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PROCESS DOCUMENTATION

MILLENNIUM ALLIANCE PROCESS DOCUMENTATION AND WORKSHOPS

This publication was produced at the request of the United States Agency for International Development. It was prepared independently by Dr. Jayanta Kumar Basu, Dr. Sarah Jones, Ms. Paige Mason, Dr. Ash Pachauri, Dr. Shobhana Swami, and Mr. Harmendra Singh of Social Impact, Inc.

PROCESS DOCUMENTATION REPORT

MILLENNIUM ALLIANCE PROCESS DOCUMENTATION AND WORKSHOPS

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DISCLAIMER

The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

Photo

Turmeric that has gone through the HaldiTech drying technology. Credit: Paige Mason

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ACRONYMS

ADS	Automated Directives System
ANC	Ante-natal Care
ASHA	Accredited Social Health Activist
CEO	Chief Executive Officer
CLT	Children's Lovecastle Trust
CPR	Contraceptive Prevalence Rate
CWS	Community Waterlife System
DEC	Development Experience Clearinghouse
DOE	Department of Education
EI	Education Initiatives
FICCI	Federation of Indian Chambers of Commerce and Industry
FP	Family Planning
FY	Fiscal Year
GGI	Greenway Grameen Infra
GOI	Government of India
IEC	Information, Education, and Communication
ICT	Institute for Chemical Technology
ILR	I Love Reading
IRMA	Institute of Rural Management, Anand
IUD	Intrauterine Device
KM	Katha Marg
M&E	Monitoring & Evaluation
MA	Millennium Alliance
MCD	Municipal Corporation of Delhi
MCH	Maternal and Child Health
MFI	Micro-finance Institutions
MOU	Memorandum of Understanding
NGO	Non-governmental Organization
NSDC	National Skill Development Council
PHC	Primary Health Center

RMC	Ranchi Municipal Corporation
S4S	Science for Society
SARC	Social Action for Rural Community
SI	Social Impact
SOW	Statement of Work
SRH	Sexual and Reproductive Health
STA	Senior Technical Advisor
TDS	Total Dissolved Solids
TL	Team Leader
TLMs	Teaching and Learning Materials
TOT	Training of Trainers
USAID	U.S. Agency for International Development

I. EXECUTIVE SUMMARY

MILLENNIUM ALLIANCE PROGRAM BACKGROUND

The Millennium Alliance (MA), a network established through the United States Agency for International Development (USAID) and the Federation of Indian Chambers of Commerce and Industry (FICCI), in collaboration with the Government of India (GOI), that brings together various actors within India's social innovation ecosystem to stimulate and facilitate financial contributions from the private and public sectors and offer a range of support to innovators.

In June 2013, USAID and FICCI released a request for proposals for financial and development support for innovations designed to improve social outcomes across India in a variety of sectors. Ultimately nine grantees out of nearly 1,500 applicants were selected. The nine grantees include the following:

- Children's Lovecastle Trust (CLT)
- Education Initiatives (EI)
- Greenway Grameen Infra (GGI)
- HaldiTech
- Katha – I Love Reading (ILR)
- Rang De
- U-Respect
- Waterlife
- ZMQ

The grantees have each developed a product, project, or combination of both, in the areas of health, education, agricultural development, energy, and water. The objective of the grants is to spur innovation and to provide grantees support to bring their project or product to scale.

PROCESS DOCUMENTATION PURPOSE

At the request of USAID, Social Impact (SI) undertook process documentation for all innovative interventions under the MA Round I awards. The purpose of this process documentation is to learn from the implementation experience, understand the processes and activities that drive each project, and provide recommendations for future rounds of MA grants. USAID had also requested impact evaluation baselines, but after an evaluability assessment, SI and USAID jointly determined that this would be infeasible with the resources and time available. Further discussion of the evaluability assessment and impact evaluations can be found in Annex V.

PROCESS DOCUMENTATION QUESTIONS

The process documentation exercise aimed to answer the following research questions:

1. What are the theories of change for each of the grantees, and how may their progress be mapped over time?
2. What is the grantees' experience with implementation? Include the successes, challenges, and lessons learned they have experienced.
3. How has the structure of the MA helped support the grantees from their perspective, and in what areas may they need additional support?

In addition to answering the above research questions, the process documentation has also been

designed to help encourage grantees to think through their theory of change, their targeted beneficiaries, identify their short-term and long-term objectives, and indicators that will help them measure their progress towards meeting those objectives.

The first two questions will be answered most explicitly in the grantee-specific reports. The third question will be answered in the overall findings and conclusions. When observing the theories of change for each grantee, SI recorded the theories of change as stated by the grantees, and will work with them to refine these theories during the second round of process documentation.

METHODOLOGICAL APPROACH TO PROCESS DOCUMENTATION

The process documentation took place in two phases: phase one focused on gaining an understanding of the project and a sense of the timeline from the grant award date until present day; phase two focused on grantee and FICCI capacity building to ensure that process documentation methodologies and tools are effectively applied to program and grant implementation. SI also worked directly with grantees to refine their theories of change.

FINDINGS AND CONCLUSIONS ACROSS GRANTEEES

Quarterly Progress Reporting

At the outset of the MA grants, FICCI shared a reporting template with the grantee to track their progress. Though the reporting was intended to take place on a monthly basis, all nine grantees now report on a quarterly basis. The quarterly reports of all nine grantees provide information on most of the topics set out in the template, but the level of detail and the presentation of information among the nine grantees vary significantly. As such, comparisons across grantees is not possible.

Outcome Mapping

The outcome mapping exercise revealed that all nine of the grantees were able to articulate their long-term goals or outcomes; however, they had more difficulty stating short-term goals and linking them directly to their outputs and activities. Most grantees had a logic model in mind upon grant application, but the logic models were not written out in a systematic way. The outcome maps developed with SI were an attempt to do this, but there remained some logic gaps after the first phase of process documentation, especially when the intended outcomes fall outside of the immediate realm of expertise for the grantee. The workshops placed a large emphasis on defining short-term results and intermediate outcomes. After providing guidance and training on developing results statements and discussion of results within a grantees' manageable interest, the grantees were better equipped to develop results statements and were more clearly able to identify intermediary steps that contributed to their longer-term goals.

Data Collection and Utilization

Most projects did not have a formal Monitoring & Evaluation (M&E) system, or a dedicated staff member for project monitoring and data collection and analysis. Most grantees attributed this to a lack of M&E technical capacity or a lack of human resources capacity. Several of the grantees completed needs assessments prior to implementation. However, it is not clear whether the MA funding contributed to the needs assessments; in many cases, the grantee conducted the needs assessment prior to applying for funding, and the funding was intended to address the identified need.

The use of project indicators varies across the grantees. There are no standard indicators across all nine grantees, and most grantees either did not have set project indicators, or the project indicators they did have were not organized into a logical framework. Each grantee had developed a workplan with activity milestones and anticipated timing of achieving these milestones, and this was how grantees tended to measure project success; however, very few of the grantees had set quantifiable targets for the intended outcomes of their projects. The workshop provided instruction on the definitions and uses of “results”, “indicators”, “targets”, “baselines”, and “actual” data collected, as well as the relationships between them. For most grantees, the workshops showed that all of these components were needed in order to manage a project effectively. To help reify what they’ve learned, the grantees also received an introduction to data analysis and the power of data visualization.

MA Contribution to Innovation

The use of MA funds varies across the grantees, from funding an entire project to setting up infrastructure and hiring staff. Quarterly reports do not detail exactly how funds are being used; rather, they describe the activities undertaken by the project without direct linkage to funding streams. For most grantees, the MA funding is not sufficient to support the entire project, so they are also supported by additional donors, each with its own priorities and expectations for the project. The MA grant is rather flexible—allowing grantees to pursue additional funding and support. As such, it is challenging to measure the effect the specific contribution that funding and support offered by USAID and FICCI has on project outcomes. This is not to say, however, that overall program impacts on participants can’t be measured. However, this is discussed in greater length in Annex V.

All nine grantees cited that one of the greatest benefits of being a MA grantee was the connections that FICCI helped them establish with other investors. FICCI also invited all nine grantees to participate in the Sankalp UnConvention Summit, where they were each able to host an exhibition table and display their project.

Sustainability

Sustainability looks different for each grantee. All nine grantees were either donor- or customer-dependent. Sustainability for “market focused” grantees largely meant that there would be enough demand for their products or services to make its production or provision profitable, and that the cost would be optimized to capture a large enough consumer base but still allow the various actors in the value chain to make a profit. The team observed an inherent tension among the “market-focused” grantees, especially when opportunities that have arisen in the market are not aligned with the social outcomes the grantees are trying to achieve. For example, large spice traders have approached Science for Society with an interest in purchasing HaldiTech’s technology; however, the product is intended for use by farmers to increase their profit margin and improve their livelihoods, which may be threatened by large spice traders.

During the second phase of process documentation, the SI team saw more evidence that the grantees were thinking about sustainability of their projects and taking steps to ensure that their interventions were sustainable.

Workshops

There were 31 participants in the four workshops, 20 of which were grantees. After the workshops, all grantees developed revised outcome maps and continued their process documentation. According to the course evaluations, grantees found the workshop content to be highly relevant and aligned with their needs. One participant from Bangalore wrote on their course evaluation form that “we’ll take this

learning to help us with the way we do things – monitor/ track/ document/ evaluate/ present/ plan our work more meticulously, so our efforts and results are more cohesive. It will definitely help us as we grow.”

CONCLUSIONS

Inconsistency among grantee reporting capacity inhibits the ability to compare progress across grantees. There is inconsistent capacity among the grantees, and they have not received specific guidance on the kind of information to collect for their projects. For the most part, grantees collect only the information that is of immediate interest to them, either at the activity or the output level. Outcome level data, however, is less frequent.

The lack of monitoring data is due to limited capacity among grantees to track progress, measure outcomes, and document successes and challenges. This is primarily due to lack of technical capacity and limited human resources, as cited by grantees. Most grantees do not have staff dedicated to project monitoring—limiting the technical capacity for monitoring and evaluation among most grantees. As a result, it is (in most cases) not possible to determine the level of progress each grantee is making against their stated (and unstated) objectives.

Gaps in the linkages between activities and intermediate outcomes make it difficult for grantees to manage resources and track the extent to which they are achieving their objectives. Most grantees were unfamiliar with the logical framework model. However, after explanation of the outcome map and logic model approach, grantees were receptive to this kind of reasoning and found it to be a useful way of explaining and understanding their projects. The development of a sound logic model is also crucial to the success of an impact evaluation. As such, without establishing linkages to intermediate outcomes, not only is it difficult to track progress, but it presents significant challenges for impact evaluation design.

MA funds are used for different purposes, depending on the grantee, ranging from field testing to total project support. With such diversity in the grantee recipients, it is reasonable to expect that MA funding would provide varying levels of support. However, it is evident that across the grantees, the funding supported innovation.

FICCI has provided ample business support to grantees, especially in terms of expanding networks and introducing them to investors, but grantees also need technical assistance. This is especially true for monitoring and evaluation where grantees have limited capacity to build the evidence base for attracting and retaining investors and convincing them of the success of grantee projects.

Grantees may be achieving social outcomes, but it is not possible to determine the extent to which those social outcomes have been achieved with current measurement practices. The majority of the monitoring that occurs tracks activities, not results. For “market-focused” grantees, social outcomes tend to be secondary, and with limited resources, it is difficult for them to justify collecting data on social outcomes that do not have an immediate impact on how they deliver their product or service.

Prospects for sustainability and self-sufficiency of the projects, especially those that do not involve customers, are uncertain. Sustainability of projects tends to be either donor- or customer-dependent, and most grantees do not have clear plans for sustainability, though this improved during the second phase. Most projects do not have sustainability plans aside from continued donor funding.

Capacity building efforts on performance management contributed to increased knowledge and application of performance management concepts in grantees' work.

During their individual consultations and in their workshop evaluation forms, grantees noted that the content they learned during the workshop would help them improve their processes and systems, and discussed their plans for integrating these concepts into their project implementation.

RECOMMENDATIONS

1. In future rounds of MA grants, use a standard reporting template that includes standard indicators to allow for comparison across grantees. A draft template and list of indicators is provided in Annex VII.
2. Provide grantees with capacity building on developing logical frameworks, indicator development, process mapping, and monitoring and evaluation. FICCI and USAID should leverage the workshop materials to build the capacity of grant applicants selected to submit a full application, and then use an expanded version of these materials during a project planning workshop after award.
3. Provide grantees with capacity building on managing for results and defining outcomes. These topics would be most relevant for grantees prior to beginning implementation of their projects.
4. In grant proposals, require that grantees describe what data they will collect and how they plan to use it throughout project implementation.
5. Evaluate grantees based on social outcomes and require reporting against social outcomes. For projects that are eligible for impact evaluation, build this into project design so that it is incorporated from the beginning of the grant.
6. In grant proposals, require grant applicants to include a sustainability plan according to a standard definition of sustainability to be developed by FICCI and USAID.
7. Provide grantees with continued technical assistance on performance management topics, either through the FICCI innovation managers or through a performance management specialist at FICCI or USAID.

II. PROJECT BACKGROUND

The United States Agency for International Development (USAID) and the Federation of Indian Chambers of Commerce and Industry (FICCI) are working together as founding partners, in collaboration with the Government of India (GOI) Technology Development Board and Indian private sector sponsors and other stakeholders, to implement the Millennium Alliance (MA) – an India-U.S. Innovation Partnership for Global Development. The MA is a platform to leverage Indian creativity, expertise, and resources to source and scale innovations being developed and tested in India that will benefit vulnerable populations across India and the world.

The MA is a network that brings together various actors within India’s social innovation ecosystem including, but not limited to, social innovators, philanthropy organizations, social venture capitalists, angel investors, donors, service providers, and corporate foundations, to stimulate and facilitate financial contributions from the private and public sectors and offer a range of support to innovators.

The MA provides innovators with services such as seed funding, grants, incubation and accelerator services, networking opportunities, business support services, knowledge exchange, and technical assistance, and will facilitate access to equity, debt, and other capital. The project will also strengthen the capacity of FICCI - a non-government, non-profit association of business organizations already heavily engaged in supporting innovation - to use its own resources, and those of other contributors, including USAID, the GOI, and other public and private sector entities, to develop a broad-based sustainable platform to foster development innovations in specified sectors.

The MA is modeled on and contributes to USAID’s Development Innovation Ventures to deliver maximum development impact by focusing on cost-effective solutions, rigorous testing and evaluation, and transition to scale via public and private pathways.

In June 2013, USAID and FICCI released a request for proposals for financial and development support for innovations designed to improve social outcomes across India in a variety of sectors. Ultimately 9 grantees out of nearly 1,500 applicants were selected. The nine grantees include the following (in alphabetical order):

- Children’s Lovecastle Trust (CLT)
- Education Initiatives (EI)
- Greenway Grameen Infra (GGI)
- HaldiTech
- Katha – I Love Reading (ILR)
- Rang De
- U-Respect
- Waterlife
- ZMQ

The grantees have each developed a product, project, or combination of both, in the areas of health, education, agricultural development, energy, and water. The period of performance and value of the grants varies for each grantee. Some projects, such as EI, had a shorter period of performance (approximately six months) while others, such as Waterlife, will be carried out over a longer period of time (three years). The objective of the grants is to spur innovation and to provide grantees support to bring their project or product to scale. This is done not only through financial support, but also through relationship building that occurs through participation in the MA, as well as through mentorship provided by FICCI. The MA closed the competition on the second round of awards in April 2014.

A brief summary of each grantee's project is below, with grantee-specific reports presented later in the report.

Children's Lovecastle Trust (CLT) e-Patashale

CLT's landmark e-Patashale is a cost-effective computer program with localized curricula-based content for students in grades K-12, in both English and Kannada languages. It uses a web-based distance-learning system to teach students in rural government schools remotely by qualified teachers in all subjects, without replacing the rural teachers. The electronic content contains 2 and 3-D animations, graphics and flash slides based on State and National curricula for grades 6-10 in math, science, and English language. With the MA funds, CLT is conducting an evaluation of the existing e-Patashale program, as well as developing curriculum for grades 9, 11, and 12 in English and Kannada.

Education Initiatives

EI received funding from MA to develop Mindspark Bhasha, a computer-based audio-visual solution for developing reading skills among children in grades 1-8 in Hindi. The pilot is intended to build the capacity of teachers for using and leveraging the reading solution towards improved classroom pedagogy by integrating this new technology. The pilot was targeted to 500 students from grades 2-6 through the computer lab (Mindspark Bhasha Lab) with Mindspark Bhasha software installed. Every student is assigned an individual login account so that students' learning progress can be monitored.

Greenway Grameen Infra (GGI)

GGI received funding from MA to develop and test the Greenway Power Stove, which employs a thermoelectric power generator encased within the body of the stove to generate electricity. The thermoelectric design of the stove results in a cookstove that (a) enables combustion to become cleaner and healthier and (b) provides excess power for charging a battery to power small appliances.

HaldiTech

Science for Society (S4S) developed a drying technology, HaldiTech, which reduces the processing time of drying turmeric from 30 days to 24-48 hours. HaldiTech uses conduction, rather than convection, as the mode of heat transfer, increasing the efficiency of the drying process and reducing the overall processing time. Additionally, HaldiTech would contribute to a more efficient supply chain by decreasing the amount of time between harvesting of turmeric and delivery to the market.

Katha I Love Reading

ILR focuses primarily on developing grade appropriate reading skills while inculcating the love for reading. In order to do this, Katha builds capacity among teachers to use a story-based learning approach, through which students are able to learn about a variety of topics (science, math, geography, etc.) through stories, and hence increase their reading abilities. In addition to its community level initiatives and its book publishing activities, the I Love Reading program uses Katha's enhanced curriculum to strengthen the learning context for students in Delhi.

Rang De

The Rang De Scholars Program aims to make quality education more accessible and affordable to underserved communities through the provision of education loans. The program ensures access to primary, secondary, vocational, and higher education. Rang De provides educational loans at a 5% interest rate without any collateral, which is a lower interest rate and easier disbursement than that of public sector banks.

U-Respect

The U-Respect Foundation used the MA grant to fund Project Vikalp, an innovative triangulation model to sensitize and educate the rural community about reproductive health, including family planning and HIV/AIDS. Project Vikalp also ensures easy contraceptive access and availability in the rural areas in the Thane district of Maharashtra. The project is expected to result in higher contraceptive prevalence rates, thus underlining the importance of promotion of reversible methods of contraceptives, which is in line with the government's current strategy and approach.

Waterlife

Waterlife aims to provide safe and clean water to underserved communities in a sustainable manner. In response to the need for affordable, clean drinking water, especially among low-income communities, such as urban slums and rural areas, Waterlife developed a low-cost system that purifies and cleans water. Waterlife received funding from MA to set up community water plants in the most drinking water-scarce areas of Jharkhand and Orissa, as well as conduct an evaluation to quantify the benefits that the water plants had on the community.

ZMQ

With the MA grant, ZMQ created a "One-Stop Channel" for maternal and child health (MCH), for use on mobile phones. The channel is specifically targeted to women of child-bearing age in both rural and urban areas. The channel includes a tracking system for pregnancy, immunization and family planning, delivers crucial MCH information, and connects channel subscribers with local health institutions.

III. PROCESS DOCUMENTATION

PURPOSE & QUESTIONS

PROCESS DOCUMENTATION PURPOSE¹

At the request of USAID, Social Impact (SI) undertook process documentation for all innovative interventions under the MA Round I awards. The purpose of process documentation is to learn from the implementation experience and understand the processes and activities that drive each project.

PROCESS DOCUMENTATION QUESTIONS

The process documentation exercise aimed to answer the following research questions:

4. What are the theories of change for each of the grantees, and how may their progress be mapped over time?
5. What is the grantees' experience with implementation? Include the successes, challenges, and lessons learned they have experienced.
6. How has the structure of the MA helped support the grantees from their perspective, and in what areas may they need additional support?

In addition to answering the above research questions, the process documentation has also been designed to help encourage grantees to think through their theory of change, their targeted beneficiaries, identify their short-term and long-term objectives, and indicators that will help them measure their progress towards meeting those objectives.

The first two questions will be answered most explicitly in the grantee-specific reports. The third question will be answered in the overall findings and conclusions. When observing the theories of change for each grantee, SI recorded the theories of change as stated by the grantees, and will work with them to refine these theories during the second round of process documentation.

¹ It should be noted that in the original RFP, USAID/India requested not only Process Documentation of the MA projects, but also the development of two baseline studies for future impact evaluations. Following a scoping visit to assess the feasibility of undertaking impact evaluation baselines, it was determined that the timeline and the current project designs were not feasible. However, in Annex V, SI provides greater detail about the feasibility assessment, the description of two potential baseline studies, as well as recommendations for planning for IEs for future MA awards.

IV. METHODOLOGICAL APPROACH TO PROCESS DOCUMENTATION

PROCESS DOCUMENTATION TEAM

The MA process documentation team consists of a team leader (TL), Dr. Jayanta Basu, led the data collection effort and analysis of findings by providing general oversight and technical guidance. He was supported on the technical side by Senior Technical Advisor (STA), Dr. Sarah Edith Jones, and two content experts, Mr. Harmendra Singh (Education) and Dr. Shobhana Swami (Health). Additionally, the team was joined by the Program Manager, Ms. Paige Mason, who provided both logistical and technical support, and overall quality assurance on the project, as well as Dr. Ash Pachauri, who provided technical and logistical support when needed. All grantee visits included at least two members from the process documentation team.

PROCESS DOCUMENTATION METHODOLOGY

The process documentation took place in two phases: phase one focused largely on gaining an understanding of the project and a sense of the timeline from the grant award date until present day. Phase two focused more on grantee and FICCI capacity building so that process documentation methodologies and tools can be applied to program and grant implementation. In addition, SI worked with grantees to refine their theories of change.

Process Documentation Phase I: Mapping the MA Grantees

Methods and Instrumentation

The first phase of the process documentation began with document review. USAID and FICCI provided each grantee's project overview, workplan, M&E plan, and most recent quarterly report. Later, the SI team also received the project proposal and additional quarterly reports. The team reviewed all received documents prior to conducting field work.

During the Sankalp conference in April 2014, the STA and the TL met with each of the grantees to get an overview of their project and discuss possibilities for baseline data collection. None of the grantees was well positioned for baseline data collection under this contract.

In preparation for the data collection, the SI team developed a standard data collection instrument for use during the grantee interviews. The interview questions covered topics of project design, implementation, monitoring and reporting, sustainability, and relationships with USAID and FICCI. The SI team requested that each grantee arrange for a group interview in the morning to discuss these topics. In some cases, though, the group interview took the entire day. The data collection instruments can be found in Annex III.

In addition to the data collection instrument, the team shared a blank version of the outcome map with

the grantees prior to arrival. One purpose of data collection was to complete the outcome map, and in most cases, the team completed the outcome map in draft form and reviewed it with the grantee prior to departure. The completed outcome maps can be found in Annex IV.

Data Collection

The data collection for the process documentation began on April 24th and continued through May 14th, 2014. During this time, at least two SI team members visited each grantee at their project office and, in most cases, their implementation site.² On the first day, the team conducted a group interview with grantee representatives to learn more about their past and present experiences with their project or product, as well as their implementation strategy.³ The team then conducted an outcome mapping exercise for grantees to define their theory of change, identify their outcomes of interest, and determine how their progress towards reaching those outcomes may be monitored over time. In addition to the collaborative working process of developing this information, the team also interviewed the grantees to gather background information on their development processes and well as their experiences with implementation. Additionally, the team asked the grantees about the sustainability of their project or product, as well as about their experiences working with USAID and FICCI through the MA.

During the second day of the visit, the team finished any information gathering that had not been completed up to that point, but the bulk of the day was spent engaging with individuals who are more heavily involved with implementation, including the beneficiaries/customers, and visiting the actual implementation site for the project or product. When possible, the process documentation team met with a small sample of beneficiaries and held short discussions with them about their experiences with the project or product. Additionally, the team collected some demographic information on the beneficiaries to assess the types of individuals that the MA grantees are reaching. The team concluded the visit by reviewing the completed outcome map (see Annex IV) with each grantee to confirm their understanding of the intended outcomes and provide suggested indicators to measure progress against the grantee's objectives. A revised outcome map was shared with the grantee electronically for further comment.

Data Analysis

Upon completion of phase one data collection, the team worked together to summarize what they learned about each grantee, and created a summary for each grantee that includes the following five sections:

1. Project/Product background
2. Implementation Processes
3. Intended Outcomes
4. Sustainability
5. Support from the MA partners USAID and FICCI

In conducting the analysis, the documentation team observed the field notes taken during data collection and synthesized the notes according to the sections listed above. In addition, the documentation team used the background documents provided during the desk review phase to provide supporting evidence to the findings in the field. The team also looked at the extent to which the grantees had followed the original plan set out in the proposal by comparing the workplan provided in the desk review to the actual implementation timeline as stated by the grantee in the group interview. Changes in planned implementation methodologies are expected, especially in innovative projects, so SI conducted careful comparison between planned and actual implementation strategies for each of the grantees.

² The team was unable to visit a Greenway implementation site because field trials had not yet begun

³ Due to scheduling, the office visit and the site visit for EI were switched (implementation site visit occurred first)

Process Documentation Phase 2: Grantee and FICCI Capacity Building

SI's primary objective for the second phase of process documentation was two-fold. The first objective was to train both FICCI and the grantees on how process documentation is done, the instruments that can be used, what their primary results are and how to define potential indicators for their outcomes of interest. Second, SI worked with grantees to verify and expand on the outcome maps and theories of change that resulted from the first visit through individual consultations. During this one-on-one time, SI also provided guidance on how the information they gather may be useful for overall project management.

Workshop Descriptions

In order to meet the two primary objectives described above, SI developed and staged two sets of workshops. The first was a capacity building workshop for FICCI and any USAID staff that wish to attend. The second was a workshop designed to engage the grantees in continuing the process documentation beyond the life of the current contract.

Workshop One: Training of Trainers (FICCI)

The first workshop was designed to train both FICCI as well as USAID staff on how process documentation works and the efforts they can take moving forward to engage their grantees in the process and outcome mapping exercises. The day began with an introduction to logic models and how programs can use them to help them identify their short term and longer term outcomes. Built into this was an examination of the primary objectives of interest. Currently, MA grantees fit somewhere on scale between having objectives solely focused on social returns versus outcomes solely focused on economic returns. Ideally, the grantees would aim for both to ensure financially sustainable programming that has a positive impact on social issues including improved schooling, increase in family planning and use of contraceptives, and delivering clean water to individuals with the greatest need, among others.

FICCI and USAID also received training on how identify indicators that will help measure grantees' progress towards meeting their short- and long-term outcomes. The SI team used examples from the current pool of MA grantees (GGI, Katha, and U-respect) to work through the development of a logic model and identification of indicators, with FICCI and USAID staff making recommendations on how the models could be developed further. The "snapshot" training design can be found in Annex II.

Workshop Two: Training Grantees

The second workshop was designed to familiarize the grantees with the tools and techniques for process documentation, and to refine the logic models developed during the first round of process documentation. Based on the geographical distribution of the grantees, SI held three workshops for grantees, one in each of the following locations: Delhi, Mumbai, and Bangalore. The workshops took place over a period of two days and were led by FICCI and the Team Leader, Dr. Basu, with the oversight of Program Manager, Ms. Paige Mason. USAID staff also were involved with facilitation of the workshops.

The first day focused on training the grantees on the development of a logical framework that identifies the grantees larger objectives, short term and long term outcomes, and the indicators they can gather to track their progress towards meeting their objectives. The workshops used a combination of group capacity building, with a mixture of presentations and exercises that familiarize the grantees with the process documentation tools and provided an opportunity to apply these tools to their particular projects, under the guidance of a workshop facilitator.

On the second day of the workshop, SI, FICCI and USAID conducted individual consultations with each

of the grantees to discuss how the process documentation tools can apply specifically to each of their interventions/products, and completed the process documentation exercise as set in the workplan. During these consultations, SI explored how the grantee has responded to challenges, refined the outcome map from phase I, and grantees described any processes that have emerged or changed since the first documentation visit.

Workshop Facilitation

As described above, prior to the training of the grantees, the SI team, led by Program Manager, Ms. Mason, trained FICCI on how to train the grantees on process documentation, with the idea that FICCI would co-lead the workshops with Dr. Basu and the oversight of Ms. Mason. FICCI co-facilitated the workshops in Bangalore and Delhi. 31 individuals attended the workshop (11 USAID and FICCI, 20 grantees).

The recommendations presented are primarily for FICCI and USAID to inform future rounds of MA grants. The findings presented are drawn largely from the interviews conducted with representatives of each MA grant recipient organization. Additional information was drawn from the project documents supplied by USAID and FICCI.

V. OVERALL FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

The section below details the findings and common themes that the process documentation team found across all nine (or the majority of) grantees.

FINDINGS ACROSS GRANTEES

Quarterly Progress Reporting

At the outset of the MA grants, FICCI shared a reporting template with the grantees, covering the following topics: activities completed, difficulties faced, percentage of work completed, fund utilization and balance, target/milestone achievement, and progress against indicators. However, the grantees have not received specific guidance regarding the level of detail to provide in reports, nor do they have standard indicators for reporting. Though the reporting was intended to take place on a monthly basis, all nine grantees now report on a quarterly basis. The quarterly reports of all nine grantees provide information on most of the topics set out in the template, but the level of detail and the presentation of information among the nine grantees vary significantly. As such, comparisons across grantees are not possible (partly because of the level of detail provided and partly because of the level of diversity among the grantees and their intended outcomes). CLT, Greenway, HaldiTech, and ZMQ (to a lesser extent) use a similar reporting format, while Katha ILR, EI, Rang De, U-Respect, and Waterlife use customized reporting templates.

The project indicators that grantees were tracking (for grantees that had project indicators) were often not linked to the intended social outcomes of the project. The grant application inquired about the impact to the society, so it can be assumed that the potential impact to the society factored into the evaluation criteria when FICCI was selecting grant recipients. The grantees that have more of a “market focus” tend to track indicators that are directly related to marketability of their product (customer satisfaction, optimized costing, etc.), whereas the grantees with more of a “social focus” either do not collect data or collect data related to immediate outputs, with outcome data collected to a lesser extent. For some projects, especially those that leverage technology, the technology itself collects data (monitors on cookstoves, mobile application data, learning progress tracking in computer programs).

During phase 2 of the process documentation, FICCI and its partners agreed on the need for a more robust reporting template with standard indicators that allowed for comparison across grantees and aggregation of data. A draft reporting template can be found in Annex VII. The implementation of a consistent template will also make future outcome or impact evaluations more feasible.

