ Agency.
- Ensure that the implementing entities submit data or progress reports as per the prescribed schedules.

² Finance Division/Section includes Budget and Accounts Officers

- Verify data submitted by the implementing entities.
- Identify the actual or potential implementation problems and issues encountered by implementing entities for timely remedial actions.
- Analyse and prepare consolidated progress reports and tabling them to the PPC.
- Record minutes during M&E Review Meetings.
- Communicate directives and recommendations of PPC to the implementing entities and other relevant agencies.
- Take follow-up actions on the directives and recommendations of the PPC.
- Conduct evaluations of selected programmes and projects within the Ministry/Agency as and when required.
- Coordinate the preparation of Mid-Term and Terminal Progress Reports.
- Liaise closely with the M&E focal point at the PCS on NMES implementation and other related issues.
- Form a Ministry/Agency level MMT and undertake regular field visits to monitor and assess the implementation of programmes and projects.

Departments, Non-Departmental Bodies, Divisions, Regional Centres, Programmes and Projects within Ministry/Agency

The Departments, Non-Departmental Bodies, Divisions, Regional Centres, Programmes and Projects shall be responsible for implementing the programmes and projects. The main M&E roles and responsibilities of Programme or Project Managers and other implementing staff of the Departments, Non-Departmental Bodies, Divisions, Regional Centres, Programmes and Projects shall be to:

- Prepare their respective TYRPB and APB and submit to the PPD.
- Collect and record the progress data on a regular basis.
- Liaise closely with the Finance Divisions/Sections for collecting accurate and timely budget and expenditure data.
- Readjust or reprioritize the plans whenever necessary based on the directions and recommendations of the PPC.

The above setup is the minimum requirement for M&E at the Ministry/Agency Level. The Departments, Non-Departmental Bodies, Divisions, Regional Centres, Programmes and Projects within the Ministry/Agency may set up appropriate internal management structures and procedures for efficient

management of their programmes and projects.

The implementing entities may be required to follow the M&E procedures of the donors for externally funded programmes and projects. However, donor agencies shall be encouraged to harmonise their M&E systems with NMES to minimize duplications.

4.2.3 Dzongkhag Level³

Dzongkhag Tshogdu (DT)

DT will be the M&E Review Committee at the Dzongkhag level.

Besides the DT members, Dzongda, Dzongkhag Planning Officer and Dzongkhag Budget and Accounts Officers, other Sector Heads will participate during the Review Meetings. The Chairperson of DT shall chair the Review Meetings. The DT shall meet at least two times a year to review the progress of the Dzongkhag plans. The roles and responsibilities of the M&E Review Committee at the Dzongkhag level shall be to:

- Review and approve the TYRPB and APB of the Dzongkhag before submitting to Ministry of Finance.
- Review the implementation status of the Dzongkhag and Gewog Plans (consolidated progress reports of Gewogs).
- Identify implementation problems and issues.
- Issue directives and feedback for readjustment or reprioritization of plans and resolving implementation problems and issues.
- Endorse the Dzongkhag Annual Progress Reports, Mid-Term and Terminal Reports for submission to Planning Commission.
- Ensure that the implementing entities in the Dzongkhag are accountable for the performance of their respective programmes and projects.

Dzongkhag Planning Unit (DPU)

The DPU will serve as the M&E Coordinator at the Dzongkhag level. DPU will work under the guidance and direction of the Dzongda. The key M&E roles and responsibilities of DPU shall be to:

³ For Dzongkhags with Dungkhags under them, the Dungkhags may arrange similar process adopted at the Dzongkhag level to review the progress of the Gewogs under them.

- Coordinate with Dzongkhag Finance Section during the preparation of Three-Year Rolling Budgets and Annual Budgets of the Dzongkhag and verification of progress data.
- Institute procedures and requirements prescribed in the NMES for the Dzongkhag and Gewogs.
- Provide technical guidance and support on M&E to the Sector staff in the Dzongkhag and M&E Focal Points in the Gewogs.
- Ensure that the implementing entities in the Dzongkhag submit data or progress reports as per the prescribed schedules.
- Verify data submitted by the implementing entities in the Dzongkhag.
- Identify actual or potential implementation problems and issues encountered by the implementing entities for timely remedial actions.
- Analyse and prepare consolidated progress reports of Dzongkhag Plans.
- Prepare consolidated progress reports of Gewog Plans in consultation with the M&E Focal Points in the Gewogs.
- Record minutes during M&E Review Meetings.
- Communicate directives and recommendations of DT to the implementing entities and other relevant agencies.
- Take follow-up actions on the directives and recommendations of DT.
- Conduct evaluations of selected programmes and projects within the Dzongkhag as and when required.
- Work closely with the Dzongkhag Statistical Officer for collecting baseline and other relevant data in the Dzongkhag.
- Coordinate the preparation of Mid-Term and Terminal Progress Reports for submission to PC.
- Liaise closely with the M&E focal point at the PCS on NMES implementation and other related issues.
- Form a Dzongkhag level MMT and undertake regular field visits to monitor and assess the implementation of programmes and projects in the Dzongkhag and its Gewogs.