Outcome Mapping

The outcome mapping exercise revealed that all nine of the grantees were able to articulate their long-term goals or outcomes; however, they had more difficulty stating short-term goals and linking them directly to their outputs and activities. This was particularly true of social outcomes among the “market focused” grantees. Most grantees had a logic model in mind upon grant application, but the logic models

were not written out in a systematic way, with clear linkages between activities, outputs, outcomes, and, eventually, impacts. The outcome maps developed with SI were an attempt to do this, but there remained some logic gaps after the first phase of process documentation, especially when the intended outcomes fall outside of the immediate realm of expertise for the grantee.

The workshops placed a large emphasis on defining short term results and intermediate outcomes. After providing guidance and training on developing results statements and discussion of results within a grantees' manageable interest, the grantees were better equipped to develop results statements and were more clearly able to identify intermediary steps that contributed to their longer-term goals. The revised outcome maps in Annex IV reflect their revised results statements, indicators, and assumptions for their projects. Grantees consistently cited the outcome mapping instruction and exercise during the workshop as one of the most useful takeaways.

Regarding unintended outcomes, few of the grantees had thought through unintended outcomes or consequences of their projects, nor were they collecting data that they thought would reveal unintended outcomes of their projects.

Data Collection and Utilization

Most projects did not have a formal M&E system, or a dedicated staff member for project monitoring and data collection and analysis. Most grantees attributed this to a lack of M&E technical capacity or a lack of human resources capacity. The extent to which data is used among grantees is often limited to observing immediate outputs and adjusting based on feedback received from project beneficiaries. This is particularly true of "market focused" grantees, which use the results of product testing to adjust their product to more closely align with consumer needs. Upon observation of the M&E systems in place for each grantee, there was limited use of data disaggregation. Additionally, most grantees did not have all their data stored in a central location, so different datasets were maintained in different formats that did not "speak to each other".

For the most part, grantees stated that they did not receive guidance or instruction on the type of data to collect. However, in the case of U-Respect and Waterlife, FICCI did provide instruction on data collection. FICCI instructed Waterlife to conduct a baseline study, which it completed in preparation for an intended impact assessment. However, FICCI instructed U-Respect not to conduct a formal baseline study; rather, they conducted a community mapping exercise, which is akin to a census of the different areas they are working in. This mapping data is then used to assist community consultants in service referrals. U-Respect was told that an external firm would complete the baseline study, and so did not undertake a formal baseline study themselves.

Several of the grantees, including HaldiTech, Rang De, Waterlife, and U-Respect completed needs assessments prior to implementation. However, it is not clear whether the MA funding contributed to the needs assessments; in many cases, the grantee conducted the needs assessment prior to applying for funding, and the funding was intended to address the identified need.

The use of project indicators varies across the grantees. There are no standard indicators across all nine grantees, and most grantees either did not have set project indicators, or the project indicators they did have were not organized into a logical framework. Each grantee had developed a workplan with activity milestones and anticipated timing of achieving these milestones, and this was how grantees tended to measure project success; however, only some of the grantees had set quantifiable targets for the intended outcomes of their projects.

The workshop provided instruction on the definitions and uses of “results”, “indicators”, “targets”, “baselines”, and “actual” data collected, as well as the relationships between them. A glossary of terms can be found in Annex VI. For most grantees, the workshops showed that all of these ingredients were needed in order to manage a project effectively, and they also received instruction on how to read and analyze data that they collect.

MA Contribution to Innovation

The use of MA funds varies across the grantees, from funding an entire project (like U-Respect’s Project Vikalp) to setting up infrastructure and hiring staff (like CLT and Katha). Quarterly reports do not detail exactly how funds are being used (except in the case of U-Respect); rather, they describe the activities undertaken by the project without direct linkages to funding streams. For most grantees, the MA funding is not sufficient to support the entire project, so they are also supported by additional donors, each with its own priorities and expectations for the project. There is sufficient flexibility in the MA grant, though, that grantees are able to pursue additional funding and support. This flexibility, though, makes attribution to MA a difficult task. Because several of the grantees have multiple funding streams, it is not possible to attribute any resultant outcomes to FICCI and USAID’s support alone. It is also difficult to determine precisely how grant money is being used, as it may be supplemented by other sources of funding.

All nine grantees cited that one of the greatest benefits of being a MA grantee was the connections that FICCI helped them establish with other investors. Katha stated that FICCI is helping them expand their network, introducing them to donors and individuals who can help them scale up their entire organization (not just the MA-funded project) into other states in India and abroad. Greenway and U-Respect also mentioned that FICCI invites them to meetings in Delhi for additional exposure to investors. FICCI also invited all nine grantees to participate in the Sankalp UnConvention Summit, where they were each able to host an exhibition table and display their project.

It is not yet clear how FICCI will take the workshop materials forward, but some initial systems have already been put into place. At the time of the team’s departure from Delhi, FICCI was planning to incorporate capacity building into the MA application process, in between the submission of the concept paper and development of the full application (once decisions had been made on which applicants would advance to the next round of the process). FICCI had also implemented more robust M&E requirements for their second round grants, which were awarded just prior to the team’s arrival for the workshops. There is much to be gained by studying the effects of these innovations, and as such, FICCI and USAID have expressed interest in integrating a design period to the grantees’ period of performance, during which an impact evaluation could be constructed for particularly promising initiatives. In Annex V, SI provides details on how this activity may be undertaken.

Sustainability

Sustainability looks different for each grantee. All nine grantees were either donor- or customer-dependent. Sustainability for “market focused” grantees largely meant that there would be enough demand for their products or services to make its production or provision profitable, and that the cost would be optimized to capture a large enough consumer base but still allow the various actors in the value chain to make a profit. Other grantees tend to be dependent on donor funding for continuation and scale-up of their projects. Additionally, being relatively short-term grants (one to three years), it is not yet possible to ascertain whether interventions have had lasting effects and desired behaviors are continuing without continued project support.

The team observed an inherent tension among the “market-focused” grantees, especially when

opportunities that have arisen in the market are not aligned with the social outcomes the grantees are trying to achieve. For example, large spice traders have approached S4S with an interest in purchasing HaldiTech’s technology; however, the product is intended for use by farmers to increase their profit margin and improve their livelihoods, which may be threatened by large spice traders.

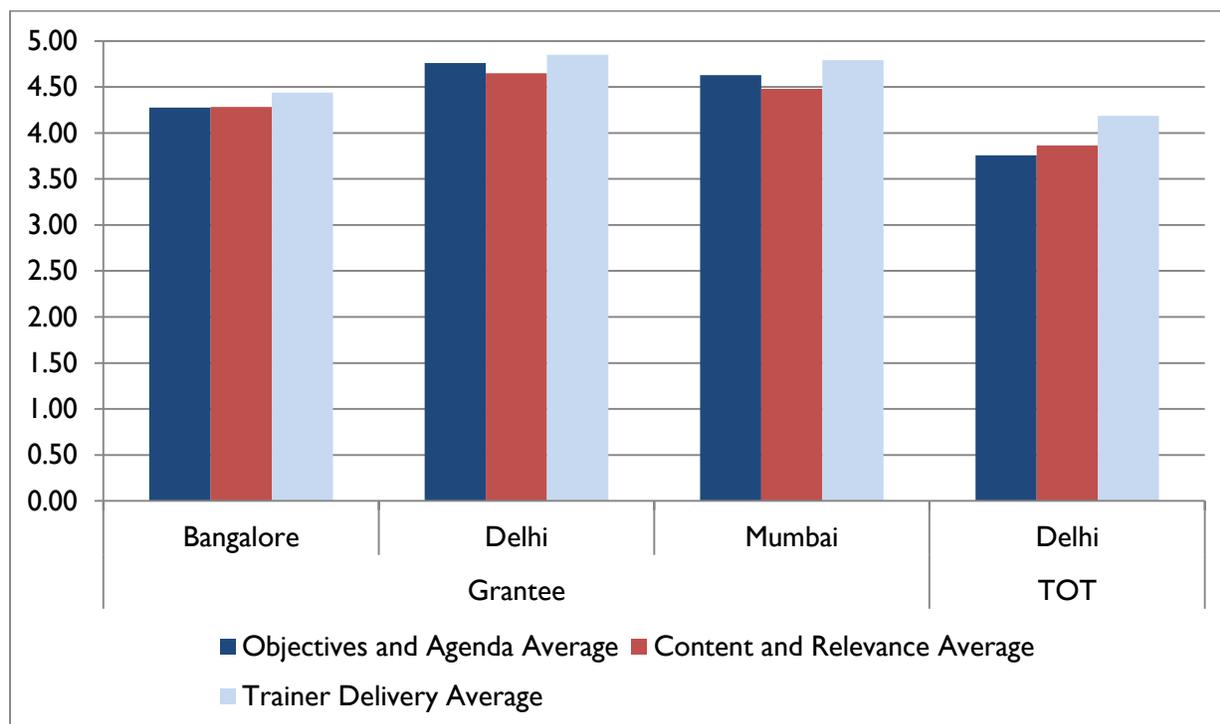
Katha ILR and U-Respect mentioned that their project could be sustained through the staff, volunteers, and beneficiaries of their interventions. Since they are knowledge-transfer projects, the transfer of knowledge, and then the replication of that knowledge within the communities they are reaching, allow for the effects of the intervention to continue on even without their presence. Both of these projects leave a legacy of individuals that share the knowledge gained through their programs with their communities.

During the second phase of process documentation, the SI team saw more evidence that the grantees were thinking about sustainability of their projects and taking steps to ensure that their interventions were sustainable. In particular, Waterlife, Greenway, and HaldiTech built financial sustainability into their outcome maps, as did CLT. Some grantees, though, continue with a donor-dependent model, and were unsure of the future of their interventions. EI, for example, was not awarded additional MA funding, so there were no plans to continue with the Mindspark lab. FICCI, during the individual consultations, encouraged grantees to pursue additional sources of funding outside of the MA.

Workshop Findings

As previously mentioned, there were 31 participants in the four workshops (11 attended the training-of-trainers, and 20 grantees attended the grantee workshops). Following the workshop, all grantees developed revised outcome maps (see Annex IV). After the workshops, each grantee completed a course evaluation form. The results of the course evaluation are summarized in the table below:

Table 1: Workshop Course Evaluations



According to the course evaluations, grantees found the workshop content to be highly relevant and aligned with their needs. One participant from Bangalore wrote on their course evaluation form that “we’ll take this learning to help us with the way we do things – monitor/ track/ document/ evaluate/ present/ plan our work more meticulously, so our efforts and results are more cohesive. It will definitely help us as we grow.”

CONCLUSIONS

Inconsistency among grantee reporting capacity precludes the ability to compare progress across grantees. For the most part, grantees collect only the information that is of immediate interest to them, either at the activity or the output level. Outcome level data, however, is less frequent. The reports submitted by grantees track activities rather than outputs and outcomes, and they do not report against standard indicators, outside of funding utilization metrics.

Gaps in the linkages between activities and intermediate outcomes make it difficult for grantees to manage resources and track the extent to which they are achieving their objectives. Most grantees were unfamiliar with the logical framework model, and found it challenging to articulate the connections between their activities, outputs of those activities, intended outcomes, and long-term outcomes. The development of a sound logic model is also crucial to the success of an impact evaluation. As such, without establishing linkages to intermediate outcomes, not only is it difficult to track progress, but it presents significant challenges for impact evaluation design.

However, after explanation of the outcome map and logic model approach, grantees were receptive to this kind of reasoning and found it to be a useful way of explaining and understanding their projects. Their ability to use this approach greatly increased following the workshops, and all grantees developed revised outcome maps. During the two-hour consultations following the workshops, each grantee worked with the SI team to improve their theories of change from the round I visit. These theories of change, however, still require further refinement, especially in explicitly defining the results and strengthening linkages between intermediary outcomes.

The lack of monitoring data is due to limited capacity among grantees to track progress, measure outcomes, and document successes and challenges. This is primarily due to lack of technical capacity and limited human resources, as cited by grantees. Most grantees do not have staff dedicated to project monitoring. Due to self-reported human resource constraints and limited technical capacity for monitoring and evaluation among most grantees, there is little opportunity to use project data for programming decisions, or to develop evidence-based logic models. As a result, it is (in most cases) not possible to determine the level of progress each grantee is making against their stated (and unstated) objectives.

Grantees may be achieving social outcomes, but it is not possible to determine the extent to which those social outcomes have been achieved with current measurement practices. The majority of the monitoring that occurs tracks activities, not results. For “market-focused” grantees, social outcomes tend to be secondary, and with limited resources, it is difficult for them to justify collecting data on social outcomes that do not have an immediate impact on how they deliver their product or service.

MA funds supported innovation in different ways, depending on the grantee. With such diversity in the grantee recipients, it is reasonable to expect that the funding provided by MA would provide varying levels of support. Across the grantees, though, the funding did support innovation in

some way, whether it assisted in scale-up, testing, or offered full funding support.

Prospects for sustainability and self-sufficiency of the projects, especially those that do not involve customers, are uncertain. Sustainability of projects tends to be either donor- or customer-dependent, and most grantees do not have clear plans for sustainability, though this improved during the second phase. Most projects do not have sustainability plans aside from continued donor funding.

Capacity building efforts on performance management contributed to increased knowledge and application of performance management concepts in grantees' work.

During their individual consultations and in their workshop evaluation forms, grantees noted that the content they learned during the workshop would help them improve their processes and systems, and discussed their plans for integrating these concepts into their project implementation.

RECOMMENDATIONS

1. In future rounds of MA grants, use a standard reporting template that includes standard indicators to allow for comparison across grantees. A draft template and list of indicators is provided in Annex VII.
2. Provide grantees with capacity building on developing logical frameworks, indicator development, process mapping, and monitoring and evaluation. FICCI and USAID should leverage the workshop materials to build the capacity of grant applicants selected to submit a full application, and then use an expanded version of these materials during a project planning workshop after award.
3. Provide grantees with capacity building on managing for results and defining outcomes. These topics would be most relevant for grantees prior to beginning implementation of their projects.
4. In grant proposals, require that grantees describe what data they will collect and how they plan to use it throughout project implementation.
5. Evaluate grantees based on social outcomes and require reporting against social outcomes. For projects that are eligible for impact evaluation, build this into project design so that it is incorporated from the beginning of the grant.
6. In grant proposals, require grant applicants to include a sustainability plan according to a standard definition of sustainability to be developed by FICCI and USAID.
7. Provide grantees with continued technical assistance on performance management topics, either through the FICCI innovation managers or through a performance management specialist at FICCI or USAID.

VI. NEXT STEPS

This section of the report provides guidance on how USAID and FICCI can take process documentation forward with existing and future grantees. Most of these steps should be carried out by the FICCI innovation manager for each grantee.

ROUND 1 GRANTEES

For the nine round 1 grantees that SI visited for process documentation, we recommend the following steps for continuing process documentation:

- Conduct a three-month follow-up survey to see how they have used the information they learned at the workshop and to assess the workshop's contribution to improved performance management practices.
- Use the data collection instruments provided in the report, as well as the grantee-specific write-ups to continue the process documentation for each grantee. This can be completed along with the three-month follow-up survey, and every three months thereafter for all grantees still implementing their projects.
- Identify a FICCI staff member to serve as the performance management specialist for grantees. This person would respond to any questions that come from grantees as they begin applying the tools and methods for process documentation and performance management that they learned at the workshop. This individual would likely either need former experience in performance management, or more intensive training to be able to provide this technical assistance.

ROUND 2 GRANTEES

For the grantees that were recently awarded and have yet to begin implementation, we recommend the following steps for building process documentation and performance management into their implementation strategies:

- Host a performance management and process documentation workshop using the materials provided by SI before implementation starts
- Conduct one-on-one, full-day, consultations with each grantee to refine their theory of change and results statements, develop a monitoring and evaluation plan, and draft performance indicator reference sheets. This may be best conducted over the course of two-three days.
- Orient grantees to the reporting template and explain how to report against standard indicators.
- Every three months, conduct process documentation using the data collection instruments provided in the report.
- For areas of implementation that need to be strengthened or improved, conduct process mapping to identify ways to make the process more efficient or effective. Instructions on process mapping can be found in Module 4 of the workshop materials.
- Identify a FICCI staff member to serve as the performance management specialist for grantees. This person would respond to any questions that come from grantees as they begin applying the tools and methods for process documentation and performance management that they learned at the workshop. This individual would likely either need former experience in performance management, or more intensive training to be able to provide this technical assistance.

FUTURE ROUNDS OF GRANTEES

For the grantees that will be awarded in the future, we recommend the following steps for building process documentation and performance management into their application process and implementation strategies:

- Host a performance management and process documentation workshop using the materials provided by SI after the first application round (concept paper) and before grantees develop their full applications.
- Revise the application to include the following:
 - Statement of results at the output and short-term outcome level
 - Draft indicators for reporting
 - Description of how data collected will be used for project management
- After award, conduct one-on-one, full-day, consultations with each grantee to refine their theory of change and results statements, develop a monitoring and evaluation plan, and draft performance indicator reference sheets. This may be best conducted over the course of two-three days.
- Orient grantees to the reporting template and explain how to report against standard indicators.
- Every three months, conduct process documentation using the data collection instruments provided in the report.
- For areas of implementation that need to be strengthened or improved, conduct process mapping to identify ways to make the process more efficient or effective. Instructions on process mapping can be found in Module 4 of the workshop materials.
- Identify a FICCI staff member to serve as the performance management specialist for grantees. This person would respond to any questions that come from grantees as they begin applying the tools and methods for process documentation and performance management that they learned at the workshop. This individual would likely either need former experience in performance management, or more intensive training to be able to provide this technical assistance.
- Identify projects that have potential for an impact evaluation prior to implementation. Provide them with additional time to work with an impact evaluator to design the study prior to implementation.

GRANTEE REPORTS

CLT E-PATASHALE

PROJECT BACKGROUND

The Children's Lovecastle Trust (CLT) (<http://www.cltindia.org/>) is non-profit, non-governmental organization (NGO) working to keep children in school. Since 1997, CLT has created a support system for children in rural Karnataka by leveraging technology to transform the way students learn with programs ranging from online education to during school interventions with Institute for Chemical Technology (ICT) tools and after school centers. CLT's partners include FICCI, USAID, Selcu Foundation, Menda Foundation, Tiruba, Amazon, and the Rotary Club.

India is facing a shortage of qualified teachers—a problem most prevalent in rural regions. The current supply of qualified teachers cannot meet the educational demands within India. CLT strives to bridge this gap by mobilizing qualified teachers and leveraging technology to connect them to multiple remote classrooms at a time. CLT is also actively engaged in developing cost-effective digital content that can be replicated to all state languages in India.

After launching CLT's initial mid-day meal program, CLT recognized that educational resources and qualified teachers were the missing factors needed for achieving a high quality education. From 2000 to 2006, CLT used commercial curricula-based digital content in one village school with 600 kids. This intervention yielded positive results—with students achieving better grades and furthering their education beyond primary and secondary school.

CLT's landmark e-Patashale launched in 2006 and developed cost-effective, localized curricula-based content for students in grades K-12, in both English and Kannada languages. By 2010, CLT set up DVD libraries of curricula-based content in more than 100 middle schools, providing access for more than 12,000 children. CLT trained more than 300 teachers in integrating ICT tools and developed DVDs that are navigated with a TV remote without losing any functionality. In January 2011, the model evolved to provide content for live online teaching.

The main objective of e-Patashale is to deliver solutions that are locally relevant, easy to replicate, and scalable. In addition, e-Patashale strives to leverage the advantages of technology for giving access to enhanced pedagogy and qualified teachers. The electronic content contains 2 and 3-D animations, graphics and flash slides based on state and national curricula for grades 5-10 in English grammar as well as science and math in English and Kannada. CLT has partnered with Cisco, Microsoft Research Foundation, and Intel Computer Clubhouse.

With the MA funds, CLT is conducting an evaluation of the existing e-Patashale program, and is developing curriculum for grades 9, 11, and 12 in English and Kannada. The innovation in e-Patashale, as described by CLT, is that it uses a web-based distance-learning system to teach students in rural government schools remotely with qualified teachers in all subjects, without replacing the rural teachers. The online teachers provide their own instruction with digital content and online discussion to strengthen the current curriculum and teaching of rural teachers. This program lasted through March 2014.

IMPLEMENTATION ACTIVITIES AND PROCESSES

During the first round of SI's process documentation (April and May 2014), CLT had conducted, tested, and piloted new e-content. CLT completed a small impact assessment including baseline data collection for two sample schools selected for piloting. The activities and processes since CLT received MA funding are outlined below. However, CLT's overall strategy and activities predate the MA grant.

Table 2: CLT Activities and Processes

Key Activity	Timing of Activity	Processes Undertaken
Acquire MA grant	August 2013	- CLT received MA funding
Set up technology	September – October 2013	- Procured computers - Installed e-Patashale software in computers in 600 classrooms through Sankaya partnership
Identify classrooms	September 2013	- Identified 75 classrooms in rural districts, with Sankya Rotary Club - Distance education with Cisco resumed for 36 classrooms for year 2013
Teacher training	September – October 2013	- Trained 100 teachers in three batches to use CLT e-Patashale content - Trained 100 teachers for Sankya Rotary group of schools
Content development	September – October 2013	- Outsourced work for Story Boards - Began translation - Developed Kannada typing curriculum - Completed English presentation for second semester 6 th and 9 th grade science, math, and English grammar - Completed 50 percent work on Kannada translation and replication for the above
Conduct Jakkur activities for evaluation	October 2013	- Conducted baseline testing for M&E and set up indicators for measuring impact - Set up two e-classrooms in Jakkur middle school for M&E, with infrastructure (computers, UPS, and Monitor) - Installed software on Jakkur computers - Trained teachers in Jakkur school
Develop e-modules	November 2013	- Continued hiring more people to develop e-modules (hiring continued throughout implementation) - Completed Kannada content for second semester - CLT added a sound-proof studio to add voice-over to content - Identified two CLT resource people to collect daily observational data
Pilot M&E processes and hire for M&E support	December – January 2014	- Set up a second school for M&E with infrastructure - Hired a statistician to document observations every day to submit for evaluation - Administered tests to children in both control group and CLT e-learning classrooms

Key Activity	Timing of Activity	Processes Undertaken
		<ul style="list-style-type: none"> - Completed baseline data collection in two schools - Observed (daily) visits with unit tests for both treatment and control groups - Conducted internal M&E training for staff
Rollout curriculum	December – February 2014	<ul style="list-style-type: none"> - 225 more licenses were acquired by Sankya Club and added to more rural schools - Scaled up teacher training
Develop partnerships	January – February 2014	<ul style="list-style-type: none"> - Started collection of observational data and worked closely with CLT teachers and the school system - Recruited a senior person to head Partnerships and Strategic Initiatives (this position was vacated again after four months)
Develop E-Book	February 2014 and ongoing	<ul style="list-style-type: none"> - Started the process to convert content for Android platforms and tablets - Set up a video-editing team and ordered software licenses for six people - Tested new content and quiz on an Android tablet - Amazon Kindle expressed interest to develop e-books for their Kindle store - Five summer interns edited Amazon e-books for e-Patashale in April 2014 - 8th grade Science Book (1,000 pages) was tested by Amazon Kindle and the MOU was signed in May
Continue content development	March – April 2014	<ul style="list-style-type: none"> - Hired four more people for content development of Android applications and sourced voice-over artists for June delivery of video series - Android content was tested on potential devices/partners, such as Tirubaa and Selco - Ordered one software for quiz making (iSpring), bought five new computers and received 15 used laptops/computers from Cisco Systems - Acquired three more licenses for video editing (Camatasia), - 200 more licenses were given to Sankya Rotary Club
Participate in Sankalp in Mumbai and other opportunities to showcase the project	April – May 2014	<ul style="list-style-type: none"> - Met SI team at Sankalp UnConvention Summit - Presented impact assessment of e-learning beneficiaries versus control group at Jakkur school at the Sankalp UnConvention Summit - CLT set up booth to showcase content for two days with FICCI's sponsorship - CapGemini visits CLT campus - Completed two presentations at Selco Foundation (and RMZ group) for CLT e-Patashale content to be implemented in 150 schools in Dharward, Karnataka
Build Android application	May 2014	<ul style="list-style-type: none"> - Android application was built by Cosyn Global - Training of Trainers – 32 people trained - CLT completed first semester content for 6th and 9th grades in Kannada and English for science, math, and English grammar (new development for upgraded syllabus) - Completed content for Android (video format) for first semester for 5th, 6th, 8th, and 9th

Key Activity	Timing of Activity	Processes Undertaken
		grades in Kannada
Expand partnerships	May 2014	<ul style="list-style-type: none"> - Met with CapGemini for potential partnership for 1st – 10th content in Marathi - Proposal sent to CapGemini (proposal still open) - Met with Principal Secretary of Karnataka (Mr. Rajkumar Kathri) to discuss opportunities to implement CLT e-Patashale program in schools that already have ICT infrastructure and was directed to go to DSERT to acquire approval - Met DSERT with a team of CLT teachers on May 22nd to meet their small and medium sized enterprises, pedagogy experts, DDPI, and textbook committee members - Positive report of CLT's work went to the principal secretary - CLT was asked to share some evaluation data for their report to be sent to principal secretary - Presentation to SathyaSai schools (30 schools)
Establish online content	June 2014 and ongoing	<ul style="list-style-type: none"> - Entire courseware in Kannada obtained capacity to be used on an online platform - Access granted on a fee basis - Determined what could be offered for \$9.00 - 150 free samples loaded, in addition to two e-books and hands-on activities - For every video, a description was needed—delaying the process - Udeme platform for e-learning was established
Acquire solar power for technology in the schools	Ongoing since August 2014	<ul style="list-style-type: none"> - Installed solar panels - Trained teachers to use Android curriculum with regular curriculum - Mr. Menda saw the program and came up with the idea to bring in Selco to install solar panels to address infrastructure issues - One third of the funding was used for the evaluation
Conversion to Android devices	Ongoing since August 2014	<ul style="list-style-type: none"> - Adapted curriculum for use on Android devices
Begin evaluation	September 2014	<ul style="list-style-type: none"> - Grey Matters began evaluation of the project - Met them at Sankalp - Selected 30 treatment schools and five control schools - This project will be studied extensively over the next year

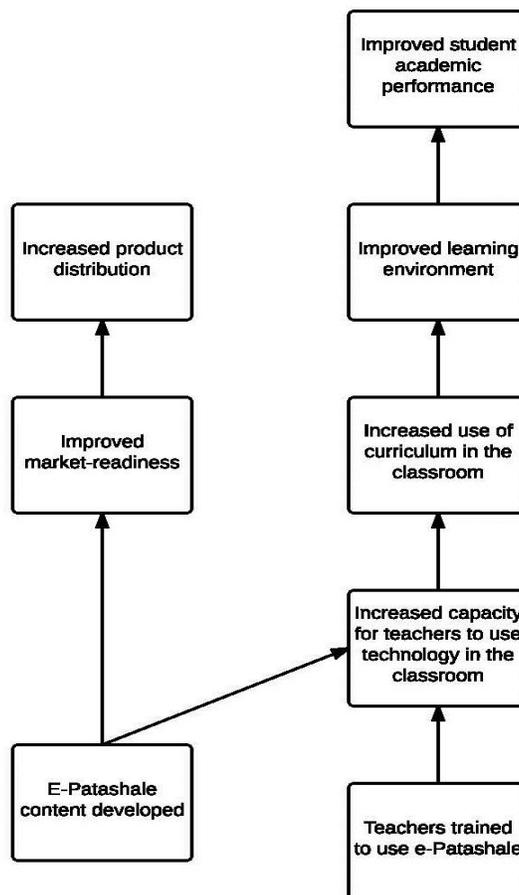
THEORY OF CHANGE

Below is CLT's basic theory of change, which takes into account their major outcomes of interest and linkages to project activities. The outcome map in Annex IV provides further detail on each of these outputs/outcomes.

According to CLT, if CLT provides ICT infrastructure and establishes partnerships with private companies, as well as develops the e-Patashale courseware and training materials, CLT will be able to train teachers on how to integrate this courseware into their teaching curriculum, and install the software in rural classrooms (assuming that the schools are supportive of the curriculum). The teacher training will lead to increased capacity for teachers to use the technology in the classroom, promoting increased use of the curriculum in the classroom. Assuming that the teachers use the curriculum correctly, increased use of the curriculum will contribute to an improved learning environment (due to increased student engagement) and improved academic performance by students.

As CLT continues to develop its content and adapt it for different learning contexts (translation into multiple languages, Android content, etc.), this will improve the product's market-readiness, and lead to increased product distribution.

Figure 1: CLT Theory of Change



DATA COLLECTION

CLT has collected data that is directly related to the evaluation in two schools for M&E plan piloting. At a later date, CLT hopes to implement the M&E plan into all intervention schools.

Table 3: CLT Data Collection at the Time of SI's First Process Documentation Visit

Data Collected	Output/Outcome of Interest	Data Source
Test results for baseline and endline study	To assess the learning achievement of the students who are using e-Patashale in the classroom against the control group	Baseline and endline tests administered to students

The indicators presented in CLT's outcome map (Annex IV) are suggested indicators for further consideration.

SUCCESSSES, CHALLENGES AND LESSONS LEARNED

Successes

CLT demonstrated success at forming partnerships with government schools and private corporations to develop and implement the e-Patashale software and curriculum. For instance, CLT developed inexpensive e-books in partnership with Amazon, and is working with select software developers to create apps and software for rural classroom use. CLT also received the Science, Technology, Engineering, and Mathematics Manthan award for in July 2014 for the southern and western states.

Challenges

The initial set up posed several challenges for CLT. First, several of the rural schools did not have sufficient infrastructure for the CLT curriculum, requiring CLT to provide the equipment needed for project implementation. CLT conducted a feasibility study prior to beginning work in the schools, but electricity continues to be a challenge. CLT started the program using the infrastructure that schools had available, but in many cases, the screens were too small for the classrooms. CLT is seeking partners to assist with solar panel installation in assisted schools to respond to the unreliable availability of electricity.

Additionally, CLT encountered some challenges in securing buy in from rural teachers and socializing the idea of how technology can support day-to-day teaching.

Another challenge CLT faced was teacher turnover. Many of CLT's activities focus on teacher training, and there is a constant need to train teachers because trained teachers are often transferred to different schools. For teacher training, CLT is exploring the option of creating a video series and setting up Internet connectivity in assisted schools so that teachers can connect via Skype. Currently, though, CLT brings together groups of 35-40 teachers every couple of weeks and provides overtime payment to its staff that are conducting trainings on weekends.

Scalability is an important challenge for CLT. In order for it to continue to expand, CLT needs to strengthen their marketing and widen their potential consumer base by translating the curriculum into multiple languages. CLT has sought additional partners to fund this activity and they are currently increasing their marketing efforts to improve the potential sustainability of the product.

Lessons Learned

As CLT began implementation, it recognized that the original curriculum model proposed did not meet the needs of its target population. Initially, the model was going to be flash-based slides with about 20 percent voice-over. However, CLT noted that there was a significant demand for Android-based content, and CLT re-programmed its funding to adapt to the market. Their curriculum is not comprised of short videos with voice-overs, and at the time of the second phase of process documentation, they were working with a software company to develop the application for Android devices.

In response to the challenges presented above, CLT intends to implement the following lessons in future activities:

- Conduct a feasibility study for e-Patashale possibilities prior to beginning work in the schools
- Prioritize schools that have an adequate supply of electricity
- Prioritize schools that already have IT infrastructure and supplies set up

EDUCATION INITIATIVES (EI)

PROJECT BACKGROUND

Established in 2001, Educational Initiatives (EI) (<http://ei-india.com/testimonials>) is an organization working to ensure every child learns with understanding. Based in Ahmedabad, Gujarat, EI aims to address the fundamental problem of how and why students fail to answer application-based questions due to lack of understanding of core concepts.

EI developed interactive tools like Mindspark (a digital self-learning program), Assessment of Scholastic Skills through Educational Testing (ASSET), Detailed Assessment, CCE Certificate Course, Teacher Evaluation Program, and Teacher Sheets to assist thousands of teachers in improving their students' achievements. Through partnerships with organizations like the World Bank, the Michael and Susan Dell Foundation, Google, the Azim Premji Foundation, Duke University, and various state governments, EI has assisted over two million students in the past 12 years.

EI received funding from MA to develop Mindspark Bhasha, a computer-based audio-visual solution for developing reading skills among children in grades 1-8 in Hindi. The pilot is intended to build the capacity of teachers for using and leveraging EI's reading solutions towards improved classroom pedagogy by integrating this new technology. The pilot targeted around 500 students from grades 2-6 through the computer lab (Mindspark Bhasha Lab) with Mindspark Bhasha software installed. Every student is assigned an individual login account so that students' learning progress can be monitored.

The innovation in the EI Mindspark Bhasha program is in the level of customization available. As students interact with the program, it collects information on reading performance and comprehension, and then increases difficulty at a pace appropriate for the individual user. Each student has a personalized login name and password, and the Mindspark program can track their progress over time. This is especially valuable for mixed-grade classrooms, so that each student can learn at his or her own pace.

IMPLEMENTATION ACTIVITIES AND PROCESSES

During the first round of SI's process documentation, EI (MindSpark Bhasha) completed all of the activities proposed in their grant application. The activities and processes are outlined below. However, EI's overall strategy and activities predate the MA grant.

Table 4: EI (MindSpark Bhasha) Activities and Processes

Key Activity	Timing of Activity	Processes Undertaken
Pre-project activities	March 2013	- Conducted background research and began pre-development
Prepare for Pilot	March – September 2013	- Visited schools and determined level of interest - Finalized school selection, started conversations with schools and relevant authorities for permissions
Submit Work Plan	September 2013	- Received MA funding - Submitted of work plan and received approval
Pre-Pilot and Orientation	September 2013	- Finalized Mindspark content - modules, release dates - Began recruitment plan - created job descriptions, posted positions online for full time local and temporary staff - Hired and trained staff - Estimated all infrastructure requirements - Obtained government permissions for conducting pilot in government schools, which needed to be planned carefully for scale up - Identified vendors and rates for computers and other infrastructure - Installed infrastructure in each school - Prepared material for school orientation - Mastered training for orientation (fresh hires as well as EI personnel) - Scheduled Mindspark sessions in school timetables - Defined monitoring parameters - Student, Teacher, Environmental - Created school visit schedules for all EI resources
Release of Mindspark Bhasha	October 2013	- Held school orientations - Conducted baseline assessment - First Mindspark language module released
Mindspark Monitoring	November 2013	- Monitored and supported teaching sessions for teachers and students for first two months - Closely monitored the variables identified and made changes where necessary - Completed mid-term assessment and reporting

Key Activity	Timing of Activity	Processes Undertaken
		<ul style="list-style-type: none"> - Conducted training/capacity building with teachers on how to use data from the language tool
Release of additional module	January 2014	<ul style="list-style-type: none"> - Second and final Mindspark language module released
Renew Permissions	February 2014	<ul style="list-style-type: none"> - Requested for another set of permissions from the government, because they expired on February 15th. - School principal and teachers jointly wrote a request to the Department of Education (DOE) and the permission was extended to the end of April
Continue running pilot until the end of the academic year	March 2014	<ul style="list-style-type: none"> - Continued monitoring of identified variables - Held sessions with teachers to share learning and feedback
Conduct Impact Assessment and Final Report	March 2014	<ul style="list-style-type: none"> - Completed endline assessment - Conducted analysis and reporting - Final report submitted at the end of March - Completed installment of infrastructure (the infrastructure belongs to FICCI. FICCI promised the school that they would give them 10 computers after the end of the pilot, with FICCI's concurrence) - Computers were still in the school as of September 2014, though a decision remains to be made regarding the computers and furniture that EI provided - Computers and furniture remain property of FICCI, but there was an informal agreement that FICCI would give the computers back to EI. The school requested that some of the computers stay at the school
	March-May 2014	<ul style="list-style-type: none"> - Kept lab open due to requests from students to keep it open so they could continue using it after the end of the school year - The principal was worried about the idea of the lab being open after the exams - Students obtained non-objection forms signed by their parents - Continued running operations
	May 2014	<ul style="list-style-type: none"> - Communicated with teachers and principals about plans for the future - Though EI planned to make this school a model for other schools, it did not receive funding to do so
	June – July 2014	<ul style="list-style-type: none"> - EI planned to scale up operations in 14 other schools - Results of second round MA funding showed that EI did not make it through the next round of applications - EI did not seek alternative sources of funding - EI attempted to talk to the DOE about keeping the lab open at the pilot school

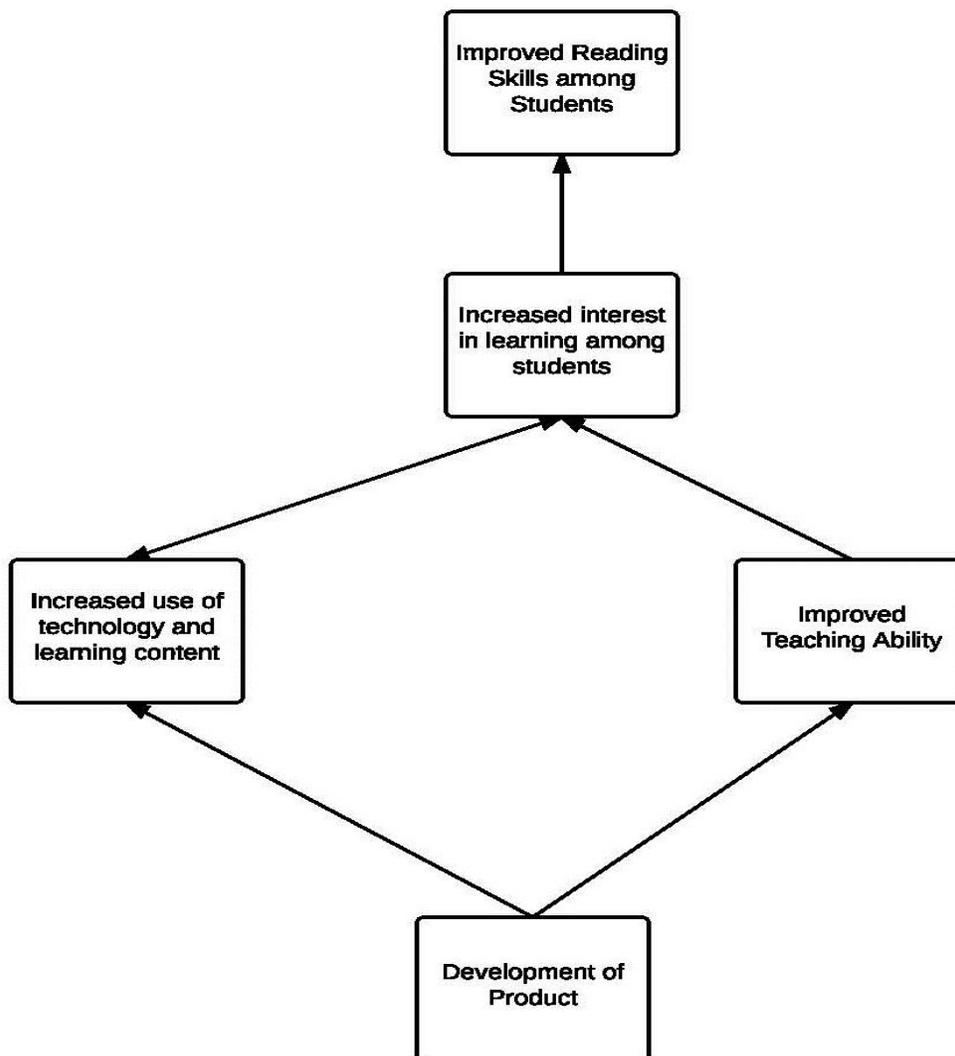
Key Activity	Timing of Activity	Processes Undertaken
Phasing out Pilot	-----	- Though the project began phasing out during the summer, EI kept the infrastructure in the school until new session began
	September 2014	<ul style="list-style-type: none"> - Sought additional sources of funding for scale up - Considered scaling back the scale-up plan to bring it down to two or three schools - Five slum centers were established in Delhi, and experimentation began in that setting - Continued revising scale-up plan - Applied for ReadAID program, an Australian reading program - Pitched the product to programs/grants where the focus is on reading - Tested a few different models to see which one was picked up
	November 2013-September 2014	<ul style="list-style-type: none"> - Met with investors through FICCI-supported meetings and conferences - Gained significant opportunities for exposure and showcasing with support from FICCI

THEORY OF CHANGE

Below is EI's basic theory of change, which takes into account their major outcomes of interest and linkages to project activities. The outcome map in Annex IV provides further detail on each of these outputs/outcomes.

The development of the Mindspark courseware and its installation in schools (through Mindspark labs), as well as teacher training activities so that teachers can learn how to effectively integrate the Mindspark curriculum and data into their classroom teaching methods, will lead to improved teaching ability and increased use of the technology. This increased use of technology and the improved teaching methods will lead to increased interest in learning among the students and, assuming that the students are regularly attending their Mindspark lab sessions, we can expect to see an improvement in their reading skills.

Figure 2: EI's Theory of Change for Mindspark Bhasha



DATA COLLECTION

EI collected information on the students' reading levels at different stages throughout the six months of direct intervention. Since MindSpark Bhasha is a cloud-based software service, information on students' time spent on the computer, also called "time on task," was collected for monitoring and feedback purposes. EI developed an online monitoring plan for tracking MindSpark Bhasha activities for all of the teachers, EI staff, and students.

Table 5: EI Data Collection at the Time of SI's First Process Documentation Visit

Data Collected	Output/Outcome of Interest	Data Source
Baseline, midline and endline data collection	Student achievement in reading	Reading Assessment tools based on the grade levels included in the program
Project monitoring	Use of Mindspark Bhasha	<ul style="list-style-type: none">- Mindspark Bhasha dashboard- Teachers and EI's centralized Dashboards- Student and teacher login—time and duration- Project Management Information System

SUCCESSES, CHALLENGES, AND LESSONS LEARNED

Successes

EI was able to integrate the Mindspark Bhasha program into the government school curriculum soon after the award was obtained, allowing students to complete the Mindspark Bhasha program within a school year. This allowed them to collect data on students' learning progress for one academic year.

EI also received support from their innovation manager at FICCI. As they were seeking government permissions, the innovation manager connected EI with connections from his network to help move them through the system.

Challenges

Because Mindspark Bhasha was implemented in the government schools, EI needed to gain several permissions from various departments in the GOI. Additionally, finding a dedicated space for the Mindspark lab was challenging, as the project site was in a government school.

Teachers also did not see the immediate relevance of the Mindspark curriculum in relation to the National Curriculum Framework. The Mindspark Bhasha activities were not synchronized with regular teaching methods. EI saw that it was important to have buy-in from the headmaster, since the Mindspark lab is co-located with the school—rendering headmaster support crucial to the program's success.

As EI looks to expand to other countries, electricity will become an increasingly prominent challenge. There was interest by investors in Afghanistan to support the project, but because the technology is dependent upon the availability of internet and electricity, EI needed to adapt a version of the curriculum for tablets. They have launched the tablet version of the curriculum, but have not taken it to scale.

Lessons Learned

EI learned that it is important to begin the process of getting approval to work in government schools

much earlier, and to get the attention and interest of someone in the government to help move the approval process through. As they were seeking permissions, they invited someone from the DOE to see the lab and she was able to hear from teachers and students directly. This helped push through the case for permissions.

In future implementations of Mindspark Bhasha, EI would like to have a version of the software that would be accessible offline so that students could use it outside of school. They have had some success with this, but the offline version still needs to connect periodically (every three days) so it can sync progress of each student. Because the curriculum adapts to the student's performance, it needs to know how the student is performing in order to prepare subsequent exercises.

EI also sees the need to integrate government school teachers into the process so that Mindspark is a complement to the regular teaching curriculum, rather than an add-on. During the orientation with the teachers, the teachers went through the Mindspark curriculum themselves, and EI made the case that it would help support their classroom instruction. However, when they introduced Mindspark to the students, some teachers became disengaged because students were learning on their own, without guidance from the teachers. However, EI then found a way to re-integrate teachers into the process by providing them with data on students' progress, generated by the Mindspark program. Reactions from teachers were mixed, but this analysis could allow teachers to tailor their instruction methods based on the needs identified through Mindspark.

GREENWAY GRAMEEN INFRA

PROJECT BACKGROUND

Greenway Grameen Infra (GGI) (<http://greenwaygrameen.com>), founded in 2011, produces home energy appliances (namely, cookstoves) for rural consumers. Its cookstoves present a modern, fuel efficient, and affordable alternative to traditional mud cookstoves. GGI received funding from MA to develop and test the Greenway Power Stove, which employs a thermoelectric power generator encased within the body of the stove to generate electricity. The thermoelectric design of the stove results in a cookstove that (a) enables combustion to become cleaner and healthier and (b) provides excess power for charging a battery to power small appliances and electronics, thus filling a power need of rural households where power outages are frequent.⁴

At the time of application, GGI had developed a prototype of the Greenway Power Stove in collaboration with its thermoelectric partner, Hi-Z, and conducted initial testing. The MA funds were intended to support the field trials of the Greenway Power stove in six different sites and value engineering to achieve the right costing of the cookstove. Each of these activities is described in greater detail in the following section.

The innovation in this product, as described by GGI, is the thermoelectric technology of the cookstove. Up until now, thermoelectric technology has been applied in military and space contexts, but not in household consumer products. GGI's partner in San Francisco, Hi-Z, developed the thermoelectric patent that allows the technology to be very durable, but had been unable to use it on a wide scale. GGI's cookstove offered the opportunity to use thermoelectric technology in household appliances.

⁴ Greenway Grameen Infra MA Project Overview

IMPLEMENTATION ACTIVITIES AND PROCESSES

During the first round of SI's process documentation, GGI had just begun conducting field trials, and had taken several steps to prepare the product for field testing. The activities and processes are outlined below. However, GGI's overall strategy and activities predate the MA award.

Table 6: GGI Processes and Activities

Key Activity	Timing of Activity	Processes Undertaken
Conduct needs assessment	Prior to cookstove development	<ul style="list-style-type: none"> - Participated in CCEB study (funded by USAID/Bangladesh) - Reviewed mud stove, cookstove, and emissions data from previous studies
Scale prototyping	Began in 2012 when partnership with Hi-Z formed. Prototyping has been an ongoing process since MA funds were received.	<ul style="list-style-type: none"> - Designed first prototype - Identified and ordered components for thermoelectric technology - Assembled thermoelectric technology - Made adjustments for thermoelectric components to achieve the right balance of systems
Receive MA award	July 2013	<ul style="list-style-type: none"> - GGI received funding for field testing the Greenway Power Stove
Lab testing	Occurred in conjunction with scale prototyping through April 2014. 100 hours of lab tests have occurred in an open-air area of Greenway's office in Navi Mumbai.	<ul style="list-style-type: none"> - Used biomass to create a fire in the cookstove - Observed functionality of thermoelectric components - Observed functionality of the cookstove design - Measured the amount of electricity generated - Tested electric charging capability on a small battery-operated device
Identify Indian manufacturers	Ongoing through April 2014. Identified vendors in Pune and Ludhiana.	<ul style="list-style-type: none"> - Shared thermoelectric components with local manufacturers - Gathered price quotes - Tested manufactured products
Value engineering	Ongoing	<ul style="list-style-type: none"> - Determined a target price of INR 6000 - Developed value proposition of product - Demonstrated product in rural communities to generate interest - Worked on supply chain to bring down cost of manufacturing
Develop partnerships	Started in 2012 and ongoing	<p>GGI needed (or still needs to) to identify the following partners</p> <ul style="list-style-type: none"> - Thermoelectric component designer (Hi-Z) - NGO working in field trial location to facilitate access to potential consumers (Rural Commune) - Manufacturers - Funding (MA and IUSSTF) - Retailers

Key Activity	Timing of Activity	Processes Undertaken
		<ul style="list-style-type: none"> - Micro-finance institutions (MFIs) to offer lending services to individuals in rural communities so they can purchase the cookstove - GGI used its existing networks through the Greenway Smart Stove to identify partners in the field
Conduct field testing	Ongoing since April 2014	<ul style="list-style-type: none"> - Conducted a demonstration of the product to generate interest, especially among women since they will be the primary users of the cookstove - Worked with a local NGO to distribute stoves to individuals participating in field trials - Placed monitors on cookstoves that show how often and how long the stoves were used - Asked potential consumers: “How much would you buy this stove for?” - (Starting in August 2014) noted usability issues - Distributed the stoves in Pune district and Kerala - Acquired feedback from Pune (tribal belt) - Determined that women were mostly concerned about the cooking habits (specifically that they were satisfied with the product’s fuel efficiency and reduced production of smoke), while men liked that it is able to charge mobile phones - Greenway provided a rechargeable battery lamp—allowing customers to milk cows after sunset - Men were willing to purchase it at a price around INR 3000-4000; Greenway aims to sell it at INR 6000 - Worked with NGO Rural Communes, an NGO that the rural community is comfortable with - Some people that attended the demonstrations were ready to purchase the stove, but the commercial product was not yet available.
Commercialization	Ongoing since July 2014	<ul style="list-style-type: none"> - Determined that a pilot launch of 1000 stoves would come next - Modified stove based on feedback collected - Noted that there was a huge power loss in the PCB circuit—raising concerns that the product was not as efficient as they thought - Currently re-designing the circuit - Identified Chinese manufacturers to produce dies - Need to start seeking vendors here, so once the stoves come to the market, manufacturers would be interested in manufacturing the stove.

Key Activity	Timing of Activity	Processes Undertaken
		<ul style="list-style-type: none"> - Purchased materials in China and identified Indian manufacturers - Targeted a single village/town - Conducted demonstrations to increase interest of the cookstove
Collect feedback	Ongoing since April 2014	<ul style="list-style-type: none"> - Installed product in some houses, let them use it for 1-2 weeks, then collected feedback - Conducted demonstration on how to use the cookstove - Monitored technical inputs - Noted quality and usability issues that the customers raised - Used a customer feedback form - Matched lab test results with field test results - Faced problem in the accessories that were given along with the cookstove (lamp) – they were not high quality—highlighting the need to have better quality accessories - Learned the need to keep some spare parts - Received calls from customers with feedback or for technical support
Sales		<ul style="list-style-type: none"> - In the South, the MFI channel is being used to sell the cookstoves because of their greater involvement with women—an important group because their purchasing power is greater (they pay about 50 rupees per week) - Identified the need for a survey on income levels on women’s purchasing power - Began looking for a transportation agency for specific villages to increase potential for selling the product directly to the retailer

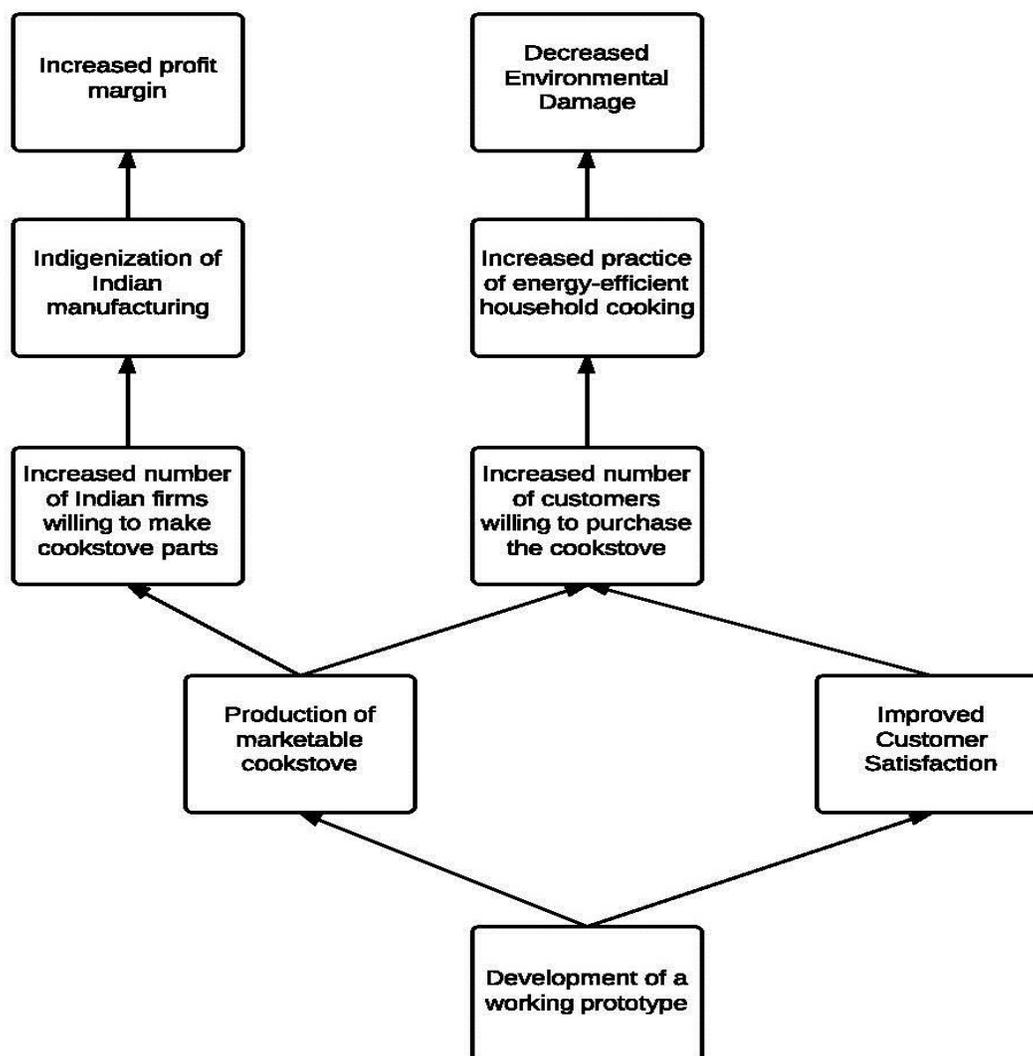
THEORY OF CHANGE

Below is GGI's basic theory of change, which takes into account their major outcomes of interest and linkages to project activities. The outcome map below provides further detail on each of these outputs/outcomes. GGI's primary outcomes are related to marketability of the Greenway Power Stove; however, they are also interested in the social and environmental outcomes. Both are presented in the theory of change statements below.

If GGI develops a thermoelectric cookstove prototype, then there will be both improved customer satisfaction with household cooking and production can follow of a marketable cookstove. With improved customer satisfaction and production of the cookstove, an increased number of customers will be willing to purchase the cookstove. Assuming that customers are using the cookstove for its intended purpose, increased sales of the cookstove should lead to increased practice of energy-efficient household cooking among customers.

With production of a marketable cookstove and an increase in customer demand will also come an increased number of Indian firms willing to make cookstove parts, which will contribute to the indigenization of Indian manufacturing. Overall profit margins will increase for all actors in the production line.

Figure 3: GGI's Theory of Change for the Greenway Power Stove



DATA COLLECTION

As previously stated, the indicators listed in the outcome map are *suggested* indicators for the grantee's consideration. The outcome map is presented in Annex IV. When SI made its first process documentation visit, the team inquired about the metrics that GGI was currently using to track progress against intended outcomes. The metrics GGI staff cited were:

Table 7: GGI's Data Collection at the Time of SI's First Process Documentation Visit

Data Collected	Output/Outcome of Interest	Data Source
Feedback from customers - Satisfaction with the	Level of customer satisfaction	Feedback form (pre-stamped postcard in the product box).

Data Collected	Output/Outcome of Interest	Data Source
product - Return on investment - Suggestions for improvement		NOTE: At the time of the SI visit, this data was only being collected for the Greenway Smart Stove Complaints forwarded by MFIs Calls to the toll-free call number
Frequency of cookstove use - # of hours of use - # of times used	Level of customer satisfaction	Cookstove monitors
Price information	Optimum selling price	Feedback from field trials Sales data
Manufacturing costs	Optimum selling price	Production data

SUCCESSSES, CHALLENGES, AND LESSONS LEARNED

Successes

GGI's primary success thus far was development of a working thermoelectric cookstove that can also charge a small electronic device. During SI's first process documentation visit, GGI was working on increasing the power generation and making the model highly durable so that it could be a lasting solution for household cooking.

In addition, GGI participated in various exhibitions and gained media attention for its stoves through increased support from FICCI. Also, GGI is working with IUSSTF, with the objective of indigenizing thermoelectric technology and building capacity of Indian manufacturers. GGI has been active in establishing partnerships to fund development of the cookstove and refining and applying the thermoelectric technology that the Greenway Power Stove uses.

Challenges

Currently, there are not many producers on the commercial model that can make use of the thermoelectric technology. As a result, most products need to be custom made, which is a costly endeavor. Additionally, because manufacturing is not prevalent in India, it has been challenging to identify Indian manufacturers that will be willing to custom-make the parts required for the cookstove. There is limited capacity for thermoelectric manufacturing in India, and this presents a challenge to GGI's goal of indigenizing production of the cookstove. GGI, therefore, is working first with Chinese manufacturers, and will commercialize the product to gain the interest of Indian manufacturers. Once there is sufficient interest and demand for thermoelectric technology, GGI will turn to Indian manufacturers.

In addition, due to the changes in the product design as well as delays due to the heating and cooling processes, production has slowed down for almost a year. Technical assistance is needed from advanced technicians that can perform thermodynamic analysis focused on heat transfer.

Also, though GGI would like to perform field trials and sell their product in the northeast where the need for these stoves is significantly high, they are not well connected to this market, making it difficult to make this move. The logistics involved with marketing the cookstove to some regions reduce the profit margin,

so GGI needs to be strategic about where they are selling the product and whether margins from some areas (like the South) can compensate for reduced margins in other areas. Related to logistics, identification of a strategic location to place a warehouse with spare parts and products remains a challenge for GGI. GGI wants to reach rural communities, but their geographic spread and the transportation difficulties can make it challenging to respond to service requests and to make return sales visits.

Access to finance is difficult, as public sector banks lend primarily to priority sectors. Not to mention, most bank branches in rural areas are considerably understaffed, making the process even more challenging. This is a significant challenge because a lot of financing is needed to create the capacity needed for bringing the product to market by the end of 2014. GGI is coordinating with MFIs to make loans available to families that want to purchase the cookstove, though there is better MFI presence in some regions than in others.

Lessons Learned

GGI learned that they will need a call center for this product—a component that was not included in GGI's business plan. This is a result of their policy to offer a full replacement within a year. Additionally, a call center would allow cookstove users to call in for technical support and general troubleshooting, ultimately limiting the number of replacements that GGI needs to send to customers. However, the development of a call center is complicated, requiring significant technical support. GGI purchased a free phone number that customers can call and then be directed to the appropriate contact within the company. At the time of the second phase of process documentation, GGI had not made any additional hires specifically for the call center, so calls were handled by the individuals currently on staff.

GGI also identified a need for on-site technical support. As calls for technical support began coming in, GGI set up a relationship with an electrician that works on an as-needed basis for customers that are having technical difficulties with the cookstove that cannot be resolved through the call center.

HALDITECH

PROJECT BACKGROUND

Annually, India produces five million tons of raw turmeric accounting for 78 percent of the world's production through six major turmeric belts covering 500,000 acres of land. In traditional processing, it is boiled, dried for 20 days in the open sun, and then polished to remove its casing, after which it is ground and packed. The traditional process takes 30 days to complete, costs INR 30, 000/acre, consumes 100 man days from the farmers' family, and involves extensive handling of the turmeric and associated labor charges. This whole process involves farmers, processors, and labors.⁵

Science for Society (S4S) (<http://scienceforsociety.co.in/>) developed a drying technology, HaldiTech, which reduces the processing time of turmeric from 30 days to 24-48 hours. S4S is an interdisciplinary group of individuals with background in engineering, medical sciences, and business management studies. S4S was founded in 2008 with the objective of solving the problems of society using scientific principles, innovation, and commercial enterprise.⁶ S4S is affiliated with the ICT, which serves as an incubation center for S4S. Prior to developing HaldiTech, S4S had developed a solar conduction dryer for use with fruits and vegetables. The creators of HaldiTech discovered that the same solar conduction technology could be applied to drying spices, like turmeric and, given the time-intensive nature of turmeric processing, selected this spice as a candidate for application of this innovative technology.

At the time of application, S4S had adapted the solar conduction technology for turmeric processing and began testing the product at ICT-Mumbai with 150 kilograms per day. S4S had also filed for an Indian patent and began developing a full-scale demo unit for field testing. The MA funding supports the field testing and demonstrations of the HaldiTech technology.

The innovation in this product, as described by S4S, is the method of heat transfer and its application to turmeric processing. HaldiTech uses conduction, rather than convection, as the mode of heat transfer, increasing the efficiency of the drying process and reducing the overall processing time. Additionally, HaldiTech would contribute to a more efficient supply chain by decreasing the amount of time between harvesting of turmeric and delivery to the market.