Dzongkhag Sector Offices in the Dzongkhag

The Sector Offices in the Dzongkhag: Education, RNR, Health, Engineering, Civil etc., shall be responsible for implementing the programmes and projects in the Dzongkhags. The main M&E roles and responsibilities of the Sector Offices and other implementing staff in the Dzongkhag shall be to:

- Prepare their respective Sector TYRPB and APB and submit to DPU.
- Collect and record the progress data on a regular basis (preferably on a weekly or monthly basis).

- Liaise closely with the Dzongkhag Budget and Accounts Officers for collecting accurate and timely budget and expenditure data.
- Readjust or reprioritize the plans whenever necessary based on the directions and recommendations of the DT.

For the programmes and projects executed by the Central Agencies, Regional Centres, Programmes and Projects in the Dzongkhags, these agencies will be required to coordinate with the relevant Sector Heads and DPU in making suitable management arrangements to avoid duplications in data collection, reporting and reviewing.

The above setup is the minimum requirements for M&E at the Dzongkhag Level. The DT or Dzongkhag Administration may set up appropriate internal mechanisms for efficient decision making within the Dzongkhag.

4.2.4 Gewog Level

Gewog Tshogde (GT)

The GT will be the M&E Review Committee at the Gewog level. Besides the GT members, Extension Staff, Head Teachers, and Health In-charge will participate during the Review Meetings. The Gup shall chair the Review Meetings. The GT shall meet at least two times a year to review the progress of Gewog plans. The roles and responsibilities of the M&E Review Committee at the Gewog level shall be to:

- Review and approve the TYRB and APB of the Gewog before submission to the Ministry of Finance.
- Review the implementation status of the Gewog Plans.
- Identify implementation problems and issues.
- Issue directives and feedback to the implementing entities in the Gewog.
- Ensure that the implementing entities are accountable for the performance of their respective sector plans in the Gewog.

Gewog Administrative Officer (GAO)

The GAO will serve as the M&E Focal Point at the Gewog Level. The GAO will work under the guidance and direction of the Gup. The key roles and responsibilities of the M&E Focal Point at the Gewog level shall be to:

- Coordinate the preparation of TYRPB and APB of the Gewog.
- Ensure that the implementing entities in the Gewog submit d



- progress reports as per the prescribed schedules.
- Verify data submitted by the implementing entities in the Gewog.
- Identify actual or potential implementation problems and issues encountered by the implementing entities for timely remedial actions.
- Coordinate the preparation of Gewog Plans.
- Submit the progress reports to the Gup for tabling them to GT.
- Record minutes during M&E Review Meetings.
- Communicate directives and recommendations of GT to the implementing entities and other relevant agencies.
- Take follow-up actions on the directives and recommendations of GT.
- Work closely with the DPU for matters related to monitoring and reporting.
- Form a Gewog level MMT and undertake regular field visits to monitor and assess the implementation of programmes and projects in the Gewog.

Gewog Extension Offices

The Gup's Office and Gewog Extension Offices⁴ shall be responsible for implementing the programmes and projects. The main M&E roles and responsibilities of the Gup's Office, Gewog Extension Offices will be to:

- Prepare their respective Sector TYRPB and APB and submit to the GAO.
- Collect and record the progress data on a regular basis (preferably on a weekly or monthly basis).
- Prepare progress reports and submit to GAO as per the stipulated schedules.
- Readjust or reprioritize the plans whenever necessary based on the directions and recommendations of the GT.
- Maintain close functional linkages with their Sector Offices in the Dzongkhag.

⁴ Gewog Extension Offices shall include RNR, Health (Basic Health Units) , Education (Schools in the Gewogs)