⁵ HaldiTech Project overview

⁶ <http://scienceforsociety.co.in/>

IMPLEMENTATION ACTIVITIES AND PROCESSES

During the first round of SI's process documentation, HaldiTech was undertaking its field trials, and had taken several steps to prepare the product for field testing. The activities and processes are outlined below.

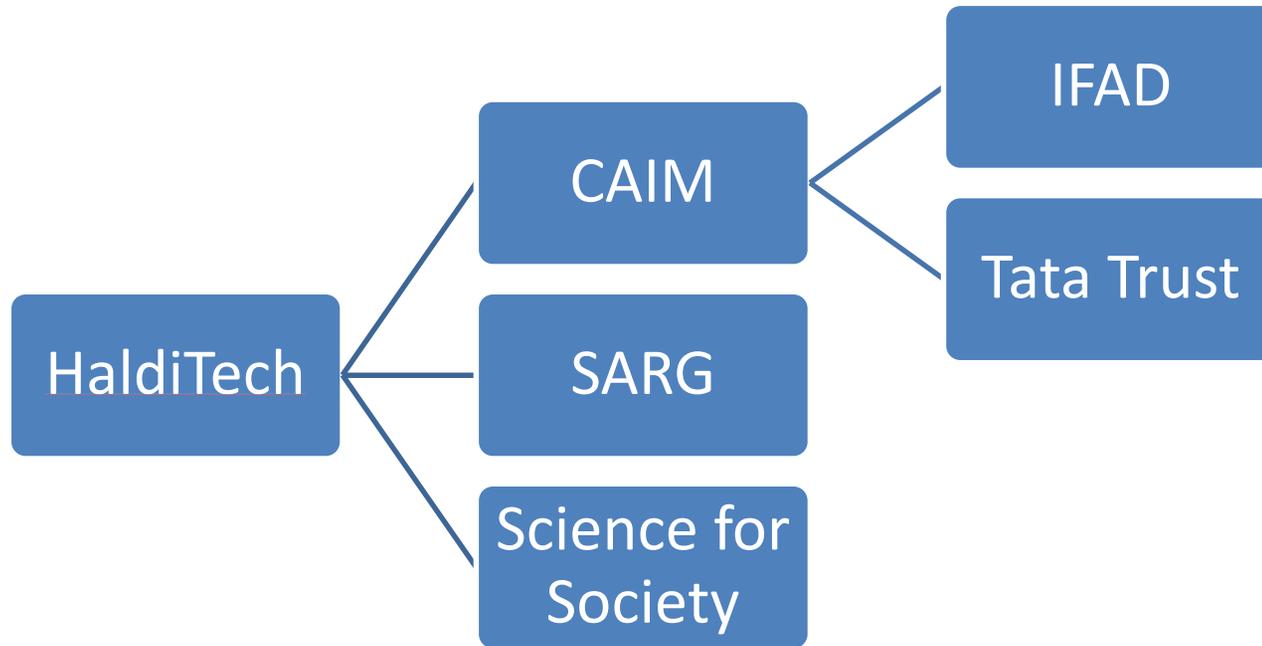
Table 8: HaldiTech Processes since Receiving MA Funding

Key Activity	Timing of Activity	Processes Undertaken
Conduct needs assessment	Prior to HaldiTech development	<ul style="list-style-type: none"> - Researched traditional turmeric processing methods - Interviewed different actors in the supply chain (farmers, processors, spice traders) to find out about the challenges they face and the way that turmeric makes it to the market
Develop HaldiTech demo unit to process 1000 kilograms/day	Upon MA award in July 2013 – April 2014	<ul style="list-style-type: none"> - Designed demo unit - Purchased raw turmeric for testing
Conduct Lab testing	Ongoing through April 2014	<ul style="list-style-type: none"> - Purchased raw turmeric for testing - Used the demo model to dry turmeric and observe quality of dried turmeric - Adjusted the demo model based on results of lab testing
Develop Partnerships (see Figure X)	2013	<p>S4S works with the following partners on HaldiTech:</p> <ul style="list-style-type: none"> - CAIM – an organization funded by IFAD to identify new technologies. They work with local implementers throughout Maharashtra to respond to village-level needs - Implementing agencies (the process documentation team met with SARG) – these implementing agencies work directly with farmers and serve as the link between S4S and the farmers for field testing <p>S4S developed MOUs with the organizations they are working with to delineate the roles and responsibilities</p>
Identify sites for field testing	Through April 2014	<ul style="list-style-type: none"> - Selected six sites, one in each of the six turmeric belts in India - Contacted the government for permission to conduct field testing - Worked with local organizations that have connections to farmers in each site - Contacted farmers that are willing to supply turmeric for field testing (some farmers are willing to provide their turmeric at no cost for pilot testing) - Selected four to five farmers per “cluster” in each site to either participate or observe the field testing
Hold Pre-Field Testing Workshops	Ongoing through turmeric season	<ul style="list-style-type: none"> - Upon arrival in a field-testing site, HaldiTech convened a workshop with representatives from the local government, the local NGO with connections to farmers, and farmers participating in the field trials

Key Activity	Timing of Activity	Processes Undertaken
		<ul style="list-style-type: none"> - Workshops were often held at a local agricultural university - Topics for the workshop included: <ul style="list-style-type: none"> ○ Introduction of HaldiTech system ○ How HaldiTech works ○ Benefits for farmers ○ Challenges that farmers face
Begin Field Testing	Ongoing through turmeric season	<ul style="list-style-type: none"> - Rented a large truck to transport HaldiTech demo model from site to site - Deployed S4S staff to meet with local implementer, CAIM, and other stakeholders at the site location - Selected sites for HaldiTech field trial (in many cases, multiple sites need to be selected within each trial site because of electricity shortages) - Connected HaldiTech to available electricity (or a generator where electricity was not available) - Ran turmeric through a cutting machine (in Akola, the machine was provided by a local university) - Placed cut turmeric on HaldiTech processing machine for four hours to dry - Ran turmeric through a cutting machine a second time - Placed re-cut turmeric on HaldiTech processing machine for an additional four hours - Packaged processed turmeric - As field trials occurred, farmers from the surrounding area came to observe the field trials, having heard about it through the workshop or word of mouth - Turmeric processed in Akola was sold on market for 80 rupees more than other turmeric, because it was able to get to the market sooner - Field testing showed that a stationary version of the technology would be preferable, where the machine would be idle for 8 months but remain available for use on other crops. Akola maintains a good horticulture environment in that area. Not to mention, they are witnessing a surge in demand for dry raw banana powder—which may allow farmers to use the machine for that purpose

Key Activity	Timing of Activity	Processes Undertaken
Find more partners and collaborate with partners in other regions	Since May 2014	<ul style="list-style-type: none"> - Explored new locations for next round of field testing
Contacting spice traders	Since May 2014	<ul style="list-style-type: none"> - Reach out to spice traders to make connections for purchasing processed turmeric. - Some large spice companies are interested in purchasing the technology, but they would be directly competing with the farmers that HaldiTech is trying to help - Traders prefer to have the turmeric slices, rather than the processed turmeric
Assemble all parts of process in a single line	Since May 2014	<ul style="list-style-type: none"> - Put together slicer, dryer, washer so that they are combined into a single machine - This activity is occurring based on the results of field testing

Figure 4: HaldiTech Partnerships (in Akola)



THEORY OF CHANGE

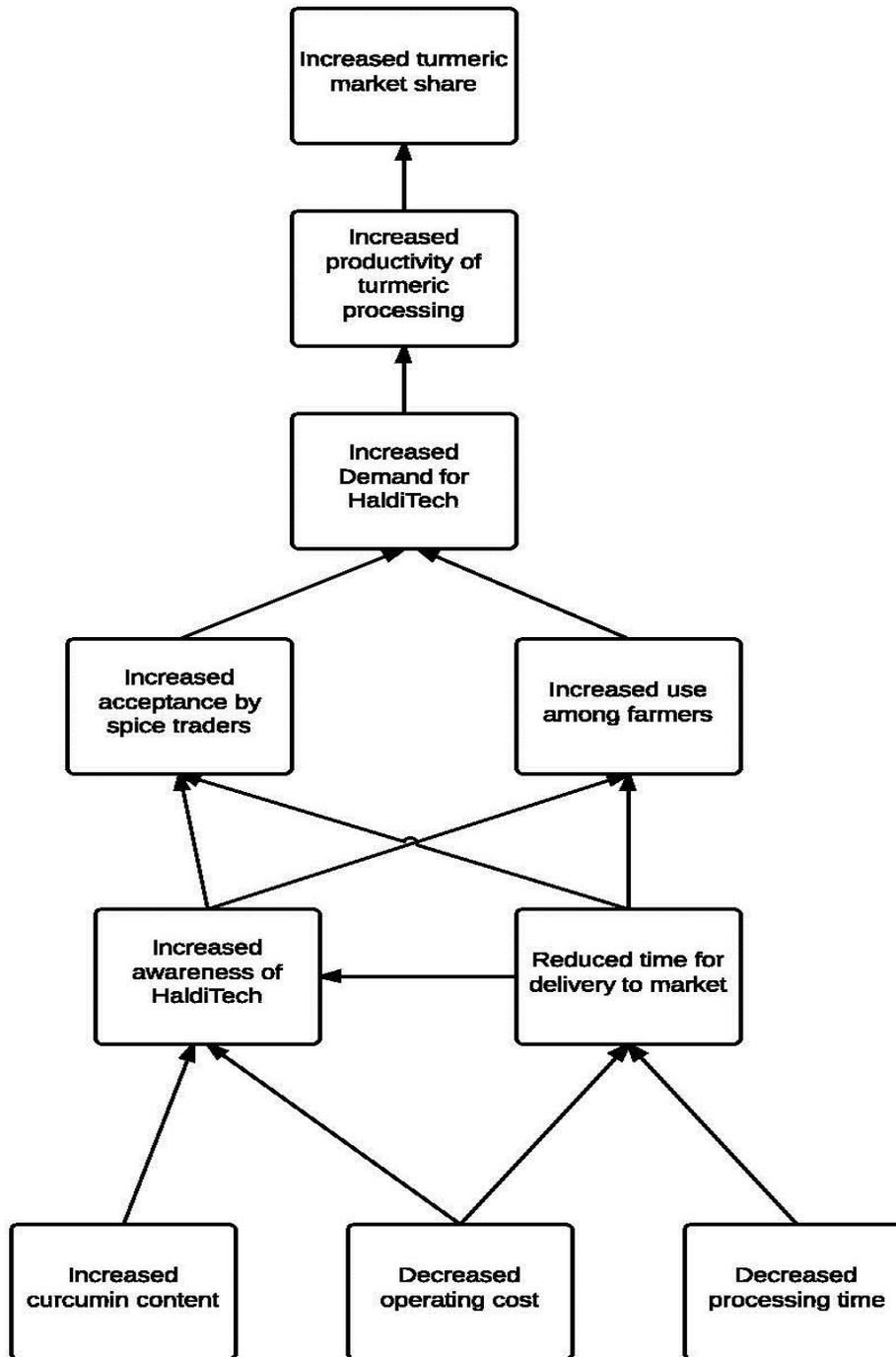
Below is HaldiTech's basic theory of change, which takes into account their major outcomes of interest and linkages to project activities. The outcome map in Annex IV provides further detail on each of these outputs/outcomes.

If farmers use HaldiTech technology to process turmeric, their turmeric will retain 45 percent more curcumin than turmeric processed with the traditional method—improving health qualities of turmeric product. Also, if farmers use HaldiTech technology, then the labor time needed for turmeric processing will decline: farmers will be able to reduce the processing time of turmeric from 30 days to 24 hours and allow farmers to get their product to the market sooner. HaldiTech technology also decreases overall operating costs of processing turmeric.

Decreased operating cost and decreased processing time would lead to a reduced time for delivery to market, and all of these excellent and competitive practices will all contribute to increased awareness of HaldiTech. Increased awareness and reduced time to market will increase the acceptance of HaldiTech by spice traders and will also, in turn, increase its use among farmers.

Increased acceptance and use of HaldiTech will lead to increased demand for HaldiTech, in turn increased productivity of turmeric processing as a whole, and, ultimately, an increased turmeric market share.

Figure 5: HaldiTech's Theory of Change



DATA COLLECTION

As previously stated, the indicators listed in the outcome map are *suggested* indicators for the grantee's consideration. When SI made its first process documentation visit, the team inquired about the metrics that the HaldiTech team was currently using to track progress against intended outcomes. The metrics staff cited were:

Table 8: HaldiTech’s Data Collection at the Time of SI’s First Process Documentation Visit

Data Collected	Output/Outcome of Interest	Data Source
Feedback from customers <ul style="list-style-type: none"> - Satisfaction with the technology - Suggestions for improvement - Number of farmers that would use it 	Field testing and customization	Field trials and workshops
Product information <ul style="list-style-type: none"> - Number of kilograms of turmeric that can be processed per day - Processing time 	Decreased processing time	Lab testing and field trials
Price information	Optimum selling price of HaldiTech processed turmeric	Feedback from spice traders

SUCCESSSES, CHALLENGES, AND LESSONS LEARNED

Successes

HaldiTech designed a verified technological system to process 1000 kilograms of turmeric per day. However, because turmeric is a seasonal root crop, this technological unit is currently being tested on other crops in Maharashtra. In addition, HaldiTech conducted capital cost and operating cost analyses to identify where to reduce production costs. At this point, around 75 percent of the work needed to achieve target milestones is complete.

To gain buy-in from farmers, HaldiTech conducted field trials and workshops to build the farmer’s interest in their technology.

Previously, farmers would process their turmeric late—processing two and a half tons of turmeric in two weeks (three weeks including logistics), which would be followed by monsoons. As a result the yield was a lower quality turmeric. With HaldiTech, farmers can produce high quality yields of late turmeric. The results of the processing technology were very positive in field testing.

Challenges

One of the challenges is that turmeric is a seasonal crop—making the development of a technological system for turmeric processing difficult because they are not able to use turmeric crops during the testing phase. Also, there is potential for spice traders and spice companies to become resistant towards HaldiTech, as they will feel threatened by the competition introduced to their market.

During the first trials, a certain number of farmers were invited to test the product. However, these farmers also brought other farmers along with them—increasing the size of the audience. Unfortunately, HaldiTech was not able to perform a proper test with this large audience.

In addition, the first pilot test failed due to electricity shortages, rain, and the unfavorable location of the processing machine.

Ensuring financial sustainability of the product has also posed a challenge. The initial investment is so high that farmers need to group together to receive a loan. The high investment also leads to question about who should be paying for the product between the traders and the farmers. Skepticism from farmers about the impact of the process contributes to hesitation in making the investment. More trials and demonstrations may mitigate these skepticisms, but these field trials are very costly.

Cultural and personal preferences also created challenges. It was more difficult to enter traditional belts and change the customary processing method. Consumers also have different preferences for what color the turmeric should be—which has an impact on sales from the new process.

Lessons Learned

To develop the technology system for turmeric throughout the entire year, the technology was applied to other crops during the eight months that turmeric was not in season. Placing the machine in a stationary place eliminated the problem of large audiences during the product testing and allowed for proper testing to occur. Having the machine in a fixed location will also allow for a more consistent energy source to be established. The farmers were able to arrange for a reliable electricity supply for the machine.

Investment from farmers and spice traders are needed to further facilitate mutual buy-in and reduce the risk of resistance. In addition, to ensure sustainability of funding, loan partnerships will need to be established with local banks. This could be a group of farmers or also involve the spice traders. Spice traders should invest close to the turmeric belt for assurance of a high quality product. Increasing involvement of spice traders can be facilitated through increasing their confidence in the process. Spice traders want to be assured that additional color or starch has not been added to the turmeric. More conversations with traders about the process are needed to reassure the traders that the turmeric is pure. Farmers have been able use different drying techniques and different varieties of raw materials to create different colors needed to appease personal preferences.

Demonstrating the complete turmeric process over the course of 24 hours has led to more farmers' awareness. To significantly and successfully raise awareness, more funds are still needed to complete trials in two or three more belts—with a focus on traditional belts. To mitigate the costs of field trials, videos of successful pilots can be shown but the costs of these visits still remain.

KATHA – I LOVE READING

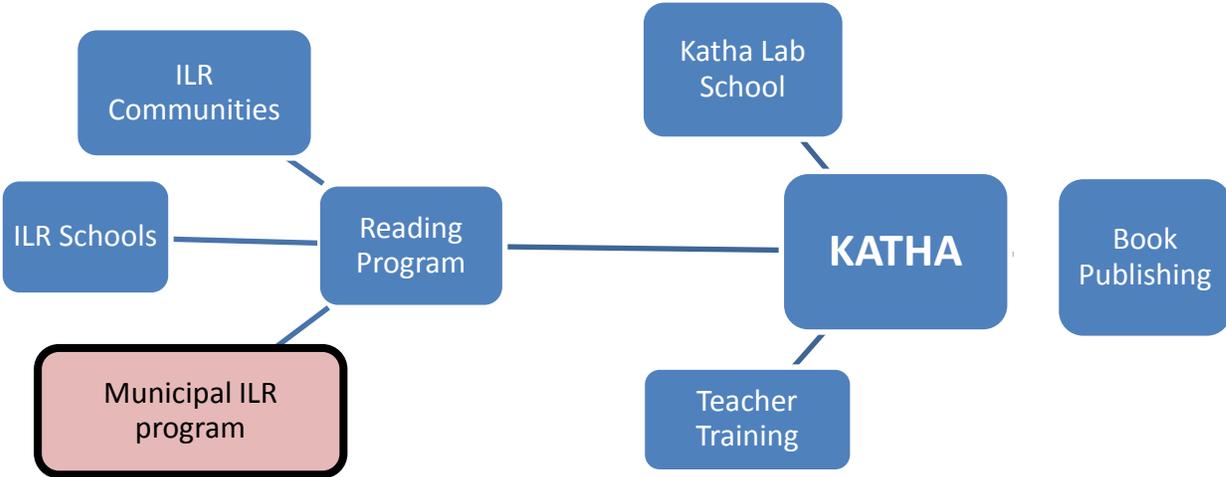
PROJECT BACKGROUND

Katha (<http://www.katha.org/site/>) was founded in 1988. It all began with Tamasha—an activity magazine for children on health, family well-being, and sustainable development all told through stories. The Katha Lab School was started in 1990 in the Delhi slums of Govindapuri. The Katha pedagogy—Katha Marg (KM) was developed in this Lab. KM is an integrated holistic approach wherein through stories children are taught not only language, but math, science, geography, history, and environmental science. The stories are drawn from the children’s everyday life experiences and thus it is easy for them to relate to. Over the years, this Lab school has grown and now caters to grades 1-10. The school accommodates 1300 children every year, and the majority of the children are first generation learners, former dropouts, and migrant children. By 2001, KM was well established with grade appropriate stories, teaching aids, and manuals. Teacher training programs had also been established.

In 2007, the Delhi government invited Katha to introduce KM in all 3000 schools. In response to this, I Love Reading (ILR) was launched in 2008 in 50 Municipal Corporation of Delhi (MCD) schools and 50 government schools. Katha found children in government schools to be way below their grade in reading and writing skills. Thus, ILR focuses primarily on developing grade appropriate reading skills while inculcating the love for reading. In order to do this, Katha builds capacity among teachers to use a story-based learning approach, through which students are able to learn about a variety of topics (science, math, geography, etc.) through stories, and hence increase their reading abilities. In addition to its community level initiatives and its book publishing activities, the ILR program uses Katha’s enhanced curriculum to strengthen the learning context for students in Delhi.

The figure below depicts the various components / activities of Katha.

Figure 6: Katha Activities



The MA funds are being used to fund the Municipal ILR program which was intended to be implemented in 85 MCD schools throughout Delhi. Katha had tested its curriculum and approach first in the Katha lab schools, and then applied the approach to government schools. However, the innovation that the MA funds are supporting is that Katha is now bringing this model into the municipal schools to serve low-income households and slum communities.

The MA funds, released to Katha in September 2013, were used for the following activities:

- Set up libraries with Katha books and teaching aids
 - o Story books
 - o Easy reader reading kit
 - o Reading mats
 - o Books shelves
 - o SPICE tray (an education framework)
 - o Display board
 - o Flash cards
 - o KM curriculum
 - o Katha action plans
- Provide salaries for new project management staff to oversee the MCD ILR program
- Focus group discussions in Kasam
- Conduct a baseline reading assessment among beneficiary students
- Purchase equipment such as laptops and mobile phones for staff

MA funding only provided 50 percent of the funds required for the MCD program, so Katha works with other donors to fund this and their other projects.

IMPLEMENTATION ACTIVITIES AND PROCESSES

During the first round of SI's process documentation, Katha had completed implementing its project in 75 MCD schools. The various activities and processes leading up to this point are outlined below. However, Katha's overall strategy and activities predate the MA grant.

Table 9: Katha Processes

Key Activity	Timing of Activity	Processes Undertaken
Develop KM	Prior to MA award	<ul style="list-style-type: none"> - Conducted assessment of MCD students using a seven point scale (VIBGYOR) - Developed zero-level reading modules to be incorporated into national syllabus - Identified stories to integrate into story-based learning approach - Held teacher training - Developed teaching aids/manuals
Implement and hone KM	Prior to MA Award from April – May 2013 (utilizing funds from Sarva Shiksha Abhiyan Grant 2012 – 2014)	<ul style="list-style-type: none"> - Implemented and tested at the Katha Lab School - Adapted to MCD schools - Tested zero-level reading modules and adapted accordingly
Train mentors	Prior to MA Award in June 2013	<ul style="list-style-type: none"> - 70 teachers and mentors were trained in the Katha curriculum, including KM - Teachers and mentors were given 160 hours of training and continued to receive refresher trainings twice a month
Finalize KM, including zero level modules	Prior to MA Award in July 2013	<ul style="list-style-type: none"> - Zero level modules finalized based on initial testing and feedback from training
Sign MOUs with South, East, and North MCDs to implement Katha in MCD schools	Prior to MA Award in August 2013	<ul style="list-style-type: none"> - The MCD officials gave Katha permission to work in 88 schools - The schools were selected by the education department
Conduct Baseline Assessment I	Prior to MA Award in August 2013	<ul style="list-style-type: none"> - Teachers recommended students that are below grade-level reading to Katha - Katha conducted a baseline assessment with approximately 6,200 students. The results showed that no student was able to read at grade level at the beginning of the intervention, and 99 percent of children were below the lowest level on Katha's assessment scale
Launch ILR	October 2013	<ul style="list-style-type: none"> - MA funds released in September - October ILR launched in 75 MCD schools in 126 slum communities in Delhi - ILR libraries set up with materials mentioned previously - Reading mentors placed in schools - Regular training sessions were held for 800 MCD teachers
Hold Championship I	October 2013	<ul style="list-style-type: none"> - Katha repeated the baseline reading assessment test with students in the Katha program - 40 percent of children had improved their reading abilities, but none were at

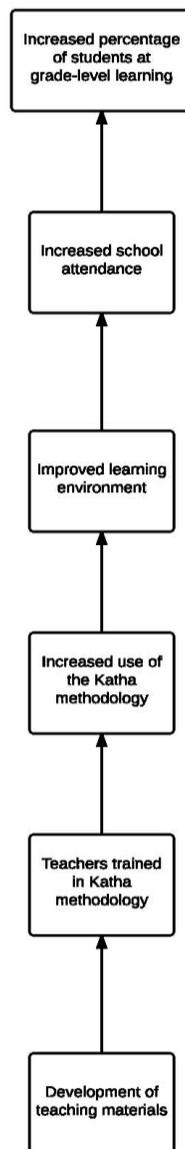
Key Activity	Timing of Activity	Processes Undertaken
		grade level reading yet
Hire personnel	December 2013	- Key leadership position staff hired (ex: Project coordinator)
Conduct Assessment II (Championship II)	March 2014	- Students participated in another reading assessment to track progress and success of Katha materials
Teacher workshops	Monthly	<ul style="list-style-type: none"> - Held workshops on different topics and issues with KM (four hours) - Provided two days in-class support (expand on four hour training and implementation of KM in the class with handholding support) - Conducted three day long workshops with reading challenged students; two day long workshops with all the children - Reading-challenged children received five days of support, while the remaining children received two days of support <p>Instructed teachers on how to do story based learning and how to implement this ASB learning system</p>
Continuation of program implementation	September 2014	<ul style="list-style-type: none"> - Worked in 85 schools. 68 of them have school management committees - Worked on forming the SMCs in the remaining 17 schools - Began involving the communities to form the SMCs to increase pressure from parents to have SMC meetings in the remaining 17 schools
Continue Championship	August 2014	<ul style="list-style-type: none"> - Raw data sheets were reviewed - Tests were scored - A championship evaluation analysis was prepared by September
Establish community mentors		<ul style="list-style-type: none"> - Deployed trained community workers in the community - They followed up with parents about supporting education
Encourage teacher appreciation	September 2014	- Encouraged parents to go to the school to give teachers a card on teacher appreciation day
Train reading mentors	June – July 2014	<ul style="list-style-type: none"> - Offered 160 hours of training for reading mentors - Used Katha methodology books - Taught class management and class design - Provided learning aides - Mentors created teaching and learning materials (TLMs) based on different topics so that they can conduct demonstrations with children through these TLMs (this is a continuous process)

THEORY OF CHANGE

Below is Katha's basic theory of change, which takes into account their major outcomes of interest and linkages to project activities. The outcome map in Annex IV provides further detail on each of these outputs/outcomes.

If Katha develops teaching materials and applies their ILR curriculum to municipal schools, including zero level reading and activity teaching modules, through teacher training in Katha methodology, then there will be an increased use of the Katha methodology. Assuming that the Katha methodology is used correctly, students will be provided with an improved, interactive environment to learn in. With improved instruction and an attractive learning environment, school attendance will increase and an increased percentage of students will be able to achieve grade level reading.

Figure 7: Katha ILR Theory of Change



DATA COLLECTION

As previously stated, the indicators listed in the outcome map are *suggested* indicators for the grantee's consideration. When SI made its first process documentation visit, the team inquired about the metrics that Katha was currently using to track progress against intended outcomes. The metrics Katha staff cited were:

Table 10: Katha's Data Collection at the Time of SI's First Process Documentation Visit

Data Collected	Output/Outcome of Interest	Data Source
Baseline and endline Assessments/Championships	Assessing reading ability of children on a seven point scale – VIBGYOR – V being the lowest and R the highest	Office Championship records
Setting up of ILR library/reading room	Number of books and teaching materials placed	Office records
Student attendance	Increase in student attendance	School records

SUCCESSSES, CHALLENGES, AND LESSONS LEARNED

Successes

Katha began seeing improvement in reading levels quickly after the project began implementation in the municipal classrooms. After just three months of implementation, 40 percent of students had improved their reading level and school attendance improved with the establishment of Katha's ILR rooms.

Challenges

For Katha, MA is a two year intervention program. They have completed their intervention in 75 MCD schools for the academic year that concluded in early May 2014. As MA funds were released in the middle of the academic year, the intervention was shorter than planned so that it could be completed within the available time period.

Additionally, getting buy-in from the schools was challenging. Many government school teachers were close to retirement and were not interested in learning a new curriculum, while others were contract teachers that would only be at the school for six months. The schools thought that it was not worth building capacity among the contract teachers. However, Katha convinced the schools that it would be beneficial so that the contract teachers could take the teaching approach on to their next location.

During this project, there were also changes in government officials and shifts of agendas. Furthermore, delayed workshops approval challenged the program. Often, the workshops were initially approved but then pushed back to a later the date.

Lessons Learned

For the next academic year, Katha plans to start early with obtaining government permission for their intervention in the MCD schools. At the time of SI's visit, Katha was making plans to visit with the MCD officials and the Directorate of Education Department.

Given the turnover in the schools, Katha also created volunteers in the community, especially in the areas where they have been working for a number of years. The volunteers ensure that the ILR rooms / libraries continue to be useful to the children.

RANG DE SCHOLARS

PROJECT BACKGROUND

Rang De (<http://www.rangde.org/>) is a Bangalore-based nonprofit organization dedicated to eradicating poverty in India by targeting underserved communities through microcredit loans. These loans are intended to have positive impacts on several sectors within beneficiary communities, including business, health, environment and education. Rang De was founded upon the belief that the use of a peer-to-peer lending model could lower the costs of microcredit. Rang De's mission to ensure fair and affordable interest rates is carried out through the interworking of borrowers, social investors, and field partners working across 13 states in India. In 2008, Rang De established India's first web platform in which individual investors can fund chosen borrowers with a minimum investment of INR100. Field partners receive these loans and disburse them to the borrowers, who repay them according to a structured repayment schedule. Upon repayment, investors will receive both a financial and a social return.

In 2013, Rang De received funding from MA to scale up its educational loan initiative. The Rang De Scholars Program aims to make quality education more accessible and affordable to underserved communities through the provision of education loans. The program ensures access to primary, secondary, vocational, and higher education. Rang De provides educational loans at a five percent interest rate without any collateral, which is a lower interest rate and easier disbursement than that of public sector banks. This program directly benefits low-income households that receive loans and will indirectly benefit family members of loan recipients and the community at large through the potential creation of jobs and enterprise development as a result of increased access to education.

In the short term, the Rang De Scholars Program aims to provide access to educational loans for 10,000 students from low income households. In the long term, the program hopes to strengthen the urban-rural relationship through the online platform, to provide sufficient information to public sector banks so that low-income students can be given access to loans, and to advocate for loans to be provided across all socio-economic levels. Currently, Rang De has over 1,000 social investors for their education vertical and has successfully disbursed 304 loans to 401 students, totaling over 26 Lakhs.

With MA funding, Rang De secured the ability to perform a variety of tasks. As part of its long term goals, Rang De intended to 1) undertake a pilot program of the education loans, 2) design an education loan product for funding through the web platform, 3) set up partnerships with reputable educational institutions that meet strict eligibility criteria and 4) design marketing and fundraising programs for the loans. As part of its short term goals, Rang De intended to 1) design loan application forms, reports, processes and procedures for field partners' use, 2) implement enhancements to the web platform, and 3) raise social investments to meet loan demands. Rang De also plans to conduct interviews of students, parents, and faculty as well as program reviews with field partners to obtain qualitative feedback about the educational loan program.

As part of the web platform enhancements, Rang De has introduced a higher education loan vertical as a separate sector on the online platform. This vertical displays profiles of deserving students who are to be chosen in collaboration with partner organizations. The student profiles include information such as

student background, financial status, course of study, the duration of the course, fees for the course, and repayment schedule. The portal will allow students to upload performance indicators such as attendance records and test scores and will provide regular updates to social investors regarding performance and repayments. Rang De also hired employees for the management of the vertical and plans to facilitate field visits for investors to meet with the partner organizations and colleges and interact with beneficiary students.

At the time of SI's visit, Rang De explored partnerships with other organizations, particularly ones that provide vocational training, for education loan provision and the formation of connections with deserving students across India. They also started scaling the education loans program with their current partners. In collaboration with field implementers, Rang De developed an easily scalable and replicable model to fund vocational training for trainees from low income backgrounds. Rang De also partnered with National Skill Development Council's (NSDC) partners to facilitate affordable credit and was about to begin their pilot program.

The innovative qualities of the Rang De Scholars Program lie in the "strong social connect" between Rang De's field partners and the communities. Field partners are carefully selected by Rang De and are mandated to reach out to underserved communities without access to microcredit. Rang De's field partners include urban and rural development organizations such as Social Action for Rural Community (SARC) and Parvati Swayamrojgar, women's empowerment organizations such as Pragati, and self-help groups such as Kalighat Society for Development Facilitation. Further, the cost of capital and cost of operations are both considered high for traditional microfinance institutions. Rang De's peer-to-peer lending model lowers the cost of capital, allowing for more feasible interest rates and greater opportunities to improve personal growth.

IMPLEMENTATION ACTIVITIES AND PROCESSES

During the first round of SI's process documentation, Rang De had distributed loans to 304 students and did some feedback exercises for partners, students and scholars, and investors. They also had performed a small sample size impact assessment and collected baseline data. However, Rang De's overall activities and processes predate the MA grant. The activities and processes are outlined below.

Table 11: Rang De Processes and Activities

Key Activity	Timing of Activity	Processes Undertaken
Project kick off	May 2013	<ul style="list-style-type: none"> - Received MA grant - Project approved by Rang De board to expand the Education Loans vertical
	June 2013	<ul style="list-style-type: none"> - Assembled senior leadership team, including the Chief Operating Officer, Vice-President of Education and Technology Lead to tackle education funding initiative
	July 2013	<ul style="list-style-type: none"> - Created high level project work plan
Pilot programs	August 2013	<ul style="list-style-type: none"> - Worked with select few field partners, education institutions and funding partners to process limited number of student applications - Partners were selected on the basis of their ability and interest in introducing the education loans amongst their communities, their ability to identify and service the appropriate beneficiaries - The initial list of partners included Parvati Swayamrojgar (Pune), Nari Sishu Kalyan Samiti (Balasore), Samagra Gram Vikas Sanstha (Pusad), Sripur Swami Vivekanand Welfare Society (South 24 Parganas)
	September 2013	<ul style="list-style-type: none"> - Observed and learned from mentoring models and organizations that were working in this space e.g. Mentor-Together - Rang De used this study to determine the time, effort, cost, and support needed for incorporating a successful mentorship program in the future
	October 2013	<ul style="list-style-type: none"> - Evolved and established student application evaluation criteria and processes. Criteria included family income and income sources, education levels of parents, access to commercial education loans as the first choice, other debt commitments, and siblings and their education levels and expenses
	November 2013	<ul style="list-style-type: none"> - Leveraged Rang De's existing systems and website to process loans. All education sector specific needs were previously handled by manual processes
	December 2013	<ul style="list-style-type: none"> - Started partnership conversations with NSDC Star Scheme training partners for vocational training loans. This involves facilitating loans to students from low income families who are unable to pay the up-front discounted admission and examination fees set by the NSDC.

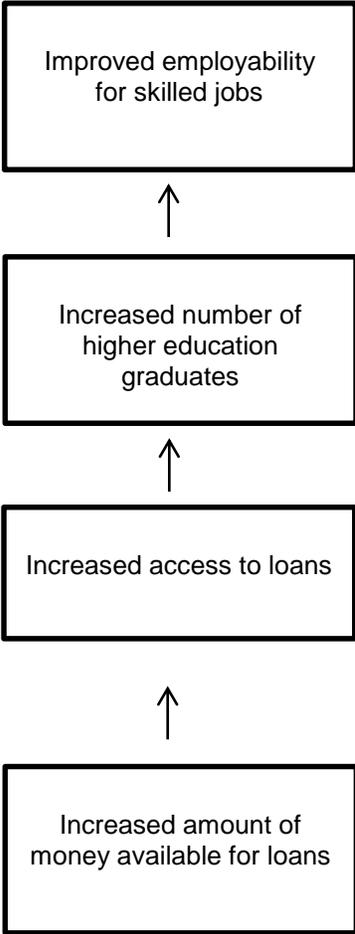
Key Activity	Timing of Activity	Processes Undertaken
BETA programs	January 2014	<ul style="list-style-type: none"> - Extended Rang De Scholars to field partners and education institution; Samagra Gram Vikas Sanstha, Parwati Swayam Rojgar, Laxmi Charitable Trust and Self Employment Voluntary Association in preparation for next academic year's admissions
	February 2014	<ul style="list-style-type: none"> - Established formal processes to evaluate Student applications - Decided to put the mentoring program on hold temporarily due to heavy investment of time and effort needed both in preparation as well as execution
	March 2014	<ul style="list-style-type: none"> - Launched funding program for students appearing for NSDC Star Scheme - On-boarded new Field Partners to Rang De's Education loans processes, systems, procedures. Partners were on-boarded on the basis of demand projections from their communities
	April 2014	<ul style="list-style-type: none"> - Launched fundraising campaigns for current and upcoming education loan demands - Used corporate connections to offer funding opportunities in education - Enhanced database design for capturing additional data related to students and education loans
	May 2014	<ul style="list-style-type: none"> - Launched publishing and funding of education loans for the next academic year
	June – July 2014	<ul style="list-style-type: none"> - New academic loans started - Continued the loan process - Based on different admission dates, issued loans for education - The same students are going in for the second year loans. Most students were already in the second year when the loans started, and are going into the third year of school - Considered increasing the number of loans from six to eight or 10 students - Identified other colleges to work with
	August – September 2014	<ul style="list-style-type: none"> - Determined whether to support more students with loans - Spoke with corporate institutions in Bangalore and Pune who have education as one of the things that they want to support - Improved engagement at the social investor level to acquire a steadier stream of social investor funding - Connected with corporate entities that want to support education, but require a long lead time

THEORY OF CHANGE

Below is Rang De’s basic theory of change, which takes into account their major outcomes of interest and linkages to project activities. The outcome map in Annex IV provides further detail on each of these outputs/outcomes.

If Rang De increases the amount of money available for loans by reaching out to investors and raising awareness about the Rang De platform, then the availability of education loans for low-income households will increase. With more availability of educational loans, there will be an increased likelihood that low income students will graduate with higher education diplomas. That is, provision of these loans will increase the sufficiency of loans to support the education of students, namely reducing the dropout rate among students due to financial constraints. Ultimately, with higher education diplomas, Rang De participants will have improved employability for skilled jobs.

Figure 8: Rang De’s Theory of Change



DATA COLLECTION

Rang De set up an internal Monitoring, Evaluation, and Reporting System. They are collecting information through their online platform and through Rang De's own MIS/database of social investors, partners, beneficiaries and fund processing. Rang De is also conducting key informant interviews with a small sample of beneficiaries, investors, and partners.

Table 12: Rang De Data Collection at the Time of SI's First Process Documentation Visit

Data Collected	Output/Outcome of Interest	Data Source
<ol style="list-style-type: none"> 1. Customer satisfaction survey 2. Feedback support mechanism 3. Baseline 	Increased sufficiency of education loans to support students' education	<ol style="list-style-type: none"> 1. Questionnaire 2. Feedback form for the Partners 3. Rang De database of social investments, loans, borrowers. 4. Internal audit report

SUCCESSSES, CHALLENGES, AND LESSONS LEARNED

Successes

With MA funding, Rang De has been able to expand their services by providing education loans to deserving students in several regions of India. As part of this process, Rang De partnered with several organizations that have the desire and capability to identify and service appropriate beneficiaries of the loans. These partners have been on-boarded to new systems and procedures.

Additionally, Rang De has achieved a milestone by providing 304 loans totaling over 29 Lakhs. These loans were provided to 401 male and female students across four Indian states. Further, Rang De currently has over 1000 social investors participating in their education vertical.

Rang De also launched several programs including the funding program for students appearing for NSDC Star Scheme, the fundraising campaigns for current and upcoming education loans, and the publishing and funding of education loans for the next academic year. They also enhanced the database design for capturing additional data related to students and education loans.

The table below summarizes Rang De's loan activity since award of the MA grant:

Table 13: MA Funding Used for Education Loan Disbursement

Stream	No. of Loans	Female students	Male students	Loans disbursed	State wide coverage
Primary and Secondary Education	302	202	197	28,68,300	Yakamal & Pune (Maharashtra) Imphal (Manipur)
Higher Education	2	2	0	1,00,000	Panvel, Maharashtra
Total 9	304	204	197	29,68,300	

Challenges

Some challenges Rang De faces in their implementation stages are the selection of local partners (NGOs/CBOs), managing relationships with them, and having limited internet access in the remote areas of India.

Additionally, with the large unmet demand of loans for primary, secondary, higher, and vocational education, Rang De faced the challenge of coming up with models which can be scaled and replicated easily. The absence of such models makes it difficult to scale up their program. Rang De also needed a call center, which required significant technical support.

Under the current structure of the Rang De, colleges need to shoulder some of the responsibility of the loan through loan disbursements or payment collections and often they do not. In some instances there was limited time to provide a loan with guaranteed funding in time for a student to pay their admissions fees.

Lessons Learned

To address poor internet access, Rang De plans to experiment with mobile technology. Rang De is also working to develop a software system where loan applications can occur offline through tablet technology. Easily scalable and replicable models must be developed in collaboration with field organizations who implement the program. Rang De worked with a few organizations to scale up its education loan initiative and explored partnerships with new organizations to fund vocational and higher education loans. Rang De also plans to increase the loan interest rate by one and a half percent as a measure to improve the sustainability of the program. This thinking changed slightly between the first and second rounds of process documentation, though. They expect that interest payments are not a major decision-making factor for social investors, as most social investors are interested in the social return more than the financial return. Therefore, they have scaled back their efforts to increase the loan interest rate, and are even considering dropping it from five percent to four and a half percent to make it more affordable for students and parents. To achieve this, Rang De has been seeking corporate partnership but has experienced hesitancy from corporations to back bigger ticket loans. Corporate funding can also be used to support “emergency loans” if a student has a very limited time until their admission fees are due.

Rang De workshop participants during Round II of process documentation found the discussion of critical assumptions to be particularly relevant. When Rang De first received the grant, they intended to use the grant to set up the infrastructure to disburse loans, and assumed that the money would be available to support the loans. This money has proven to be more difficult to come by, and they have consistently fallen short of their targets in the amount of money available for funding higher education loans. Rang De used the same platform for primary education loans, and found that these were funded much more frequently than higher education loans, which are often larger loans.

Through reorganizing, a call center is now being run by Rang De employees. There are five people currently able to serve as online technical support for the call center but more support is still needed to have a full-fledged call center.

With time, more colleges may be more willing to take on more responsibilities of the loan. The college that was first used, Laxmi, was a newer school which could have contributed to hesitations. Also, the employer can be considered to take on some responsibilities after the student leaves the college.

U-RESPECT FOUNDATION

PROJECT BACKGROUND

The U-Respect Foundation (<http://www.U-Respect.org>) was founded in October 2011 to conduct research and implement evidence-based interventions in the areas of sexual and reproductive health (SRH), maternal and child health (MCH), nutrition, education, and environmental awareness. The U-Respect Foundation used the MA grant to fund Project Vikalp, an innovative triangulation model to sensitize and educate the rural community about reproductive health, including family planning and HIV/AIDS. Project Vikalp also ensures easy contraceptive access and availability in the rural areas in the Thane district of Maharashtra. The project is expected to result in higher contraceptive prevalence rates, thus underlining the importance of promotion of reversible methods of contraceptives, which is in line with the government's current strategy and approach.

Project Vikalp is managed out of an office in Shahpur, and will work in nine primary health centers (PHCs) with tribal populations throughout Thane district over the course of three years. These nine PHCs serve 300,000 individuals. The project has the following three components:

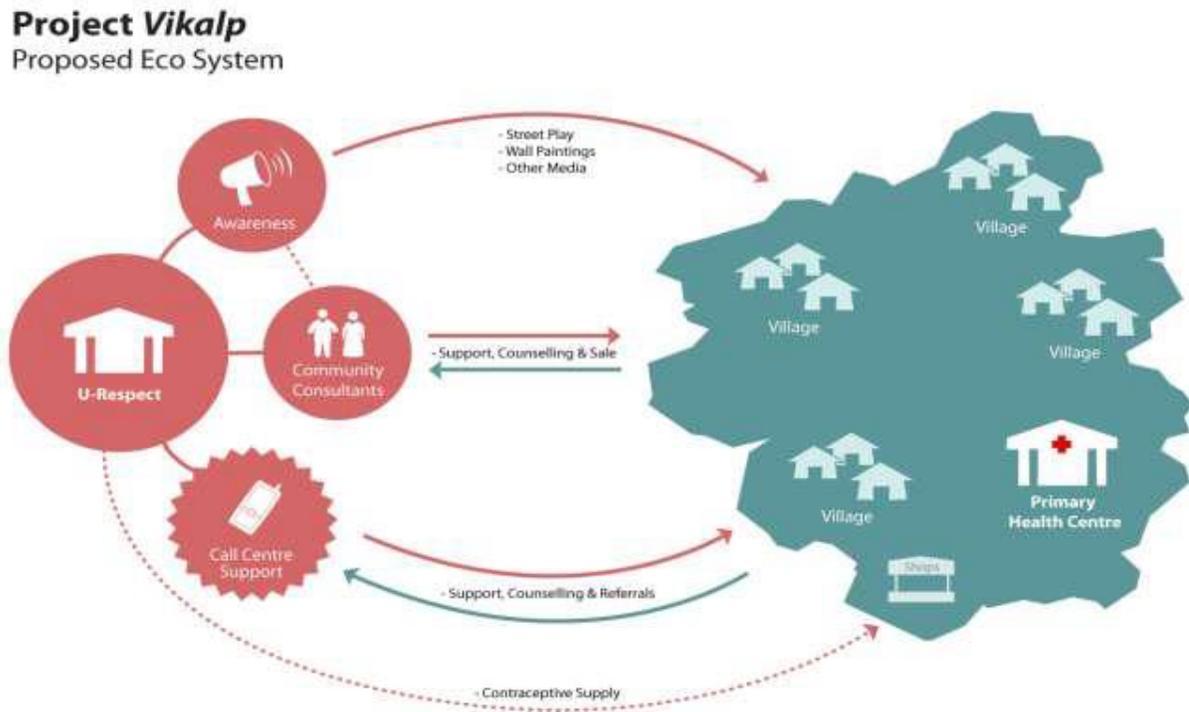
The first area of the intervention of U-Respect was the recruiting and the training of outreach workers (called community consultants) from each PHC area. The identified Block (Shahpur, Thane district in Maharashtra) has nine PHCs, with a community counselor planned for each PHC area (there were eight community counselors at the time of SI's first process documentation visit). Their role includes motivating couples to accept family planning, seek services from the existing PHCs, traditional, and non-traditional outlets as well as encourage people to call on the toll-free numbers to get relevant information. They are also responsible for conducting various on-the-ground Information, and Education and Communication (IEC) activities in the area of reproductive health, using various media and inter-personal communication techniques. Most importantly, they maintain a database of first-time users of contraceptives by type of contraceptive, switchers of contraceptives, and terminators of contraceptives. They also hold discussions with young unmarried boys and girls to understand their concerns with regard to sexual health issues.

The second area of the intervention is based on the fact that only providing information would not be enough unless it is bolstered with adequate service by way of products and referral services. Products include reversible contraceptives (condoms, oral pills, and Intrauterine Devices (IUDs)) and the availability is ensured through PHCs and traditional and non-traditional outlets.

The third component of the triangulation approach is a 24x7 helpline number, which is a one stop solution for villagers to have their queries answered, without the apprehension of revealing their identity. A toll free number is available so that call charges are not a factor that inhibits the villagers' use of the service. Two counselors (one male and one female) provide information to people calling into the call center. They are provided with mobile phones that they carry with them everywhere and are available to provide 24 hour support. Calls from male callers are routed to a male counselor, and calls from female callers are routed to a female counselor.

At the time of application, U-Respect had rolled out its intervention in three of the five PHCs planned for the first phase, and was planning for rollout to the fourth PHC. In the three PHC areas where the intervention had rolled out, U-Respect was distributing their materials, conducting community workshops, making announcements at the local markets, and monitoring the hotline.

Figure 9: Project Vikalp Model



The innovation in this intervention, as described by U-Respect, is the way in which they are reaching a previously unreached population with family planning information and services. In Thane district, there is no other call center or hotline that allows individuals to get information about family planning and contraceptives in a way that allows them to maintain their confidentiality. In addition to providing information, U-Respect is linking hotline customers to services, which were mapped by community consultants at the initial stage of the intervention rollout.

IMPLEMENTATION ACTIVITIES AND PROCESSES

U-Respect collects information on its programs at several points throughout their trajectory. More detailed and comprehensive information about milestones, activities, and completed processes can be found in U-Respect's quarterly reports, which show monthly breakdowns of the program's progress, the status of ongoing activities, and any difficulties encountered during program implementation. Additionally, the U-Respect work plan lists every key activity for program implementation along with corresponding indicators for measurement. A column of processes undertaken was added to U-Respect's work plan, which correspond to each key activity, based on the information outlined in the quarterly reports. Please see Annex VIII for the detailed U-Respect work plan and processes undertaken.

During the first round of SI's process documentation, U-Respect initiated the mapping of potential acceptors of reversible contraceptive methods in two PHC areas, mapping of private health care providers, traditional and non-traditional outlets in those areas, and establishing the 24x7 helpline.

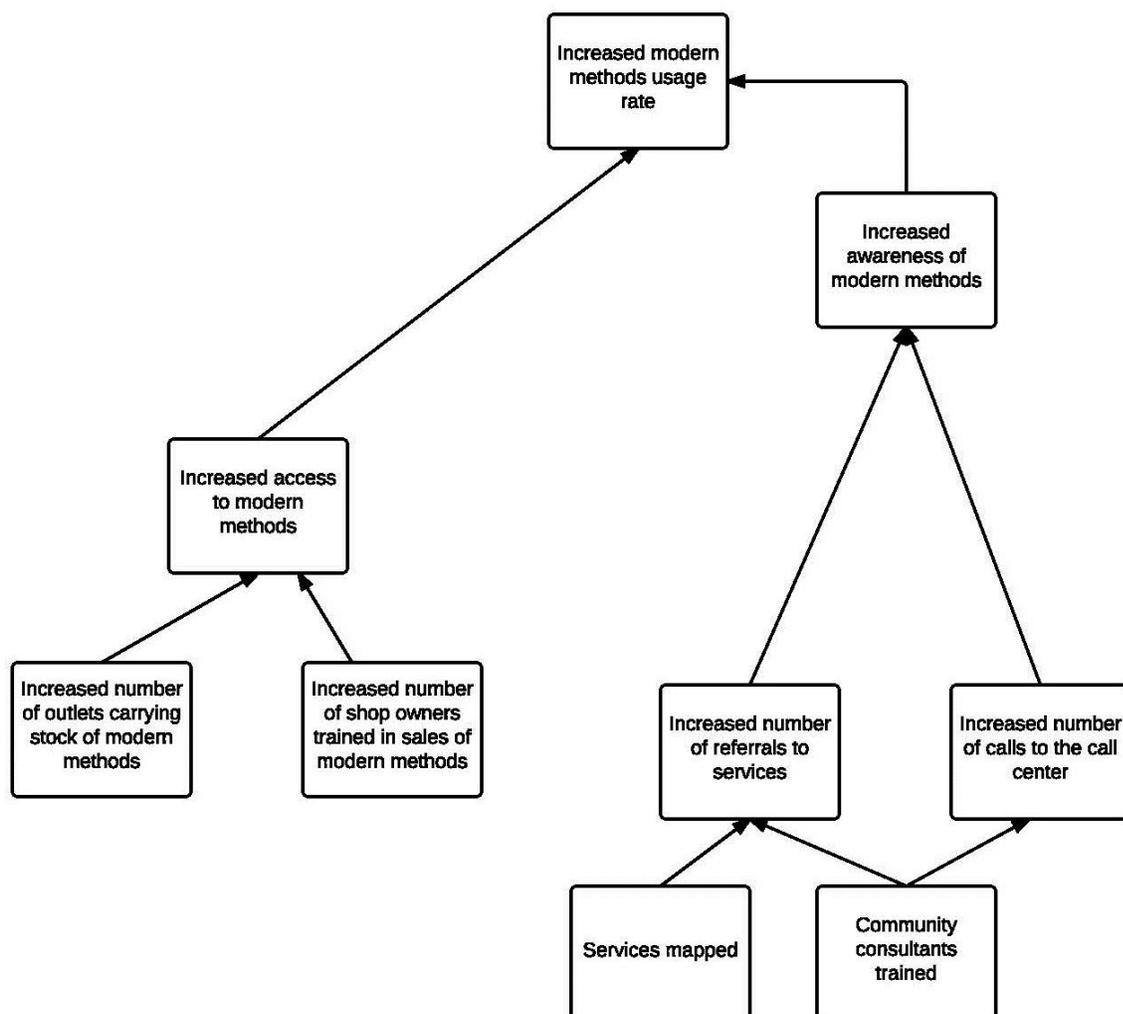
THEORY OF CHANGE

On the next page is U-Respect's basic theory of change, which takes into account their major outcomes of interest and linkages to project activities. The outcome map in Annex IV provides further detail on each of these outputs/outcomes.

If U-Respect establishes a toll-free family planning call center and advertises it through public announcements and distribution of flyers, there will be an increase in the number of calls to the call center. Because they had mapped out services and trained community consultants, callers will receive information about family planning and referrals to services in the community. This will lead to increased awareness of modern methods and improved sexual and reproductive health practices, which will contribute to increasing the modern methods usage rate.

By increasing the number of outlets carrying modern methods of FP and the number of shop owners who are trained in the sales of modern methods, U-Respect will increase access and ease of access to modern FP methods (e.g. condoms, oral pills, and IUDs). This will thereby increase the sales of condoms and pills and lead to an increase in the modern spacing methods usage rate, as well as improved sexual and reproductive health practices.

Figure 10: U-Respect’s Theory of Change for Project Vikalp



DATA COLLECTION

When SI made its first process documentation visit, the team inquired about the metrics that U-Respect was currently using to plan the intervention and track progress against intended outcomes. The indicators suggested in the outcome map (presented in Annex IV) are suggested indicators for the U-Respect’s consideration. The metrics U-Respect staff are currently collecting data for are:

Table 14: U-Respect’s Data Collection at the Time of SI’s First Process Documentation Visit

Data Collected	Output/Outcome of Interest	Data Source
Mapping of the households in five out of nine PHC areas to find out the eligible couples in reproductive age group and their reproductive health and family planning needs, current and past uses of family planning methods	Potential users of modern spacing methods of family planning	Community mapping

Mapping of traditional and non-traditional outlets interested to stock modern FP methods for spacing under social marketing	Number of traditional and non-traditional outlets established with uninterrupted contraceptive supplies	Community mapping
Mapping of local level health service providers in and around the project areas	Number of health service providers willing to be referral points for service delivery	Community mapping
Uptake of contraceptives (Condom, Pill, and IUD) from public health facilities	Increase in contraceptive users	PHC records
Uptake of contraceptives (Condom, Pill, and IUD) from social marketing outlets (traditional and non-traditional)	Increase in contraceptive users	Stock registers at traditional and non-traditional outlets
<p>Helpline call information</p> <ul style="list-style-type: none"> - Time and date of the call, from where and by whom - Purpose of the call and information/services provided to the callers - Contact information to facilitate follow-up by community consultants - How the caller found out about the hotline 	Number of beneficiaries reached per year	Helpline calls received by the community consultants
Contact information for people that are being referred to services (as of June 2014)	Number of people referred to RH services/number of people that are using RH services	Reference sheet filled out by call counselor. Follow up from community consultants (did they actually visit the service?). Not able to get data from referrals to the PHC
Call transcripts and list of all the calls coming into the call center	Quality of the call, number of calls coming in (male and female)	Service provider report
Started collecting qualitative case studies		Community consultants collect stories, qualitative cases.

SUCSESSES, CHALLENGES, AND LESSONS LEARNED

Successes

One of the major successes cited by U-Respect was the relationship they had established with the Thane DHO and the government officials in the PHC areas they were working in. Prior to applying for MA funding, U-Respect worked closely with the DHO to develop the strategy for Project Vikalp and to identify the areas of greatest need for the intervention. Prior to developing the concept for Project Vikalp, the founders of U-Respect had identified Thane district as an area of great need, given the high number of malnourished children and the high infant mortality rate. However, they did not know where to focus. As a result, reached out to the DHO and the DHO advised them to focus on reducing IMR within a list of villages and paras that needed assistance, beginning with Shahpur. As the project has rolled out, U-Respect kept DHO apprised of progress, and the DHO sees U-Respect as a valuable resource for the community, primarily because of their presence in traditionally underserved areas.

Additionally, U-Respect has seen evidence of spillover into non-assisted areas of Thane district. When the helpline counselors take phone calls, they ask where the call is coming from. Even with rollout to just three of the nine PHC areas, they began receiving calls from outside of the project areas and are able to provide general information about sexual and reproductive health. However, when the calls come in from communities that have not been mapped, they are unable to refer callers to services available within their communities.

One unexpected success was the impact that the project was having on female community consultants. In at least one case, the community consultant recruited felt more empowered in her community after taking on her role with U-Respect.

Challenges

U-Respect did encounter a number of challenges when the call center started. Since the helpline approach was an innovation in these areas of Thane district, many people would call the helpline and then almost immediately hang up, as they just wanted to see if the helpline existed. Additionally, family planning is a difficult topic to introduce to tribal communities (which are served by the PHCs U-Respect is working in) because they are largely ruled by tradition.

A logistical challenge that U-Respect staff identified was the difficulty of follow-up with people that call the helpline. The community consultants are supposed to follow-up with people that call the helpline so that they can direct them to specific services in their community. However, if the caller does not give consent and contact information, the community consultants are unable to follow-up and U-Respect doesn't know whether the caller actually sought out the services he or she was inquiring about. Similarly, calls from remote areas posed a logistical challenge as they were often dropped. When callers do call in from outside the intervention areas, the call center personnel can only provide counseling, not referrals. Referrals require the intervention areas to be mapped.

Additionally, travel has been a challenge for Project Vikalp's community consultants. The way that community consultants reach the villages is through shared jeeps in Thane district; however, the shared jeeps operate on fixed timing, and some community consultants have needed to spend the night in the village they are working with. Travel is especially risky for women, and some have been harassed during the community mapping exercise. Monsoon season limited access to some areas, and delayed strategic activities.

U-respect continued to hear from participants about the risk of gender-based violence (GBV), particularly as a barrier to achieving their goals in each area of intervention. One example of this was presented in

Table 14 - securing birth control pills may be at risk of GBV if their husbands wish for them to continue having children. GBV also puts women traveling alone at risk, for which U-Respect is interested in using mobile technology that allows women traveling alone to quickly alert two numbers that she is feeling threatened. This would be helpful both for the community counsellors and the community members, and could be included as a resource via the helpline.

Lessons Learned

Regarding travel, FICCI is seeking sponsors for a vehicle for U-Respect which will provide dedicated transportation for community consultants. Furthermore, female community consultants now travel with a male community consultant to decrease the risk. Counseling is provided to the husband of community consultants, to reduce the risk of domestic violence when a husband raises concern about his wife working with a male consultants and male family members.

The population has been divided into five groups, to help work within community traditions, but U-Respect cannot take any mixed gender groups, so it speaks to men and women separately. This practice has proven useful as they have not faced any objection from the community thus far about the programming.

People continue to call the helpline and hang up, but this has reduced possibly due to raised awareness of the hotline. Improvement to mobile service in remote areas is reliant upon network coverage, and senior managers at service providers are aware of the problem in order, but network coverage continues to be unreliable in certain parts of India

To overcome activities missed during the monsoon season, new outreach activities were added to existing events. These included hosting an educational program for boys after a cricket match.

WATERLIFE

PROJECT BACKGROUND

Waterlife aims to provide safe and clean water to underserved communities in a sustainable manner. In response to the need for affordable, clean drinking water, especially among low-income communities such as urban slums and rural areas, Waterlife developed a low-cost system that purifies and cleans water. Waterlife received funding from MA to set up community water plants in the most drinking water-scarce areas of Jharkhand and Orissa, as well as to conduct an evaluation to quantify the benefits that the water plants had on the community. Waterlife provides community water systems that purify and clean water from a variety of sources to communities whose primary water supplies contain the following water related contaminants:

- Microbiological contamination
- High Total Dissolved Solids (TDS)
- Other chemical contaminants like pesticides
- High Iron
- Fluoride affected areas Arsenic Contamination

At the time of application, Waterlife established approximately 40 plants around India in both rural and urban areas. As stated in Waterlife’s grant application, the innovation in this project is three-fold:

- The project makes use of a sustainable business model through the collection of user fees for clean water
- The community water plants make use of solar energy, decreasing reliance on electricity
- Waterlife conducts an impact assessment to quantify the benefits of the community water plant

Waterlife selected sites for implementation based on the following selection criteria:

Table 15: Selection Criteria for Waterlife Sites

Selection Criterion	Description
- Need for clean water	- Plant installation under MA is restricted to water-scarce and low-income states (Waterlife selected Jharkhand and Orissa for MA) - Waterlife also identifies urban slums and villages that tend to have higher incidence of water-borne diseases
- Local government buy-in	- The government must be willing to provide land with a nearby water source (deep well/reservoir/etc.) for setting up the water treatment plant
- Funding for plant installation	- In the case of the MA-plants, funding came from MA, but Waterlife normally seeks corporate sponsors
- Community member available for	- Waterlife selects and trains a community member (preferably someone with a technical background) in plant operations and maintenance, which helps increase community buy-in

Selection Criterion	Description
plant maintenance	
<ul style="list-style-type: none"> - Community demand for clean water. 	<ul style="list-style-type: none"> - The sustainability of Waterlife’s model depends on community members’ willingness to pay for clean water - Under MA, Waterlife sells 20 litres of safe water for Rs. 5-7, plus a one-time cost of the water jar and dispenser (Rs. 175-180) - Prior to plant installation, Waterlife conducts informal discussions with community members to gauge demand and ability to purchase purified water

IMPLEMENTATION ACTIVITIES AND PROCESSES

During the first round of SI's process documentation, Waterlife installed two water treatment plants in the urban location of Ranchi and began water purification operations. Another three water treatment plants in the neighboring rural areas of Ranchi were in progress and almost ready for operation. The activities and processes undertaken by Waterlife since receiving the MA award are outlined below. However, Waterlife's overall strategy and activities predate the MA award.

Table 16: Waterlife Processes and Activities

Key Activity	Timing of Activity	Processes Undertaken
Needs Assessment Study	Upon MA award (July 2013) – May 2014 (ongoing in new areas)	<ul style="list-style-type: none"> • Conducted needs assessment in 12 municipal ward locations of Ranchi • Interviewed a sample of households (approximately 500) living in the immediate neighborhood of the proposed sites of the plants • Conducted key informant interviews with municipal engineers and hospital staff (to get an idea of the incidences of water borne diseases) • Collected data on school absenteeism from government schools, but there was not much success due to school vacations at the time of fieldwork • Interns from Institute of Rural Management – Anand (IRMA) conducted needs assessment to understand the feasibility of setting up a plant in the study locations, according to these factors: <ul style="list-style-type: none"> ○ availability of raw water and power supply ○ demand for safe drinking water ○ willingness to pay for safe drinking water ○ average amount of time spent by households to fetch water daily ○ average medical expenditure by selected households • Primary research questions dealt with: <ul style="list-style-type: none"> ○ sources of safe drinking water ○ time and money spent for drinking water ○ need for safe drinking water ○ willingness to pay for this service ○ incidences of water-borne diseases in the recent past

Key Activity	Timing of Activity	Processes Undertaken
Identification of sites for water purification plants	April 2014	<ul style="list-style-type: none"> • Discussion with the local governments (Ranchi Municipal Corporations) to identify locations for setting up two water treatment plants in urban areas of Ranchi • Discussion with the Panchayati Raj Institutions in the neighboring rural areas of Ranchi for setting up three water treatment plants • Informal discussions/meetings with the community in the identified plant locations to understand their needs for safe drinking water, ability and interest to pay for safe drinking water • Identifying the source of water near the proposed plant site • Installed two water treatment plants in the urban areas of Ranchi • Installed one water treatment plant in the neighboring rural area of Ranchi that will soon be inaugurated • Installed 2 water plants in the neighboring rural areas of Ranchi
Develop agreement with the local government for provision of land	Last three weeks of April	<ul style="list-style-type: none"> • Signed long term lease agreement (MOU) with local urban government (Ranchi Municipal Corporation) for land to set up two plants in the urban areas of Ranchi • Signed long term lease agreement (MOU) with Panchayati Raj Institutions for land to set up three water plants in the neighboring rural areas of Ranchi
Installation of 5 water purification plants in Jharkhand (2 were operational at the time of SI's initial process documentation visit)	End of April Last week of May/First week of June 2014	<ul style="list-style-type: none"> • Installed two water treatment plants in the urban areas of Ranchi in April 2014 (visited by SI team). • Installed one water treatment plant in the neighboring rural area of Ranchi in the last week of April, which is now waiting for inauguration (visited by SI team) • Installed two water treatment plants in the neighboring rural areas of Ranchi
Recruitment of community member to operate and maintain the water plant	First two weeks of April 2014	<ul style="list-style-type: none"> • Recruited and trained two community members for a week in two functional water treatment plants in Ranchi urban areas. • Disseminated information to the neighboring urban community regarding the recruitment of one plant operator/maintenance officer per plant

Key Activity	Timing of Activity	Processes Undertaken
		<ul style="list-style-type: none"> • Invited interested candidates to submit applications, preferably with a certificate or diploma in industrial technology • Interviewed potential candidates and selected one per plant • Trained selected candidates for a week in the plant
Awareness generation activities in 5 plant areas (2 already installed and 3 to be installed little later)	April-May 2014	<ul style="list-style-type: none"> • Community level meetings, distribution of hand bills and mike announcements have been going on in two functional water plant areas in the urban areas of Ranchi since first week of April 2014 • Community level meetings, distribution of hand bills and mike announcements have been going on in the neighboring villages of one water plant, which is ready for inauguration from the third week of April 2014 • Community level meetings, distribution of hand bills and mike announcements in the neighboring villages in another two rural plant areas are planned from first week of May • Awareness generation activities focus on the health benefits of safe drinking water
	By September 2014	<ul style="list-style-type: none"> • 973 families visit the plants • 7 plants are now in operation • Government officials have visited the plants, and they want to replicate the plants in more than 100 locations in Jharkhand using government funding • They are already working on the DPRs, and working on making Waterlife a consultant on these projects • User fees will be the same
Survey		<ul style="list-style-type: none"> • Government officials are proposing the drinking water solution in the heart of the community • They take a resolution during the meeting, and after the resolution, the detailed project plan is proposed to the government • They will approve the release of funds to the head engineer • Upon the final agreement, the community will receive the funds and they will take ownership of it • Waterlife's role will be installation and maintenance

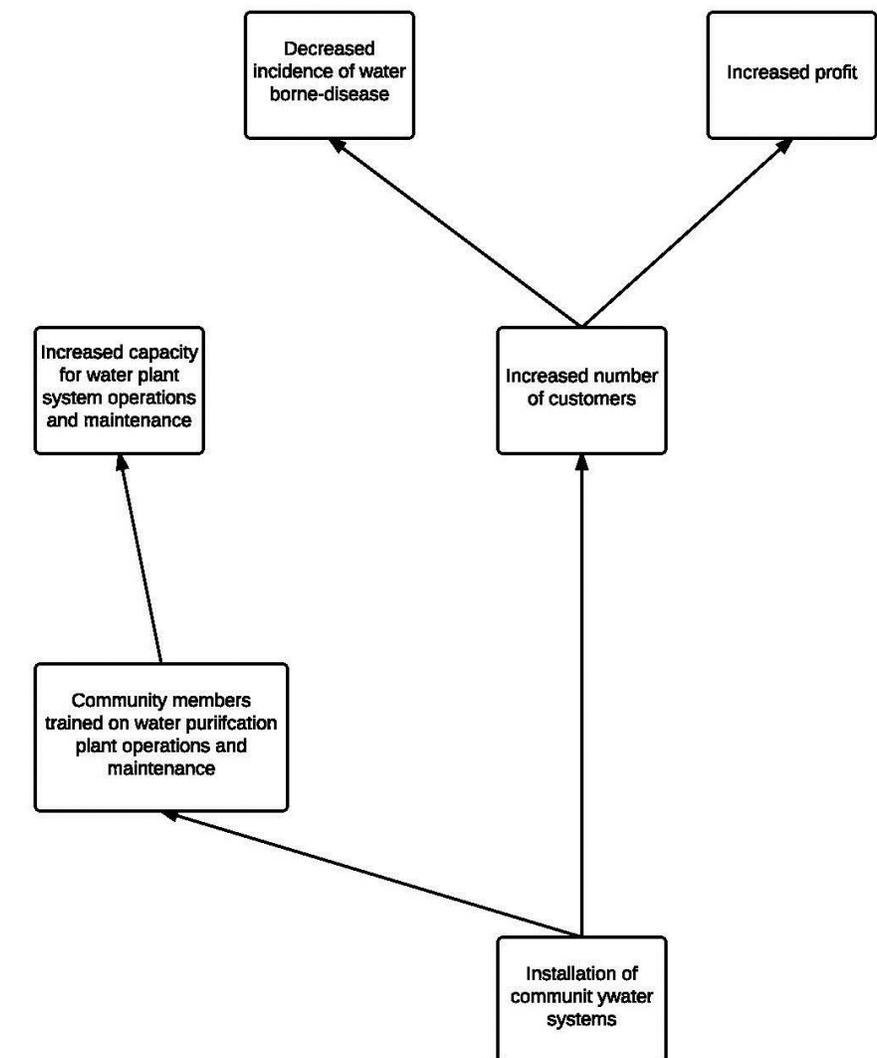
Key Activity	Timing of Activity	Processes Undertaken
		<ul style="list-style-type: none"> • 37 survey forms already forwarded to the government with relevant specifications • Fund transfer is pending, as is the final senior level go-ahead
Selection of villages		<ul style="list-style-type: none"> • The government decides which villages will receive Waterlife intervention
Coupon System	After installation	<ul style="list-style-type: none"> • For the plants that are located toward the town, some corporate entities have expressed interest in safe drinking water. Low income population is very happy to have safe, inexpensive drinking water. The area where we operate the plants has a water quality that is very high in iron. The positioning of these plants could exactly address the need of that community. These plants have conducted a few of those activities. The communities have 10-15 women that go door-to-door to engage the users with coupons. To expand the user base, they have implemented a coupon system. This has been happening over the last two months in all seven plants. The five new plants have these activities ongoing. In the first two plants started the coupon system started after installation of the plant itself. We also ask whether it would be possible for the man of the family to collect water, or would he require someone to deliver at the doorstep with a small premium.
Awareness programs in the plant sites		<ul style="list-style-type: none"> • Set of slides that show how harmful water can affect human life • Community is invited via other community awareness programs • Invitations are done through third party programs
Doctor health camps	Started after installation of each plant	<ul style="list-style-type: none"> • Done this in four of the plans • Free child health check-up camp • Selected doctors that are trusted by the community and have primarily child patients

THEORY OF CHANGE

Below is Waterlife's basic theory of change, which takes into account their major outcomes of interest and linkages to project activities. The outcome map in Annex IV provides further detail on each of these outputs/outcomes.

If Waterlife installs plants in selected villages and trains community members on water purification plant operations, there will be an increased capacity for water plant system operations and maintenance as well as increased availability of clean drinking water. Through information, education, and communication (IEC) activities, Waterlife will have increased customers, assuming that community members can afford to pay for purified water. This will then lead to increased profit for Waterlife as well as decreased incidence of water-borne diseases in the project area.

Figure 11: Waterlife's Theory of Change



DATA COLLECTION

The indicators listed in the outcome map below are suggested indicators for the grantee's consideration. The outcome map for Waterlife can be found in Annex IV. When SI made its first process documentation visit, the team inquired about the metrics that Waterlife was currently using to track progress against intended outcomes. The metrics cited were:

Table 16: Waterlife's Data Collection at the Time of SI's First Process Documentation Visit

Data Collected	Output/Outcome of Interest	Data Source
Need for safe drinking water among community particularly who belong to lower socio-economic strata	Increased awareness of the benefits of consuming clean water	Needs assessment
Willingness and ability of the community to pay for safe drinking water	Community members are willing to pay for purified water	Needs assessment Water sales information
Incidences of water borne diseases among the community	Decreased incidence of water-borne diseases in project areas	Needs assessment
Need for setting up water purification plants as perceived by the local government	Community members are willing to pay for purified water	Needs assessment Minutes of meetings with local government officials
Support from local government on land availability, water sources and power supply	Improved access to clean drinking water	Minutes of meetings with local government officials

SUCCESSSES, CHALLENGES, AND LESSONS LEARNED

Successes

To secure land and water sources, Waterlife established partnerships with municipal corporations and Gram Panchayats, and partnered with local NGOs and doctors to increase awareness. Waterlife completed phase I of the project, conducting a baseline survey of villages to determine the most appropriate locations for the plants and completed an M&E plan. In collaboration with the RMC, Waterlife identified 12 plant locations that satisfied two constraints:

1. The location is poorly served or not served with safe drinking water.
2. The location has a sufficient number of people willing to pay for the water.

After identifying the locations, Waterlife installed six Community Waterlife Systems (CWS), which are now commissioned and ready to be opened to the public—completing phase 2 of the project.

In addition, Waterlife reports quarterly to USAID and FICCI on the progress of the project. Also, FICCI helped Waterlife identify donors and corporate houses to cover the costs associated with plant installation.

Challenges

There is no clear system on receiving payments from the communities where the CWS's are located. Waterlife continues to face competition from brand name water sellers. Furthermore, obtaining authentic information from governments or hospitals has delayed certifying the water quality. There was a need for a delivery mechanism to ensure that the purified water would be able to reach the citizens of the community.

Lessons Learned

Corporate entities have expressed interest in safe drinking water, and their involvement will enhance the sustainability of the project. Community members have also taken active roles to ensure sustainability of the program. They act as security for the plant and are continuing to transition from brand name water to Waterlife. People in need of job were identified in clubs, and employed to deliver water.

Low income populations are very happy to have safe, inexpensive drinking water provided from the project. The area where the plant is operated has water that is very high in iron. The positioning of these plants could exactly address the need of that community. The communities have 10 to 15 women that go door-to-door to engage the users with coupons. To expand the user base, they have implemented a coupon system. This has been happening over the last two months in all seven plants. The five new plants have these activities ongoing. The first two plants started the coupon system after installation of the plant itself.

ZMQ SOFTWARE SYSTEMS – MIRA CHANNEL

PROJECT BACKGROUND

ZMQ Development is the non-profit arm of private company ZMQ Software Systems (<http://www.zmqsoft.com/>), which specializes in ICT, software, and application development. They develop technology solutions for various development sectors with a particular focus on developing social ICT products for grass-root, under-privileged, and marginalized communities.

ZMQ Software Systems leverages the funds from their for-profit activities to invest in their not-for-profit work with ZMQ Development. This model allows ZMQ to create software solutions to address socio-economic and health issues on both individual and community levels, independently from external funders.

With the MA grant, ZMQ created a “One-Stop Channel” for maternal and child health (MCH) to be built-in or installed on mobile phones. The channel is specifically targeted to women of child-bearing age in both rural and urban areas. The channel includes a tracking system for pregnancy, immunization, and family planning, delivers crucial MCH information, and connects channel subscribers with local health institutions.

Over the last five years, health workers in India excessively used apps, including those developed by ZMQ, to disseminate information pertinent to public health and MCH among target groups. The new mobile phone channel will serve as an umbrella platform to piece together standalone MCH-related software solutions that ZMQ previously developed into an overarching mobile phone app and information channel. The channel, named MIRA, will be downloaded on a woman’s mobile phone for independent use or made available through original equipment manufacturers (OEM) for free and through mobile operators for a small fee.

The channel has two main components: 1) an iconic interactive messaging system on specific MCH topics that educates a user on a variety of MCH topics in a simple and yet effective way; and 2) tracking systems for pregnancy, immunization and family planning, which require subscriber registration. For example, once a pregnant woman registers herself, the system informs her as to when she should get her shots, iron and folic tablets, etc. Likewise the immunization tracker will inform the mother when it’s time for her baby to get each of the immunizations.

The innovation in MIRA, as described by ZMQ, is that the mobile channel serves as a “one-stop-shop” for MCH information that can be gained from multiple applications. Additionally, the channel makes use of graphic interaction so that even users with low literacy levels can gain information relevant to their individual health.

IMPLEMENTATION ACTIVITIES AND PROCESSES

During the first round of SI's process documentation (April and May 2014), ZMQ prepared the MIRA platform so that most of the apps were in working order. The registration process and app demonstrations in the field area (6 blocks of Mewat about 45 minutes' drive from their office in Manesar) got underway. The various activities and processes are outlined below. ZMQ developed the applications connected to the MIRA channel prior to receiving MA funding.

Table 17: ZMQ Processes and Activities

Key Activity	Timing of Activity	Processes Undertaken
Finalize most of the MCH apps	Prior to MA award	<ul style="list-style-type: none"> - Developed app content and had it vetted by subject specialists - Designed the iconic and interactive animations - Tested the app design / architecture - Finalized and running apps
Develop the MIRA platform	Mid-June 2013 Upon receiving the MA funds	<ul style="list-style-type: none"> - Designed the channel architecture - Tested the integration of the apps
Develop additional apps, ex: menstrual hygiene app	Post MA funds	<ul style="list-style-type: none"> - Developed app content and had it vetted by subject specialists - Designed the iconic and interactive animations - Tested the app design / architecture - Measured the amount of electricity consumed
Train 11 ASHAs	Late 2013	<ul style="list-style-type: none"> - Trained Accredited Social Health Activists (ASHA) on the following topics: <ul style="list-style-type: none"> o Disseminating MCH information using the MIRA channel o Gathering data on pregnant women and babies in need of immunization and to register these women using the apps o Deploying the apps / channel on women's mobile phones o Will soon start training 200 ASHAs o Signing up a partnership with the government of Haryana o Doing a large scale pilot in one of the districts of Haryana, and will scale from there
Train 5 MIRAs	January 2014	<ul style="list-style-type: none"> - Because ASHA performance was below expectations, ZMQ moved away from the ASHAs in order to train local women (called MIRAs) to do the registration, dissemination and app deployment work - Weaned ASHAs off for 5 months after work started - Trained MIRAs trained to:

Key Activity	Timing of Activity	Processes Undertaken
		<ul style="list-style-type: none"> - Disseminate MCH information using the MIRA channel - Gather data on pregnant women and babies needing immunization and to register these women using the apps - Deploy the apps/channel on women's phones
MIRA register	January 2014	<ul style="list-style-type: none"> - Developed and tested the MIRA offline register based on the online register to make sure data backup was available in case of connectivity issues in the field
Develop Partnerships	Ongoing activity	<ul style="list-style-type: none"> - Identified and signed a Memorandum of Understanding (MOU) with the following partners: - MMVS – an NGO working on self-help groups in the Mewat area to network with, mobilize, and gain access to women in Mewat - Local community radios for spreading the message about the MIRA channel - CORES – an NGO in UP that can test the MIRA channel outside of Mewat - Partnerships with the following are in the process of being developed: - OEMs to preinstall the channel for free on new handsets and to make them available through their respective mobile app stores - Mobile Rechargers to download apps on consumers phones - NGOs in five other Hindi speaking states to distribute the channel
Installation of games	June 2014	<ul style="list-style-type: none"> - Installed three new games in the MIRA channel - Tracking system not yet built for game downloads - Procured contribution of games developed collaboratively with ZMQ from Games for Change - Integrated games into the channel
Partnerships in Africa		<ul style="list-style-type: none"> - Signed agreement with Zero Matadiya (Uganda) <ul style="list-style-type: none"> o Currently finding ways to generate resources - Established partnership with Millennium 2025 partnership program through DFiD in Uganda with Text for Change <ul style="list-style-type: none"> o Text for Change was founded in response to ZMQ and have been in Uganda for almost seven years o Common platform shared with ZMQ
Partnership with FHI 360		<ul style="list-style-type: none"> - Contributed content to adolescent girls for a USAID (FHI 360) IHBP

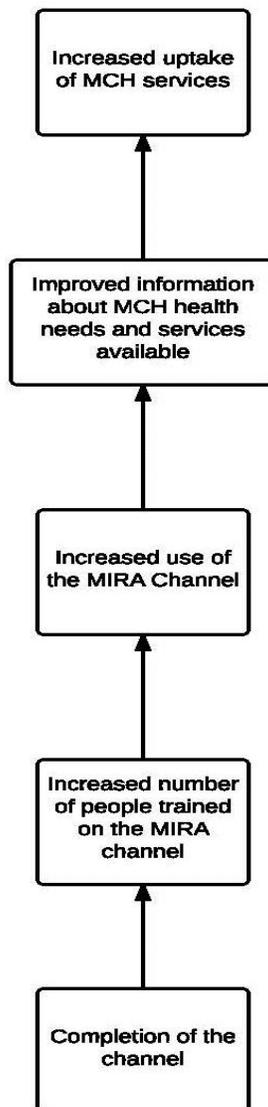
Key Activity	Timing of Activity	Processes Undertaken
Partnership with Rural Livelihoods in Haryana		- Built a new toolkit that integrates MIRA as a lifeline channel

THEORY OF CHANGE

Below is ZMQ's basic theory of change, which takes into account their major outcomes of interest and linkages to project activities. The outcome map in Annex IV provides further detail on each of these outputs/outcomes.

If ZMQ creates the MIRA channel and trains community workers on how to use the MIRA channel, use of the MIRA channel will increase. With increased use of the channel and the deployment of MIRAs, community members will receive improved information about MCH health services more readily, and MIRAs will be able to more effectively track the MCH needs of the community. Assuming that the information is shared properly, we can expect to see increased uptake of MCH services, including ante-natal care (ANC) and immunization services.

Figure 12: ZMQ's Theory of Change



DATA COLLECTION

As previously stated, the indicators listed in the outcome map are *suggested* indicators for the grantee's consideration. The ZMQ outcome map can be found in Annex IV.

When SI made its first process documentation visit, the team inquired about the metrics ZMQ was using to track progress against intended outcomes. The metrics ZMQ staff cited were:

Table 17: ZMQ's Data Collection at the Time of SI's First Process Documentation Visit

Data Collected	Output/Outcome of Interest	Data Source
Progress on app development and channel architecture	<ul style="list-style-type: none">- Number of the apps developed- Readiness of the channel architecture / platform	ZMQ Office records
Household characteristics used to register pregnant women, women with 0-1 year old infants, and other women eligible for FP	<ul style="list-style-type: none">- Number of potential users of MIRA channel:<ul style="list-style-type: none">o pregnant womeno women eligible for FP and immunization for 0-1 year old infants	ZMQ Offline (a hard copy) and online MIRA registers

SUCCESSSES, CHALLENGES, AND LESSONS LEARNED

Successes

ZMQ successfully established partnerships with community-level organizations that have provided assistance with distribution of the MIRA channel, and they have plans for additional partnerships outside of Mewat.

Challenges

ASHAs are often the main source for health information and services in the community, and thus are often overburdened. Though they participated in ZMQ's training for the MIRA channel, ZMQ was unable to use them for MIRA's dissemination, demonstration, and consistent follow-up. Some of the devices were faulty which led to the channel not operating to its full capacity. The original deal was with Nokia, but the company planned to shut down the most compatible channel.

ZMQ was also working with a very conservative community. Specifically, in Mewat there were challenges in achieving the target ratio of users, 60 percent male and 40 percent female, due to cultural gender norms and limited contact with women and girls. Similarly, fathers and husband needed to have confidence in the channel, and ZMQ.

Lessons Learned

After trying to work with ASHAs, ZMQ observed that they were too overburdened to carry out the activities needed to operationalize the MIRA channel. Therefore, they reached out to local women in Mewat to train them in how to collect information through the channel and how to assist women with downloading and using the channel. The most successful MIRAs, should be at least a grade five reading level and should be unmarried or in their 30s.

Different districts led to different demographic ratio and the target gender ratio was able to be achieved in some areas. In every district, establishing a rapport with the family by going to the houses and meeting all members, including the husband and the father allowed for more successful integration of the program.

ANNEXES

ANNEX I: PROCESS DOCUMENTATION STATEMENT OF WORK

NOTE: The SOW presented below appears in SI's contract with USAID, which contains elements beyond the area of focus for this report. This report relates only to the process documentation elements of the statement of work.

STATEMENT OF WORK

Baseline Data Collection and Analysis, and Process Evaluation of Millennium Alliance Awards

I. PROGRAM PROJECT INFORMATION

- a. **Program Project Title: Millennium Alliance (MA)**
- b. **Start-End Dates: 29 May 2012 – 29 May 2017**
- c. **Budget: \$7.7 Million**
- d. **Program/Project Description:**

The United States Agency for International Development (USAID) and the Federation of Indian Chambers of Commerce and Industry (FICCI) are working together as founding partners, in collaboration with the GOI Technology Development Board and Indian private sector sponsors and other stakeholders, to implement the Millennium Alliance – an India-U.S. Innovation Partnership for Global Development. The Millennium Alliance is a platform to leverage Indian creativity, expertise, and resources to source and scale innovations being developed and tested in India that will benefit vulnerable populations across India and the world.

The MA is a network that brings together various actors within India's social innovation ecosystem including, but not limited to, social innovators, philanthropy organizations, social venture capitalists, angel investors, donors, service providers, and corporate foundations, to stimulate and facilitate financial contributions from the private and public sectors and offer a range of support to innovators.

The MA provides innovators with services such as seed funding, grants, incubation and accelerator services, networking opportunities, business support services, knowledge

exchange, and technical assistance, and will facilitate access to equity, debt, and other capital. The project will also strengthen the capacity of FICCI--a non-government, non-profit association of business organizations already heavily engaged in supporting innovation--to use its own resources, and those of other contributors, including USAID, the GOI, and other public and private sector entities, to develop a broad-based sustainable platform to foster development innovations in specified sectors.

The MA will be modeled on and contribute to USAID's Development Innovation Ventures to deliver maximum development impact by focusing on cost-effective solutions, rigorous testing and evaluation, and transition to scale via public and private pathways.

II. STATEMENT OF WORK

a. Purpose:

USAID/India would like the Contractor to provide services for:

- i. Baseline Data collection and data analysis of the key output/outcome indicators for the selected awards made under the MA, wherever required; based on the evaluation plans for the innovations, the baseline data and analysis will be utilized to evaluate the progress and impact of the innovations being supported.
- ii. Conduct process documentation of the innovative interventions to capture key project concepts, implementation processes, planning processes, and other relevant information.

Based on the stage of the implementation of innovations, the Contractor, in coordination with USAID and FICCI teams, will decide on the appropriate course of action which would be either baseline data collection and analysis and/or process documentation for the identified interventions. The Contractor will include, consult and keep the FICCI staff informed throughout the process of both baseline data collection and documentation.

i. Baseline Data Collection and Data Analysis

The Contractor will collect baseline data values for the identified innovations under the MA awards, wherever required. Based on the internal review of the MA awards, the baseline data collection for 2-3 activities are envisaged. However, the baseline data collection will depend on implementation stage of the intervention as well as on the availability of the statistical significant data for the analyses. The Contractor will collaborate with USAID, FICCI, and FICCI's sub-awardees to review the project documentation including the M&E Plans and Work Plan of each sub-awardee. The Contractor will work with the USAID, FICCI and project teams to set the framework for baseline data collection and analyses. As appropriate, the Contractor will also be required to collect the baseline data for both the treatment group (those individuals who will benefit from project interventions in locations where the project will implement activities) and the control group (those individuals who will not benefit from project interventions).

The Contractor should propose the appropriate methodologies for the quantitative and qualitative data collection. For quantitative methods, the Contractor should conduct surveys relevant to the evaluation design of the innovations and the indicators for which the impact needs to be measured. The selected sample should have statistical power, be representative of the universe under study and be representative and comparable of the sample size obtained for the control and treatment group. This sample plan must be presented and approved by USAID/India and FICCI teams.

As regards to the qualitative methods, the contractor may decide to apply one or all of the following suggested methods or others:

- Key interviews with local partners, beneficiaries, facilities and municipal and local authorities randomly selected by the contractor from a pool given by the USAID and FICCI teams.
- Observational Analysis to determine the project's achievements and performance. The contractor must conduct site visits in order to analyze the information that has been gathered through the qualitative information. The location for site visits will be selected randomly by the contractor.
- Focus groups with stakeholders in order to complete information gathered by quantitative and difference in difference analysis. The contractor may consider holding several focus groups to collect the perceptions and opinions related to project activities, performance and results from the beneficiaries and stakeholders. Also, the selection of the focus groups will follow a random selection process undertaken by the contractor.

Since most of the innovations under the MA awards are at the identification or testing stage, the above proposed methods should be applied wherever appropriate. The Contractor will discuss and keep the USAID and FICCI teams updated on other methodological limitations.

Once the Contractor has analyzed the data collected (both quantitative and qualitative), the Contractor will draft recommendations to present to the USAID and FICCI teams. The draft baseline report will include the most significant findings on the baseline data suggested by the Contractor.

ii. **Process Documentation**

As stated above, the Contractor will conduct process documentation for all the innovative interventions under the MA awards. The basic aim of process documentation is to learn from implementation experience. The Contractor will document the key processes which will help in creating systematic information to articulate the intervention strategies and develop the flow chart of a program. This will help the project to find out more about the needed field intervention methods, coordination, management requirements, financial management and human resource development policies.

The Contractor will identify useful methods to document the processes, such as use of existing project documents, business plans and records, structured interviews, participant observation of users, case studies, field diaries of project staff, video and audio recordings, etc.

The Contractor will also develop tools for documenting the narrative and process flow which may serve as a baseline for performing internal controls testing and implementing process improvements as necessary.

The Contractor will analyze both desired and undesired processes but also hint at the causes of processes and patterns. The results of the documentation report will help conducting an evaluation of the processes.

III. TECHNICAL REQUIREMENTS:

- a. **Work Plan:** The Contractor will submit a detailed work plan which operationalizes baseline data collection methodology, data analysis methodologies, and process documentation framework. USAID shall approve the work plan prior to implementation of the task.
- b. **Data Collection and Analysis Methodology:** Data collection and analysis methodologies will be discussed with, and approved by, the USAID/India Partnership for Innovation (Pi) Office team prior to the start of the assignment. Considering that the Millennium Alliance is a complex program involving the prime partner FICCI and the sub-awardees, various discrete activities, locations and target groups, USAID anticipates a mixed approach for baseline data collection and analysis, and process documentation. This approach will incorporate standard qualitative methods such as key informant interviews, group interviews, focus groups, structured observations, or illustrative case studies as well as quantitative data collection and analysis. Based on the breadth and stage of the intervention, the appropriate sample surveys or statistical sampling and process documentation tools could be introduced. We would also like to explore if any intervention requires the quasi-experimental/ experimental methods of evaluation; if this is planned for the innovative interventions, the rigor and methods for data collection including identification of comparison groups would be discussed with the USAID and FICCI teams.
- c. **Discussion of Preliminary Draft Baseline Findings** – The contractor will submit a draft of the report to USAID/India. Comments will be provided by USAID and FICCI, based on these comments the contractor will hold debriefing with the sub-partners.
- d. **Debriefing with USAID and Partner-** The contractor will present major baseline findings and key process documentation results to USAID. A separate briefing for USAID partners, to be coordinated by USAID, after submission of the draft report.
- e. **Draft Baseline Report-** A draft report on baseline data with findings from the analysis and recommendations must be submitted to USAID/India. Feedback will be provided within one week of report submission.
- f. **Final Baseline Report-** The contractor will submit a final report that addresses and incorporates the responses to the Mission’s comments.

- g. **Process Documentation:** The Contractor will document the key processes undertaken by each of the innovations under MA awards. The Contractor will submit the final documentation report to USAID/India. The report will also include the tools and key next steps to be followed by USAID/India, FICCI and its implementing partners over the period of the interventions.
- h. **Recommendations** –The contractor will present recommendations to address any important issue identified as a result of the baseline analysis and process documentation, or identified during the field work.
- i. **Provide raw data collection, data analysis and hard and soft copies of data collected through surveys and questionnaires.**

ANNEX II: EVALUATION METHODS AND LIMITATIONS

Process Documentation Round II Methodology

Social Impact (SI) completed the first round of process documentation on May 15th, 2014. The first round consisted of visits to each of the nine MA grantees, where the SI team worked with them to create a visual map of their interventions. The maps included a look at the overarching objectives of their respective projects, the short-term and long-term outcomes of interest, as well as the identification of indicators designed to track each grantee's progress towards meeting their objectives. As SI enters the second round of process documentation, SI's primary objective is two-fold. The first objective is to train both FICCI and the grantees on how process documentation is done, the instruments that can be used, what the primary objectives are and how to define potential indicators for their outcomes of interest. Second, SI will work with grantees to verify and expand on the map that resulted from the first visit. During this one-on-one time, they will also provide guidance on how the information they gather may be useful for overall project management.

Workshop Descriptions

In order to meet the two primary objectives described above, SI proposes developing and staging two sets of workshops. The first will be a capacity building workshop for FICCI and any USAID staff that wish to attend. The second will be a workshop designed to engage the grantees in continuing the process documentation beyond the life of the current contract.

Workshop One: Training of Trainers (FICCI)

The first workshop is designed to train both FICCI as well as USAID staff on how process documentation works and the efforts they can take moving forward to engage their grantees in the logic model mapping exercise. The day will begin with an introduction to logic models and how programs can use them to help them identify their short term and longer term outcomes. Built into this will be an examination of the primary objectives of interest. Currently, MA grantees fit somewhere on scale between having objectives solely focused on social returns versus outcomes solely focused on economic returns. Ideally, the grantees would aim for both to ensure financially sustainable programming that has a positive impact on social issues including improved schooling, increase in family planning and use of contraceptives, and delivering clean water to individuals with the greatest need, among others.

Once FICCI and USAID staff have been trained on the development of a logic model, they will then receive training on how identify indicators that will help measure grantees progress towards meeting their short- and long-term outcomes. The SI team will use examples from the current pool of MA grantees, and work through the development of a logic model and identification of indicators, with FICCI and USAID staff making recommendations on how the models could be developed further. This will help the teams own the process and put them in a position to run the workshops with MA grantees.

Finally, at the end of the day, the SI team will work with FICCI and USAID staff to determine how this information may be built into the proposal process so that they can identify strong candidates for future MA grants, and also provide a starting point from which FICCI and USAID staff will be able to continue working with grantees during the life of the project. The SI team can also make recommendations on how this information can be tracked systematically.

Workshop Two: Training Grantees

The second workshop is designed to familiarize the grantees with the tools and techniques for process documentation, and to refine the logic models developed during the first round of process documentation. Based on the geographical distribution of the grantees, SI recommends that three workshops are held, one in each of the following locations: Delhi, Mumbai, and Bangalore. The workshops will take place over a period of two days and will be led by FICCI and the Team Leader, Dr. Basu, with the oversight of Program Manager, Ms. Paige Mason. USAID will also be invited to attend all workshops.

The first day will focus on training the grantees on the development of a logical framework that identifies the grantees larger objectives, short term and long term outcomes, and the indicators they can gather to track their progress towards meeting their objectives. The first day will use a combination of group capacity building, with a mixture of presentations and exercises that familiarize the grantees with the process documentation tools and provide an opportunity to apply these tools to their particular projects, under the guidance of a workshop facilitator.

On the second day of the workshop, SI, FICCI and USAID will conduct individual consultations with each of the grantees to discuss how the process documentation tools can apply specifically to each of their interventions/products, and complete the process documentation exercise as set in the workplan. During these consultations, they will explore how the grantee has responded to challenges, describe processes that have emerged or changed since the first documentation visit, and refine the outcome map from the first visit.

This workshop format has a number of benefits, including:

- Grantees can come together to learn from each other's experiences
- There is dedicated space and time to practice using the process documentation tools
- The grantees and FICCI will receive capacity building on data utilization and process documentation

Workshop Facilitation

As described above, prior to the training of the grantees, the SI team, led by Program Manager, Ms. Mason, will train FICCI on how to train the grantees on process documentation, with the idea that FICCI will co-lead the trainings with Dr. Basu and the oversight of Ms. Mason. This process will begin with the trainings in Delhi, and Ms. Mason and Dr. Basu will follow the training with feedback specifically for FICCI on their training.

Calendar for the Workshops

According to the calendar submitted with the workplan, SI is scheduled to begin process documentation in mid-July. We would like to recommend the following calendar, subject to grantee, FICCI, and USAID availability.

Day of Week	Date	Activity
Wednesday	23-Jul	PM departs for India
Thursday	24-Jul	PM and TL arrive in India
Friday	25-Jul	In-brief with USAID, Prepare for TOT with FICCI
Saturday	26-Jul	Prepare for TOT with FICCI
Sunday	27-Jul	
Monday	28-Jul	TOT with FICCI and USAID
Tuesday	29-Jul	Prepare for workshops, adjust workshop materials as needed
Wednesday	30-Jul	Continue TOT with FICCI and USAID
Thursday	31-Jul	Workshop Day I in Delhi
Friday	1-Aug	Individual consultations with Katha, ZMQ, and Waterlife
Saturday	2-Aug	Travel to Bangalore
Sunday	3-Aug	
Monday	4-Aug	Workshop Day I in Bangalore
Tuesday	5-Aug	Individual Consultations with Rang De, CLT, EI
Wednesday	6-Aug	Travel to Mumbai
Thursday	7-Aug	Workshop Day I in Mumbai
Friday	8-Aug	Individual Consultations with U-Respect, Greenway, HaldiTech; Debrief with USAID and FICCI

Workshop Outline: FICCI and USAID TRAINING

Overarching learning objectives:

1. Teach FICCI and USAID how to conduct trainings with MA Grantees, with guided feedback
2. Provide guidance on how to build capacity among grantees for process documentation

Learning objectives	Content	Exercises and Knowledge Sharing Activities	Tools	Duration
Module 1 – Introduction and Workshop Objectives				
<ul style="list-style-type: none"> - Review objectives of process documentation - Discuss workshop objectives 	<ul style="list-style-type: none"> - Definition and purpose of process documentation - Key terms: data, monitoring, evaluation, managing for results - FICCI’s learning priorities for themselves and the grantees 	<ul style="list-style-type: none"> - FICCI states priorities for process documentation and the ways it can be most useful for grantees 		½ hour (9:00-9:30)
Module 2 – Outcome Mapping and Logic Models				
<ul style="list-style-type: none"> - Describe what a logic model is and how to build one - Understand each component of outcome mapping - Be able to provide guidance on the links between project activities and intended objectives - Define different types and levels of objectives 	<ul style="list-style-type: none"> - Output vs. outcome and how to measure each - What is an indicator - How to explain the outcome map - How to incorporate outcome mapping exercises into grant applications 	<ul style="list-style-type: none"> - Practice session on explaining the outcome map - Group exercise on developing a logic model 	<ul style="list-style-type: none"> - Outcome Map - Outcome Map “cheat sheet” 	2 hours (9:30-11:30)

Module 3 – Indicator Development				
<ul style="list-style-type: none"> - Learn how to provide instruction for developing indicators to measure progress against objectives - Describe the criteria for good indicators 	<ul style="list-style-type: none"> - What is an indicator - Types of indicators - How to develop an indicator 	<ul style="list-style-type: none"> - Indicator development using grantee examples - Test run on describing types of indicators 	<ul style="list-style-type: none"> - Logframe Technical note 	<p>1 ½ hours (11:45-13:15)</p>
Module 4 – Options for Process Documentation				
<ul style="list-style-type: none"> - Be able to explain the different methods of process documentation - Know how to select the best method 	<ul style="list-style-type: none"> - Business process mapping - Process indicators - Implementation timelines - Flow charts 	<ul style="list-style-type: none"> - Process documentation option matching 	<ul style="list-style-type: none"> - Managing for results materials 	<p>1 hour (14:30-15:30)</p>
Module 5 – Process Documentation Moving Forward				
<ul style="list-style-type: none"> - Identify ways that process documentation can be integrated into future rounds of grants 	<ul style="list-style-type: none"> - Discussion of recommendations for FICCI to use process documentation - Process documentation uses in the proposal/application process 	<ul style="list-style-type: none"> - Review of grantee application and identification of opportunities for setting the stage for process documentation 	<ul style="list-style-type: none"> - Process Documentation Report 	<p>1 ½ hours (15:30-16:00)</p>

Workshop Outline: GRANTEE TRAINING

Below is a detailed outline of workshop activities and timing.

Overarching learning objectives:

1. Build capacity for grantees to continue process documentation
2. Acquaint grantees with the tools and methods for process documentation
3. Provide guidance on how to collect and use project data for management and implementation

Learning objectives	Content	Exercises and Knowledge Sharing Activities	Tools	Duration
Module 1 – Introduction and Workshop Objectives				
<ul style="list-style-type: none"> - Review objectives of process documentation - Discuss workshop objectives 	<ul style="list-style-type: none"> - Slides on objectives - What is process documentation - Key terms: data, monitoring, evaluation, managing for results 	<ul style="list-style-type: none"> - Grantees introduce themselves and describe how they are currently using process documentation and data 		½ hour (9-9:30)
Module 2 – Outcome Mapping				
<ul style="list-style-type: none"> - Understand each component of outcome mapping - Learn how to link project activities to objectives - Define different types and levels of objectives 	<ul style="list-style-type: none"> - Output vs. outcome and how to measure each - What is an indicator - How to use the outcome map 	<ul style="list-style-type: none"> - Building an outcome map for one aspect of the project 	<ul style="list-style-type: none"> - Outcome Map - Outcome Map “cheat sheet” 	2 hours (9:30-11:30)
Module 3 – Indicator Development				

- Learn how to develop indicators to measure progress against objectives	- What is an indicator - Types of indicators - How to develop and indicator	- Developing indicators for aspect of project selected for outcome mapping	- Logframe Technical note	1 ½ hours (11:45-13:15)
Module 4 – Options for Process Documentation				
- Become aware of different methods of process documentation - Know how to select the best method	- Business process mapping - Process indicators - Implementation timelines - Flow charts	- Short business process mapping activity		2 hours (14:30-16:30)
Module 5 – Data Use and Visualization				
- Identify ways to analyze performance data and use the results	- How to develop project M&E plans - Selecting data sources for performance data - Using performance data for decision making	- Exercise on using performance data for decision making	- Managing for results materials	1 ½ hours (16:30-18:00)

ANNEX III: DATA COLLECTION INSTRUMENTS

Process Documentation-Millennium Alliance Grantees Interview Guide for Grantees

Introduction: Thank you so much for taking the time to speak with us today. As you may have learned during our preliminary visit (with Drs. Jones and Basu), the objective during our visit is to help USAID and FICCI better understand the design of your program and the process you have gone through or are going through to implement your program/innovation. USAID and FICCI want to gather information from this first round of MA to help learn from the successes you've experienced as grantees and improve the program in the years to come, based on your experiences. Additionally, USAID and FICCI would like for the SI Process Documentation team to work with you to help come up with a tool that will help you map your project and allow you to track your progress as you continue to move forward. The first set of questions will focus on your past experiences and where you are with your innovation/program at present. The second half of questions will focus in on your program/innovation and MA in the future.

Program/Innovation Description and Mapping:

1. Let's begin by having you tell me a little bit about your program or innovation.
 - a. What were some of the drivers that encouraged you to undertake this work? How and when was it initiated? What was the proposal development process/ grant request procedure that you used in approaching FICCI/USAID?
 - b. What are the factors that have enabled you to do the work?
 - c. How do you define innovation? What component of your work do you feel is the most innovative?

What is the management structure of your organization (both human and financial resources)? And of your project/innovation?

2. Did you draw upon the experience of any technical or subject matter experts in the design and implementation of your project/innovation?
3. Who is your program/innovation intended to reach? Who do you think will benefit most from your program/innovation?

Probes:

 - a. Gender
 - b. Age Range
 - c. Income level
 - d. Geographic region
 - e. Caste
4. Are there other key stakeholders for your program/innovation in addition to the beneficiaries listed above?

5. Does your MA work fit into a larger initiative you or another organization are/is undertaking? If so, can you explain how it fits in?
6. Does your MA work fit into ongoing government efforts (e.g. Learning Enhancement Program)? If so, how?

What are some of your biggest successes with the program/innovation development?

7. What are some of your biggest challenges with program/innovation development? How did you overcome those challenges?
8. What are the various outcomes you are trying to accomplish with respect to your program/innovation?
 - a. Social Outcomes
 - b. Economic Outcomes?
 - c. Health Outcomes?
 - d. Environmental Outcomes?
 - e. Education outcomes?
 - f. Gender outcomes?
9. How are you currently measuring each of these outcomes? Have you linked up specific outputs you are measuring to assess the progress you are making toward reaching your outcomes? Please explain the M&E strategy and any tools or techniques adopted for this.
10. Theory of Change mapping: Work with the grantee to draw a map of theory of change. Work with them to identify what their theory of change is and their logic model. Use a separate blank sheet of paper to do this.
11. Now that we better understand your theory of change, let's work together to map how your progress can be defined and mapped. (USE FORM THAT IS IN ATTACHMENT).

Program/Innovation Implementation

12. Did you undertake any sort of needs assessment to determine either your target group or implementation strategy? If so, how did you assess their needs?
13. What was your overall strategy for program implementation? What methods are you undertaking to implement your program/innovation?
14. We talked about your current management structure, how does that structure play into your implementation strategy? Please briefly describe the roles and responsibilities of key staff.
15. Aside from producing your product or program, how did you intend to implement it within the community?

16. To what extent did you engage relevant government departments in your project implementation? Please specify any activities that contributed to increased government involvement and awareness of the project/innovation.
17. What strategies did you use or are you using to engage the community or other local stakeholders in your program or in the implementation process? Do you have any partners you are working with? If yes, what is the coordination/responsibility sharing mechanism with your partners? Regular meetings/information sharing?
18. What type of IEC/BCC strategy did you adopt for awareness generation of the target community?
19. What type of capacity building/enhancement strategy did you adopt for the project staff/stakeholders?
20. What are some of the particular challenges you have faced with implementation? How did you address such challenges?
21. What are some of the successes you have encountered with implementation?
22. What are some of your lessons learned from implementation? How did you re-structure your implementation/intervention process based on the lessons learnt?
23. Does your project/innovation have a risk management strategy? If so, please describe it.

Program/Innovation Sustainability

24. What does sustainability mean for your program or innovation?
25. What measures are you taking in order to ensure that your project/innovation will achieve long-term sustainability?
26. What are some of the outputs or implementation indicators you are examining to assess the sustainability of your program/project?
27. What type of environment do you think is needed in order for you to scale your project up?

Role of USAID and FICCI

28. What ways have you worked with USAID since you received the MA award?
29. What ways have you worked with FICCI since you received the MA award?
30. Is there any additional support or guidance that you would like to receive from either USAID or FICCI?
31. What role might they play in the sustainability of your project?

32. In what ways, aside from direct provision of funds, have FICCI and USAID supported your project/innovation?
33. In what ways, aside from additional funds, might FICCI and USAID support you in the future?
34. What is the reporting system you follow with FICCI/USAID? Frequency?

Second Round Questionnaire

Note to Interviewer: Begin with thanking the grantee for making time to participate in the workshop yesterday, and to meet with you today. Let the grantee know that there are two main purposes for this meeting, which will last two hours:

- Complete the process documentation that begin with the first round visits
- Discuss how the learnings from yesterday can apply specifically to the grantee

You will need to structure your time so that you achieve both objectives. The interview questions below are intended to complete the process documentation exercise, and the application of learnings will depend on each grantee. Some thoughts on how to proceed with the grantee are below, but you also allow the grantee to voice what they think they could use the most help with.

These meetings will require ample advance preparation. Please read the grantee reports and field notes from the first visit in depth before these interviews take place.

Process Documentation Interview Questions

Note to interviewer: The grantee will have already received the grantee-specific report that appeared in the full draft of the process documentation report.

1. Have you had an opportunity to review the report we sent to you with the workshop invitation? Are there any factual errors that we need to correct?
2. Refer to the “Implementation Activities and Processes” section of the report. Since we met last, have there been any changes to this table?
 - a. Have you undertaken new activities? If so, please describe them.
 - b. Have any new processes emerged related to these activities?
 - c. Have any of the previous processes changed? Why did they change?
3. Some of the challenges that we discussed before were [see list below].
 - a. Do these challenges still exist?
 - b. How did you respond to these challenges?
 - c. Are there any new challenges that have come up? How do you intend to respond to them?
4. Yesterday, we conducted exercises on results statements, indicator development, and outcome mapping. Let’s spend some time going through your outcome map to continue this process for your other objectives. [Refer to the updated version of their outcome map and continue the exercise. You may not be able to complete the map in the time allotted (try not to spend more than 30 minutes on this to allow for other issues to be addressed), but go through at least one more result area. Additional follow-up and assistance on the outcome map can continue remotely.]
5. Reflecting back on what we discussed during the workshop, what do you see as the area of greatest need for your organization? [Take time to think about what the grantee has said. If they want to jump to outcome mapping, but are still having a difficult time crafting results statements, they will need to build a foundation on results first before mapping the outcomes with the indicators, data sources, assumptions, etc. Emphasize that the topics covered in the workshop are building blocks, and it doesn’t do much good to skip steps in the process or you will continue to have gaps].

6. Work with the grantee on developing an action plan for improving performance management and continuing process documentation on their own.

Table 1: Grantee Challenges

Challenge	Intended Response	Actual Response

ANNEX IV: OUTCOME MAPS FOR EACH GRANTEE

CLT Outcome Map

OBJECTIVES	INDICATORS	PROJECT ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
Long-term Outcome/Impact				
Improved student academic performance	<ul style="list-style-type: none"> % increase in student performance (as measured by written and verbal test scores) 	<ul style="list-style-type: none"> Implementation of CLT e-Patashale in classrooms 	<ul style="list-style-type: none"> Baseline and endline assessments Student test scores 	Rural teachers use the CLT e-Patashale curriculum consistently
Improved learning environment	<ul style="list-style-type: none"> % decrease in dropout rate Student engagement score % increase in student satisfaction 	See above	<ul style="list-style-type: none"> Feedback forms Engagement index School data 	Students are regularly attending school
Increased product distribution	<ul style="list-style-type: none"> # of schools using the curriculum # of licenses sold # of partners 	<ul style="list-style-type: none"> Identification of partners for distribution Marketing of the curriculum 	<ul style="list-style-type: none"> CLT data 	Demand for e-Patashale increases
Short-term Outcomes				
Increased use of curriculum in the classroom	<ul style="list-style-type: none"> # of children exposed to the curriculum # of lessons taught using the curriculum 	<ul style="list-style-type: none"> Installation of e-Patashale in classrooms 	Data collected from the software	Teachers are using the curriculum correctly

OBJECTIVES	INDICATORS	PROJECT ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
Improved market-readiness	<ul style="list-style-type: none"> • # of variations of the curriculum developed • # of languages the curriculum is translated into 	<ul style="list-style-type: none"> • Adjustment to curriculum based on format and language • Upgrading of the curriculum 	<ul style="list-style-type: none"> • CLT data 	Customization is not required for each new “customer” of e-Patashale
Increased capacity for teachers to use technology in classrooms	<ul style="list-style-type: none"> • % increase in technology skills 	<ul style="list-style-type: none"> • Teacher training 	<ul style="list-style-type: none"> • Qualitative interviews • Pre- and post-tests after trainings 	Teachers have technology available to use e-Patashale
Outputs				
Teachers trained to use e-Patashale	<ul style="list-style-type: none"> • # of teachers trained 	<ul style="list-style-type: none"> • Develop training materials • Develop e-Patashale courseware 	<ul style="list-style-type: none"> • Project data 	Schools are supportive of teacher training
E-Patashale content developed	<ul style="list-style-type: none"> • # of languages curriculum is translated into • Completion on curriculum • # of grades that curriculum is available for • # of e-books created • # of apps created 	<ul style="list-style-type: none"> • Provide ICT infrastructure • Partnerships with private companies for content development 	<ul style="list-style-type: none"> • Project data 	Final curriculum is ready to use

EI (Mindspark Bhasha) Outcome Map

OBJECTIVES	INDICATORS	PROJECT ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
Long-term Outcome/Impact				
Improved reading skills	<ul style="list-style-type: none"> • % of students that achieve grade level reading at endline • % increase in reading comprehension levels • # of mistakes made in Matras and punctuation courses • % of correct responses in learning assessments 	<ul style="list-style-type: none"> • Set up the Mindspark Bhasha lab • Train Mindspark coordinator • Orientation and training for teachers • Development of Mindspark Bhasha curriculum • Integration of Mindspark curriculum into students' learning 	<ul style="list-style-type: none"> • Baseline and endline assessments • Teacher and student Mindspark dashboard • Reading application data 	<ul style="list-style-type: none"> • Students complete the school year • Students are attending school • There is adequate infrastructure for the school • Students will be motivated to learn • Increased interest leads to more effective learning
Short-term Outcomes				
Increased interest in learning	<ul style="list-style-type: none"> • % increase in overall student satisfaction levels • % increase in attendance • % increase in classroom participation by students 	<ul style="list-style-type: none"> • Orientation for students • EI staff at Mindspark Bhasha lab to provide guidance 	<ul style="list-style-type: none"> • School data • Mindspark data • Qualitative interviews with students and parents 	
Improved teaching ability	<ul style="list-style-type: none"> • Score on teaching capacity index 	<ul style="list-style-type: none"> • Teacher training 	<ul style="list-style-type: none"> • Teacher self-assessment • Needs assessment • Feedback from the headmaster and students 	<ul style="list-style-type: none"> • Teachers have technology available to use Mindspark • Teachers accept the technology as a teaching tool • Teachers use the data generated

OBJECTIVES	INDICATORS	PROJECT ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
				from the Mindspark software
Increased use of technology-based learning	<ul style="list-style-type: none"> • % increase in technology use • # of hours of technology use • Time spent per individual 	<ul style="list-style-type: none"> • Interactive sessions with the students • Installation of software in computer lab 	<ul style="list-style-type: none"> • Mindspark data 	<ul style="list-style-type: none"> • Students are able to access the lab
Outputs				
Teachers trained to use Mindspark	<ul style="list-style-type: none"> • # of teachers trained 	<ul style="list-style-type: none"> • Develop training materials • Develop Mindspark courseware 	<ul style="list-style-type: none"> • Project data 	<ul style="list-style-type: none"> • School support for teacher training
Mindspark content developed	<ul style="list-style-type: none"> • Completion of curriculum 	<ul style="list-style-type: none"> • Provide ICT infrastructure • Develop Mindspark courseware • Alignment of the content with teacher curriculum and schedules 	<ul style="list-style-type: none"> • Project data 	
Completed installation of the Mindspark lab	<ul style="list-style-type: none"> • Installation of Mindspark in the lab 	<ul style="list-style-type: none"> • Installation of Mindspark in the lab • Provide the data interface • Advocate with decision makers 	<ul style="list-style-type: none"> • Mindspark data 	<ul style="list-style-type: none"> • The school is running • There is adequate electricity and internet

GGI Outcome Map

OBJECTIVES	INDICATORS	PROJECT ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
Long-term Outcome/Impact				
Decreased environmental damage from household cooking	<ul style="list-style-type: none"> Carbon footprint attributable to household cooking 	<ul style="list-style-type: none"> Distribution of more efficient cookstoves in rural market 	<ul style="list-style-type: none"> Environmental index 	<ul style="list-style-type: none"> Long-term use of cookstoves
Increased profit margin from cookstove sales	<ul style="list-style-type: none"> Profit margin on sales 	<ul style="list-style-type: none"> Cost optimization Lower cost sourcing of cookstove inputs 	<ul style="list-style-type: none"> Cost data Sales data 	
Indigenization of Indian manufacturing	<ul style="list-style-type: none"> # of Indian manufacturers that produce components of the cookstove % of cookstove sourced in India 	<ul style="list-style-type: none"> Find manufacturers that are willing to produce the stove and its specialized components Generate interest after commercialization of the cookstove 	<ul style="list-style-type: none"> Production data 	<ul style="list-style-type: none"> Indian vendors for cookstove components exist
Increased practice of energy-efficient household cooking	<ul style="list-style-type: none"> % reduction in amount of burning materials used for household cooking 	<ul style="list-style-type: none"> Cookstove demonstrations 	<ul style="list-style-type: none"> Survey of cookstove users Usage monitors on cookstoves 	<ul style="list-style-type: none"> Cookstove is being used for intended purpose
Short-term Outcomes				
Increased number of Indian firms willing to make cookstove parts	<ul style="list-style-type: none"> # of Indian firms willing to make cookstove parts 	<ul style="list-style-type: none"> Capacity building for Indian firms 	<ul style="list-style-type: none"> Production data 	Indian firms have the production capacity needed
Increased number of customers willing to purchase the cookstove	<ul style="list-style-type: none"> # of customers that purchase a cookstove 	<ul style="list-style-type: none"> Cookstove demonstrations in the field Liaise with MFIs to offer loans for cookstove purchase Provide a one-year warranty on cookstove 	<ul style="list-style-type: none"> Activity monitoring data Sales data 	Women (primary cookstove purchasers) have decision-making ability in the household

OBJECTIVES	INDICATORS	PROJECT ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
Outputs				
Improve customer satisfaction	<ul style="list-style-type: none"> • # of hours of cookstove use per week • # of hours of mudstove use per week after cookstove purchase 	<ul style="list-style-type: none"> • Sending customer feedback forms • Price optimization • Customer outreach • Interaction with retailers 	<ul style="list-style-type: none"> • Cookstove monitors • Customer feedback forms 	<ul style="list-style-type: none"> • Customers are willing to offer feedback • The person completing the feedback form is the primary user of the cookstove
Development of a marketable cookstove	<ul style="list-style-type: none"> • % of potential customers willing to purchase the cookstove 	<ul style="list-style-type: none"> • Price optimization • Adjustment to prototype based on field testing 	<ul style="list-style-type: none"> • Survey of rural customers 	The redesign is successful
Development of a working product	<ul style="list-style-type: none"> • % of field trials that are successful 	<ul style="list-style-type: none"> • Pilot testing of market model of cookstove • Lab testing of prototype 	<ul style="list-style-type: none"> • Cookstove monitors • Customer feedback forms 	

HaldiTech Outcome Map

OBJECTIVES	INDICATORS	ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
Long term Outcome/Impact				
Increased turmeric market share	% of turmeric market that is held by HaldiTech processed turmeric	<ul style="list-style-type: none"> Introduce HaldiTech processed turmeric into the market on supply and demand sides 	<ul style="list-style-type: none"> Amount of HaldiTech turmeric processed Total amount of turmeric sold 	<ul style="list-style-type: none"> Another technology doesn't compete with HaldiTech
Increased productivity of farmers	<ul style="list-style-type: none"> # of months fields are used for turmeric Amount of turmeric processed each year 	<ul style="list-style-type: none"> Processing of turmeric during harvest season 	<ul style="list-style-type: none"> Farmer survey 	<ul style="list-style-type: none"> Farmers choose to use land for another crop
Increased demand for HaldiTech processed turmeric	Amount of turmeric bought by spice traders	<ul style="list-style-type: none"> Marketing of HaldiTech turmeric to spice traders Demonstrate improved profitability of HaldiTech processed turmeric 	<ul style="list-style-type: none"> Turmeric sales data 	<ul style="list-style-type: none"> Customers are willing to purchase HaldiTech processed turmeric
Short-term Outcomes				
Increased acceptance of HaldiTech by spice traders	<ul style="list-style-type: none"> # of spice traders that purchase HaldiTech processed turmeric # of agreements with spice traders/ companies to supply HaldiTech processed turmeric 	<ul style="list-style-type: none"> Marketing discussions with spice traders 	<ul style="list-style-type: none"> Marketing data 	<ul style="list-style-type: none"> Spice traders will accept processed turmeric in either powder or slivers
Increased use of HaldiTech by farmers	<ul style="list-style-type: none"> # of farmers that use HaldiTech Amount of turmeric processed through HaldiTech 	<ul style="list-style-type: none"> Field demonstrations Pilot testing of technology Focus on new farmers instead of traditional growers 	<ul style="list-style-type: none"> Turmeric processing data 	<ul style="list-style-type: none"> Farmers are willing to bring their raw materials to HaldiTech site There is sufficient infrastructure for HaldiTech to work
Increased awareness of HaldiTech	<ul style="list-style-type: none"> # of people contacted about HaldiTech # of promotional activities 	<ul style="list-style-type: none"> Developing partnerships with spice boards and APMCs in the spice belts 	<ul style="list-style-type: none"> Project data 	

OBJECTIVES	INDICATORS	ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
		<ul style="list-style-type: none"> • Field demonstrations • Marketing events 		
Reduced time required to bring turmeric to market	Amount of time after harvesting that turmeric reaches market	<ul style="list-style-type: none"> • Use of HaldiTech 	<ul style="list-style-type: none"> • Sales data 	
Outputs				
Increased curcumin content	Amount of curcumin in HaldiTech processed turmeric	<ul style="list-style-type: none"> • Lab testing of technology 	<ul style="list-style-type: none"> • Lab notes 	
Decreased turmeric processing time	Amount of time it takes to dry and process turmeric using HaldiTech	<ul style="list-style-type: none"> • Lab testing of technology • Field testing of technology 	<ul style="list-style-type: none"> • Lab notes • Field notes 	<ul style="list-style-type: none"> • There is sufficient infrastructure for HaldiTech to work continuously
Decreased operating cost of turmeric processing	Amount it costs to process turmeric	<ul style="list-style-type: none"> • Field testing of technology 	<ul style="list-style-type: none"> • Field notes 	<ul style="list-style-type: none"> • Price of electricity and other inputs remains constant
HaldiTech is a working product	Working technology	<ul style="list-style-type: none"> • Lab testing of technology • Field testing of technology 	<ul style="list-style-type: none"> • Lab notes • Field notes 	

Katha Outcome Map

OBJECTIVES	INDICATORS	PROJECT ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
Long-term Outcome/Impact				
Increased percentage of students at grade-level reading	<ul style="list-style-type: none"> % of students that read at grade level 	<ul style="list-style-type: none"> Set up ILR labs Teacher training Katha Marg Reading Program Championship assessments 	<ul style="list-style-type: none"> Project data Championship results 	<ul style="list-style-type: none"> Championships are attended by the same students each time
Improve school attendance	<ul style="list-style-type: none"> School attendance rate 	<ul style="list-style-type: none"> ILR learning and teaching approach See above activities 	<ul style="list-style-type: none"> School attendance register 	
Short-term Outcomes				
Improved learning environment	<ul style="list-style-type: none"> satisfaction score Score on a student engagement index 	<ul style="list-style-type: none"> Use of ILR learning and teaching methods 	<ul style="list-style-type: none"> Feedback forms from students and parents Qualitative data collection 	<ul style="list-style-type: none"> Students will attend school with an improved learning environment.

OBJECTIVES	INDICATORS	PROJECT ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
Increased use of the Katha methodology	<ul style="list-style-type: none"> • # of teachers reporting use • % of spot checks that demonstrate use 	<ul style="list-style-type: none"> • Teacher training 	<ul style="list-style-type: none"> • Spot checks • Teacher feedback 	<ul style="list-style-type: none"> • Little to no teacher turnover • Teachers are using the Katha methods correctly
Outputs				
Teachers trained in Katha Marg and ILR approach	<ul style="list-style-type: none"> • # of teachers trained 	<ul style="list-style-type: none"> • Training materials • Teacher training • Curriculum development • School mentors and project staff 	<ul style="list-style-type: none"> • Project data 	<ul style="list-style-type: none"> • Schools are willing to allow teachers to participate in trainings
Development of Katha Marg teaching materials	<ul style="list-style-type: none"> • # of teaching curricula developed 	<ul style="list-style-type: none"> • Development of teaching materials 	<ul style="list-style-type: none"> • Project data 	<ul style="list-style-type: none"> • Teaching materials are approved for use in municipal schools

Rang De Outcome Map

OBJECTIVES	INDICATORS	PROJECT ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
Long-term Outcome/Impact				
Improved employability for skilled jobs	<ul style="list-style-type: none"> % of loan recipients employed 	<ul style="list-style-type: none"> Provision of loans to students pursuing higher education 	<ul style="list-style-type: none"> Student follow-up 	<p>Students don't drop out for non-financial reasons</p> <p>There is demand for the skillset they receive a higher degree in</p>
Increased number of higher education graduates	<ul style="list-style-type: none"> % of loan recipients who drop out due to financial constraints % of loan recipients that graduate 	<ul style="list-style-type: none"> Design education loan funding opportunities through Rang De's online platform Set up pilot partnerships with educational institutions to support students doing professional degree courses Design marketing and fundraising programs for education loans 	<ul style="list-style-type: none"> Loan documentation Project data 	<p>Students don't drop out for non-financial reasons</p>
Short-term Outcomes				
Increased access to loans	<ul style="list-style-type: none"> # of students that receive loans % of eligible students that receive loans Amount of money disbursed 	<ul style="list-style-type: none"> Review of loan applications Develop partnerships with social investors and corporations 	<ul style="list-style-type: none"> Application forms Loan application evaluation forms Project data 	<p>There is enough time available to disburse loans for eligible students</p>

OBJECTIVES	INDICATORS	PROJECT ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
Outputs				
Increased amount of money available for loans	<ul style="list-style-type: none"> • Amount of money committed by investors • Amount of money available for “emergency” loans • # of investors (disaggregated by type of investor) 	<ul style="list-style-type: none"> • Reach out to investors • Raise awareness about Rang De platform 	<ul style="list-style-type: none"> • Project data 	<ul style="list-style-type: none"> • Corporations are willing to back loans without knowing the direct recipient of the loan

U-Respect Outcome Map

OBJECTIVES	INDICATORS	PROJECT ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
Long-term Outcome/Impact				
Increase Modern Spacing Methods and Usage rate	<ul style="list-style-type: none"> % increase in CPR per modern spacing method 	<ul style="list-style-type: none"> Promotion of condoms, IUDs, and pills through toll free call centers and community consultants 	<ul style="list-style-type: none"> Internal monitoring system PHC data (from DHO office) 	<p>All activities go as planned</p> <p>No natural or man-made calamity in the project area during the project period</p>
Improved SRH practices	<ul style="list-style-type: none"> % increase in adolescents who report safe sex practices 	<ul style="list-style-type: none"> School awareness programs Referrals through the call center 	<ul style="list-style-type: none"> Community survey 	<p>URespect is able to conduct activities in the school</p>
Short-term Outcomes				
Increased awareness of modern methods	<ul style="list-style-type: none"> Couple year protection 	<ul style="list-style-type: none"> Visits by community consultants Call center Awareness activities in the community 	<ul style="list-style-type: none"> Community survey 	
Increased sales of condoms and pills	<ul style="list-style-type: none"> # of condoms sold # of OCPs sold 	<ul style="list-style-type: none"> Provide stock of condoms and pills to NTOs and TOs 	<ul style="list-style-type: none"> Project data Sales data 	

OBJECTIVES	INDICATORS	PROJECT ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
Increased access to modern methods (condoms and pills)	<ul style="list-style-type: none"> # of traditional and non-traditional outlets that carry stock of contraceptives 	<ul style="list-style-type: none"> Provide stocks of condoms and pills to NTOs and TOs Train outlet owners and managers 	<ul style="list-style-type: none"> Project activities Contraceptive stock registers 	People seek access to modern methods
Outputs				
Increased number of outlets carrying stock of condoms and pills	<ul style="list-style-type: none"> # of NTOs and TOs that agree to carry stock of condoms and pills 	<ul style="list-style-type: none"> Contact shop owners Provide them with stock of condoms and pills 	<ul style="list-style-type: none"> Project data 	Outlets sell the stock Condoms and pills are readily available for customers
Increased number of shop owners trained in sales of modern methods	<ul style="list-style-type: none"> # of shop owners trained 	<ul style="list-style-type: none"> Training of shop owners 	<ul style="list-style-type: none"> Project data 	Outlets sell the stock Condoms and pills are readily available for customers
Increased number of calls to the call center	<ul style="list-style-type: none"> # of people that call the call center per month (disaggregated by age and sex) 	<ul style="list-style-type: none"> Public announcements about toll free call center number services Distribution of flyers about the call center 	<ul style="list-style-type: none"> Call records 	All logged calls involved discussion of family planning
Increased number of referrals to services	<ul style="list-style-type: none"> # of people that receive follow up with community consultant # of referrals made # of students that receive SRH information in school 	<ul style="list-style-type: none"> Mapping of services in the communities Call center discussions 	<ul style="list-style-type: none"> Community consultant reports Call counselor reports 	
Project staff trained	<ul style="list-style-type: none"> # of people trained (community consultants and call counselors) 	<ul style="list-style-type: none"> Counselor and community consultant training 	<ul style="list-style-type: none"> Project data 	Training is applied correctly

OBJECTIVES	INDICATORS	PROJECT ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
Call center set up	<ul style="list-style-type: none"> • Launch of the call center 	<ul style="list-style-type: none"> • Set up toll free call center 	<ul style="list-style-type: none"> • Project Data 	
Comprehensive map of available services in each PHC area	<ul style="list-style-type: none"> • # and type of services mapped per PHC • # of people referred to one of the contraceptive outlets (either for free, SM or commercial) 	<ul style="list-style-type: none"> • Community consultant mapping of health services • Provide socially marketed contraceptives through CSMOs 	<ul style="list-style-type: none"> • Health service maps 	

WATERLIFE OUTCOME MAP

OBJECTIVES	INDICATORS	PROJECT ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
Long-term Outcome/Impact				
Decreased incidence of water borne diseases in the project areas	<ul style="list-style-type: none"> • % decrease in water borne diseases reported in assisted communities • % increase in school attendance 	<ul style="list-style-type: none"> • Creating awareness for need to drink clean drinking water • Doctor camps 	<ul style="list-style-type: none"> • Hospital/PHC records • Research studies (to be completed by Waterlife) 	<ul style="list-style-type: none"> • Availability of capital to install community water system • Availability of free land for installation of water purifier system • Appropriate water source available • Awareness activities lead to improved knowledge of clean water
Increased profit	<ul style="list-style-type: none"> • Profit margin 	<ul style="list-style-type: none"> • Creating awareness of water plants • Attracting long-term customers through sales of water jugs and dispensers 	<ul style="list-style-type: none"> • Sales registers 	<ul style="list-style-type: none"> • Water system operations costs don't increase
Short-term Outcomes				
Increased capacity for water plan system operations and maintenance in local communities	<ul style="list-style-type: none"> • Capacity level based on skills • % reduction in errors with the register 	<ul style="list-style-type: none"> • Training sessions by Waterlife • On-the-job training activities 	<ul style="list-style-type: none"> • Training registers • Spot checks of water purification plants • Plant upgrades 	<ul style="list-style-type: none"> • Little to no turnover in water purification plant • Availability of interested and qualified community members to work in

OBJECTIVES	INDICATORS	PROJECT ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
				the purification plant
Increased number of customers	<ul style="list-style-type: none"> • # of families that purchase clean water from water purification plants • # of coupons sold 	<ul style="list-style-type: none"> • Information, Education, and Communication (IEC) activities 	<ul style="list-style-type: none"> • Needs assessment • Sale registers 	<ul style="list-style-type: none"> • Community members can afford to pay for purified water • Coupon purchasers pick up their water
Outputs				
Community members trained on water purification plant operations and maintenance	<ul style="list-style-type: none"> • # of community members trained in plant operations and maintenance 	<ul style="list-style-type: none"> • Training sessions by Waterlife • On-the-job training activities 	<ul style="list-style-type: none"> • Training registers • Payroll forms 	<ul style="list-style-type: none"> • Availability of interested and qualified community members to work in the purification plant
Installation of community water systems	<ul style="list-style-type: none"> • # of plants installed 	<ul style="list-style-type: none"> • Plant installation 	<ul style="list-style-type: none"> • Project data 	<ul style="list-style-type: none"> • Government allows installation of water plants

ZMQ Outcome Map

OBJECTIVES	INDICATORS	PROJECT ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
Long-term Outcome/Impact				
Increased uptake of MCH services	<ul style="list-style-type: none"> • # of MCH registrations and tracking achieved in project area • # of MCH registrations and tracking beyond project area • # of ANCs, and immunizations completed in project area • # of immunizations missed 	<ul style="list-style-type: none"> • MIRA workers training women in project area to use the MIRA channel apps for MCH awareness and registration of eligible women • Registration of eligible women and adolescents in the project area by MIRAs using both offline (hard copy) and online MIRA registers 	<ul style="list-style-type: none"> • Offline and online MIRA registers • MIRA dashboard / MIRA backend analytics • Office records • Project area PHC data 	<ul style="list-style-type: none"> • MIRA shares information from the channel effectively • Community members seek out the services based on information provided by the channel
Short-term Outcomes				
Improved availability of information about MCH needs and services	<ul style="list-style-type: none"> • Score on a KAP survey 	<ul style="list-style-type: none"> • Weekly visits by MIRAs • Compliance checks for toolkit distribution • Providing lists to ASHAs 	MIRA-reported data, mobile application data	<ul style="list-style-type: none"> • Toolkits are being shared in a timely manner • Weekly visits are occurring
Increased use of MIRA channel	<ul style="list-style-type: none"> • # of MIRAs deployed • # of household registered with MIRA channel 	<ul style="list-style-type: none"> • Deployment of MIRAs • Continued follow-up and capacity building of MIRAs • # of weeks a visit is missed 	Mobile application data	
Outputs				

OBJECTIVES	INDICATORS	PROJECT ACTIVITIES (INPUTS)	DATA SOURCES	ASSUMPTIONS
Community members trained in MIRA	<ul style="list-style-type: none"> • # of people trained (disaggregated by type of participant – MIRA, ASHA) 	<ul style="list-style-type: none"> • Training • Develop training curriculum • Continued follow-up with MIRAs 	<ul style="list-style-type: none"> • Project data 	
MIRA Channel developed	<ul style="list-style-type: none"> • # of MIRA toolkits completed • MIRA Channel completed 	<ul style="list-style-type: none"> • App design • Developing MIRA channel • Sample field testing of apps • Development of content and system architecture 	<ul style="list-style-type: none"> • Project data 	

ANNEX V. IMPACT EVALUATION ASSESSMENT AND GUIDANCE

In March 2014, SI was provided a contract modification that would allow for Process Documentation of all nine grantees' programs and processes. Additionally, USAID/India asked the SI team to explore the possibility of designing and implementing a number of baseline studies on a subset of innovations. In April 2014, SI's Senior Technical Advisor and the local Team leader made a preliminary visit to Delhi and Mumbai to begin the process documentation and assess the possibility of undertaking two to three baseline surveys that would allow for impact evaluations (IEs) of the innovations. In order to make this determination, there were several factors that SI needed to examine to understand whether or not an impact evaluation of current grantees is feasible, and if so, how the design of an impact evaluation would be carried out. In this annex, we outline the qualities that we look for in deciding whether or not it is feasible to undertake an impact evaluation of a particular project. We then describe two potential baseline studies that we considered undertaking had additional resources and time been available, and explain the limitations of the two studies. Finally, we make a recommendation on steps USAID/India can take to allow for impact evaluations of future MA grantee projects.

CRITERIA FOR AN IMPACT EVALUATION:

The primary purpose of an IE is two-fold. First, it is to measure changes in particular outcomes over an intervention's period of performance. Second, it allows an evaluator the opportunity to attribute these changes to the intervention being assessed. In other words, under the right conditions, IEs allow us to say whether or not it is a particular intervention that has caused resultant changes in outcomes. This ability to demonstrate causal linkages make IEs a powerful tool in the evaluation toolbox. However, there are very specific criteria that need to be met for an IE to be feasible. This is especially the case in social science research where circumstances are not as constant as they would in a laboratory setting, where medications can be tested for their effectiveness in treating particular diseases.

When examining the MA Grantees for the possibility of undertaking an IE, the team began by assessing one crucial factor: whether or not there is a valid comparison/control group. Without a valid comparison/control group it is not possible to establish causality due the lack of a counterfactual (what would happen to the beneficiaries/project participants in the absence of the intervention). This counterfactual is what distinguishes an IE from a pre-post outcome study. While a pre-post outcome study allows one to examine changes between pre-intervention and post-intervention outcomes and, therefore, allows for the possibility to draw correlations between changes in outcomes and programming, it does not allow us to know if similar changes in outcomes occurred in the general population. For example, if a project was being implemented to increase literacy, and evaluators ran a test to see what individuals' level of literacy was before the project and then after the project, they may find that literacy increased. However, it may be the case that something happened on a broader scale that increased literacy overall for everyone in that particular community, not just for project participants. This would be impossible to determine without making a comparison to individuals in the general population who were similar to those who participated in the program. By adding in a comparison group, the study allows the evaluator to run statistical analyses to estimate the difference in changes in outcomes between those who participated in the program and those who did not.

While it may appear as though the simple solution is to add a comparison group to a pre-post outcome study, this is not always feasible for a variety of reasons. For example, it may be the case that the project is being implemented so broadly, that it is impossible to identify a group of individuals who do not receive some benefit from it. They may decrease the size of the impacts evaluators estimate, or even worse, eliminate them all together. This could lead to a result that would make it look like the project was not having a positive effect, even if it was.

There are two primary ways in which a comparison group is established for an impact evaluation. The first is randomization. In this approach, the project establishes what criteria it will use to select potential participants for the impact evaluation. Then the implementer over-recruits or over-identifies potential participants. The evaluators collect baseline information on the sum total and then randomizes the individuals, communities, or organizations into either a treatment group (those who are receiving or participating in the project) or a control group (those who are not receiving or participating in the project). This is the gold standard for impact evaluation, as it eliminates many of the biases that can occur using other methods for designating treatment and comparison groups.

The second way to establish treatment and comparison groups is through a quasi-experimental approach. In this approach, the evaluators use a variety of methods to match individuals who are receiving or participating in a project to a group of individuals who are not. Each of the MA grantees were assessed to determine if there may be a valid control/comparison group that could be established through quasi-experimental methods in order to assess the impacts of the project on identified outcomes.

In addition to assessing whether or not there was a potential valid counterfactual, the SI team also asked the following questions during its scoping visit:

- Does the project have a well-developed theory of change and clearly identifiable and measurable outcomes?
- Has implementation of the project already begun? If it has begun, is it still feasible to establish a valid baseline?
- Is there extant data from which SI could draw in order to establish a baseline? Or would original data collection need to be undertaken?
- Is there implementer buy-in for the study?
- Is there a sufficient timeline and resources available in order to carry out a baseline?

As is described in our report of the process documentation, during SI's initial scoping trip, it was determined that one of the factors working against many of the grantees was the development of a clear theory of change and clearly identified and measurable outcomes. There were a couple of potential standouts in this regard. U-Respect, Waterlife, ZMQ, Katha I Love Reading, and EI all had fairly strong theories of change that had been established. However, of those, SI could only identify two that had potential for developing or identifying comparison groups: URespect and Waterlife. Because these projects had already begun, randomization was not an option. Therefore, for these two projects, a comparison group would have to be built through some sort of matching process. While challenging, it was determined to be feasible.

It should be noted, however, that there was some concern for spillover in the U-Respect project due to their hotline component, which could compromise the treatment and comparison groups. However, this was addressed through the suggested design that is described below. Furthermore, while there was buy-in from U-Respect for the development of a baseline, there was some hesitation on the part of Waterlife. Despite this hesitation, SI determined that it was still a strong candidate for an IE. While the conditions were not ideal for IEs of these two projects, SI took the identified limitations into account

and developed initial evaluation designs for each, which we describe below. Ultimately, it was determined that there were not sufficient resources nor time available to carry out the baselines. However, SI provides these design options so they may serve as a resource for future designs. Following the description of these designs, their limitations will be discussed and SI will provide guidance on how setting up for potential IEs could be built into the procurement process for selecting MA grantees as well as ideal candidates to partake in an IE.

SAMPLE IE DESIGNS

SAMPLE #1: U-RESPECT

UREPECT PROJECT BACKGROUND

Although India with its world's second largest, 1.2 billion population has the oldest family planning program, its contraceptive prevalence rate (CPR) today is around 56 percent, of which 38 percent are sterilization users, mainly female sterilization (male sterilization is approximately one percent) (NFHS- 3, 2005). Over the last two decades, the GOI has been promoting the use of reversible contraceptives (condoms, oral pills, intra-uterine devices (IUDs)). However, the prevalence of reversible methods is still very low in India (all reversible contraceptives together constitute only about 10 percent of CPR). Couples are still hesitant to talk about contraceptives or purchase a pack of condoms or a strip of oral contraceptive pills, and women still face many barriers to contraceptive access and use.

It was hence decided by U-Respect Foundation to introduce significant innovation to the family planning program, so that couples can retain their confidentiality and yet get complete information (including advantages) about family planning and contraceptives as well as sources of contraceptives and related reproductive health service, without feeling intimidated. It would also enable easy tracking of first time acceptors, switchers between methods, or discontinuers of contraceptives, enabling program planners to effectively tweak their strategy to counsel couples towards a more effective family planning program. The innovation is based on a triangulation methodology—products (contraceptives) in place, services through a toll-free helpline (information), and the use of local health care providers/on-field community consultants for support functions. Mobile phones are increasingly affordable and accessible even among the poorest, and also youth. U-Respect hence believes that mobile technology needs to be leveraged to achieve better healthcare, specifically family planning and reproductive health. Further information on U Respect's project can be found in the main body of the report.

OVERARCHING DESIGN

The goal of U-Respect is to contribute to the reduction of the overall population growth rate of Thane district by increasing the CPR in one block by two to four percent. At the time of SI's scoping trip, U-Respect had implemented the project in two out of nine PHC areas to date, with plans to complete implementation throughout the year.

The baseline study is designed to assess the overall uptake of services and CPR in treatment and comparison communities. Additionally, the study shall document the current knowledge, attitudes, and practices of the target communities (married men and women of reproductive age and unmarried adolescent boys and girls) as well as those in comparison communities. The evidence captured from this

assignment will be used to compare service updates and CPR after the program has run its full term with MA—a total of three years.

The impact evaluation baseline study will aim to answer the following questions:

1. What is the variance in CPR in treatment and comparison groups in the U-Respect project area?
2. What is the general knowledge, attitudes and practices around family planning and contraception use in treatment and comparison groups?
3. What are the drivers of the uptake of services?
4. What are the barriers that prevent individuals or families from using the provided services?

The impact evaluation baseline for the U-Respect project must be designed in such a way that an evaluator may revisit U-Respect at a future time to undertake midline and endline data collection to assess overall impacts of the project on CPR in both treatment and comparison catchment areas. SI recommends undertaking a mixed methods approach to meet the study's objectives and answer the primary research questions. Specifically, SI recommends a quasi-experimental approach that includes both a household level survey as well as qualitative interviews with key stakeholders. Both qualitative and quantitative data collection will occur simultaneously, and help answer the primary research questions outlined the previous section.

IDENTIFICATION OF A TREATMENT AND COMPARISON GROUPS FOR IE

To assess the impact of a particular project on a set of outcomes, there are two important attributes that an IE must have. First, there must be a valid control or comparison group. Second, the sample size must be sufficient to detect an impact with a high degree of confidence. The purest form of an IE is a randomized control trial (RCT), in which groups or individuals are randomly assigned to treatment and control groups once baseline data has been collected, and before the intervention is rolled out. Because treatment has already begun in some of the areas selected by U-Respect, an RCT is not a viable option. Currently, U-Respect aims to rollout services in a total of nine PHC catchment areas. At the time of SI's scoping trip, they had rolled out the intervention in two out of the nine areas. This leaves us with one option—using a quasi-experimental approach to assess project impacts. Given the current implementation plan set by U-Respect, SI has identified two possible approaches to identifying treatment and comparison groups:

Option 1: A comparison of outcomes in half of the PHC identified by U-Respect.

Option 2: A comparison of outcomes of the PHC not included in U-Respect's targeted list.

There are advantages and disadvantages to each of these options, which are outlined in the sections below.

Option 1 has the potential to decrease the needed sample to identify project impacts if similar selection criteria were used by U-Respect to identify the areas, and that the first two PHC areas were not given priority status for a particular reason, other than random selection. Second, to our knowledge, U-Respect has already undertaken a household listing in all nine of the PHC areas which would aid in the construction of a valid sampling frame. The evaluator will still

Evaluation Objectives:

- To assess the current knowledge, attitude, and practice of the target communities and a comparison group on the specified key result areas including the uptake and use of services and increase in family planning over the course of the project
- To understand the perception of the stakeholders (public and private) and project officials regarding the effectiveness and sustainability of the project
- To set a baseline for an evaluation of program impact on CPR in treatment and comparison groups during an endline IE.

need to do some level of post-data collection analysis to better understand the comparability of the groups, but statistical adjustments may be made at the endline to compensate for any differences. While this approach has some important benefits, there are drawbacks. One is that U-Respect would not be able to implement their project in the comparison communities for the duration of the grant life and study. In other words, if the treatment and comparison groups will be split: five (treatment) and four (comparison), that would mean that in the four comparison PHC catchment areas, U-Respect would not be able to implement services until after the completion of the study. The completion of the study will align with the completion of the project, and therefore, those in the comparison communities would not be able to receive services for another three years. An additional challenge is the close proximity of the PHCs to one another. The close proximity increases the risk of spillover or contamination. This is especially true given that individuals from any area of India can call into the toll free number for guidance. If the risk of spillover is very high, then it may be the case that SI will need to introduce an additional treatment arm into the design. This, however, would increase the needed sample size.

Option 2, which will pull its comparison group from PHC catchment areas aside from the nine identified by U-Respect, has the advantage that the communities could be located at such a distance that spillover or contamination is less likely to occur. The degree to which this is possible will depend on the characteristics that U-Respect used to select their communities. Additionally, the second option would eliminate the need to withhold treatment from the PHC areas U-Respect has already selected. While these are two important advantages, there are some potential challenges with this approach as well. First, identifying appropriate comparison groups may be especially difficult given the type of region that U-Respect is targeting. SI recommends that the comparison group come from either the Thane district or a similar district in Maharashtra, to decrease the likelihood that there will be large difference between the two groups. Additionally, operating outside of Maharashtra and/or the Thane District may present challenges, as the evaluation firm will need to gain entry into any location where the project is not occurring. It may be difficult to justify collecting data from individuals and households that may never benefit from U-Respect's services. If a set of communities can be identified, the next objective will be to ensure that through a method, such as propensity score matching, we are comparing like individuals and catchment areas. In order to ensure there is a sufficient number in the comparison group, the sample size must increase substantially, so that all those respondents that are not a match may be removed from the sample.

Ultimately the approach to be taken will be reached in collaboration with USAID, FICCI, and U-Respect.

SAMPLE SIZE FOR SURVEY

To assess the overall impact of the U-Respect project on CPR as well as other outcomes, the evaluation firm will need a design that is sufficient to detect a statistical impact. The standard in most evaluation studies is a minimum of 80 percent. The power of a particular study, and whether or not a study is sufficiently powered, is determined by a number of factors. They include the number of clusters, number of eligible beneficiaries within a cluster, intra-cluster correlation, level of explainable variance, level of statistical significance, and effect size. Many of these items need to be discussed further with U-Respect, USAID, and FICCI. For example, while we know that U-Respect anticipates an increase of two percent in CPR, we do not know the baseline CPR estimates in the regions where they are working. Knowing this will help SI determine the size of the effect the intervention is expected to have. If the expected effect is smaller than .4, with the current number of clusters, SI will have to oversample comparison clusters to reach the needed sample size. If however, the effect size can be expected to be at least .6; there is a greater chance that the study will be sufficiently powered.

In addition to power, other factors must also be taken into consideration when determining the sample size required for this particular study. These factors include the selection criteria used to identify the beneficiary groups, the comparability of the treatment and control groups, the possibility of spillover or contamination, the level at which the findings will be reported, the number of treatment arms, and the possibility that participants will drop out of the study. As such, an accurate estimate cannot be determined at this time. However, sample size is a crucial piece of information to have in order to estimate the cost of the study. Specifically, an enumeration firm needs the following information to accurately estimate the cost of implementing a survey:

- Sample size
- Geographic region of study and distance between respondent
- Length and complexity of the survey
- Data collection method (paper or electronic data collection)
- The amount of time permitted to collect the data

QUALITATIVE SAMPLE

The sampling for the qualitative component of the evaluation will be purposive in nature, and driven by the need to support and help explain some of the quantitative findings. As such, the sample targeted for the qualitative component of the study will be broader than that targeted for the survey. Based on information SI currently has, we recommend the following stakeholder groups participate in key informant interviews:

- Beneficiaries
- Community Health Workers
- ASHAs
- Staff from the PHCs
- U-Respect staff (including those who operate the hotline)
- Government representatives
- Contraceptive providers

SI will request recommendations from U-Respect on the types of stakeholders that should be recommended as well as potential contacts. However, SI will select the final participants to reduce the likelihood of bias.

Given the sensitive nature of the topics being discussed, SI is not recommending focus group discussions, but rather, one-on-one interviews. If and when possible, SI will conduct interviews with individuals that participated in the survey, so that there is alignment between respondents and we are better able to triangulate findings.

INSTRUMENT DEVELOPMENT AND ENUMERATOR TRAINING

Both qualitative and quantitative data collection instruments will need to be developed by the evaluation firm. The survey may ask questions on the following topic areas (additional subject areas may be added depending upon U-Respect's needs):

- Standard demographic information (age, ethnicity and/or caste, gender, caste)
- Use of contraception, type and frequency
- Belief around the use of contraception and family planning
- Use of public health services

- Use of the U-Respect Hotline

The qualitative instruments will include items to assess community need around family planning, traditions and belief around family planning and the use of contraceptives, perceived need of health services related to family planning, and how individuals make decisions around family planning, use of contraception, and health services.

Draft instruments will be completed once a final design has been agreed upon. The instruments will be reviewed by USAID, FICCI, and U-Respect. Once the instruments are finalized they will be translated into the local languages, and a field manual will be prepared as well as a guide for undertaking enumerator training. The local data collection firm will be responsible for recruiting and training local enumerators. Based on current data U-Respect has on participants, the local data collection firm will hire the appropriate ratio of female and male enumerators and select team leaders with the strongest data collection skill sets to oversee data collection teams. The local data collection firm will also be responsible for undertaking data quality assurance checks based on SI guidelines and submit regular progress reports on the data collection process to SI.

DATA COLLECTION

SI recommends that the surveys be collected using tablets or mobile devices so that the data can be spot checked periodically, and the likelihood of error will decrease. This will also reduce the time it takes to enter and clean data. The period of fielding will ultimately be determined by the sample size and resources available. SI estimates that the fielding will take place over a four week period.

For the qualitative data, the interviews will be recorded using a digital device. The interviews will then be transcribed into English for coding and analysis. The collection of qualitative data will occur simultaneously with the fielding of the survey. While this is not ideal, it will reduce the overall data collection period to help accelerate the process.

DATA PREPARATION, ANALYSIS AND REPORTING

Prior to analyzing the data, SI will develop a draft report outline so that analyses can align with specific questions asked in individual chapters. Each chapter will be driven by a topic area, rather than a methodological approach. For example, a single chapter may examine the prevalence of particular types of contraception, and then explore the qualitative data to understand how individuals made the choices they did.

Once the quantitative data comes in, it will be cleaned and prepared for analysis in Stata by the local data collection firm. SI will provide quality assurance by spot checking the data quality, codebook, and the data that has been cleaned prior to analysis. Once the data has been approved, SI will also conduct regular spot checks on the analysis undertaken by the data collection firm. The analysis will be driven by the primary research questions, and the overall design of the report. However, the team should regularly meet to discuss issues as they arise.

For the qualitative data, the data collection firm will develop a codebook based on the research questions and report structure to code the transcripts in a Computer Assisted Qualitative Data Analysis (CAQDAS) such as Atlas.ti, or NVivo. If multiple individuals are undertaking the coding, they should complete inter-rater reliability tests to ensure consistency across the team in the application of codes. Once the data has been coded, it will be analyzed for themes specifically identified in the report outline. The team analyzing the qualitative data should work closely with the team analyzing the quantitative data

so that there is discussion around findings, and the two can help answer questions that come up in their findings.

The analysis will occur alongside the writing of the report. A draft will be completed four weeks following the completion of the data preparation and beginning of analysis. SI will then review the draft before it is sent to USAID and FICCI for their review.

SAMPLE #2: WATERLIFE

WATERLIFE BACKGROUND:

Waterlife India uses green technology and an innovative business model to deliver clean water to remote, low income, rural and urban communities. Their business approach is to bring clean water to these communities by partnering with central and state government agencies and well as NGOs in such a way that the government provides support to build the water purification and treatment systems that meet or exceed World Health Organization standards. Once the government has signed on, Waterlife guarantees that they will maintain and run the operations of the system for ten years once the system has been built. Waterlife trains local staff on the management and maintenance of the system, and hires them to run the station. They do so by charging a small fee, between five and seven INR, for 20 liters of clean water. Wherever feasible, Waterlife also involves and encourages local entrepreneurs to deliver the water within reasonable distance at an extra nominal cost.

While Waterlife has successfully implemented their project in a number of states across India as well as other countries around the world. However, there are several locations where they have identified a need that has not been met, specifically in the states of Jharkhand and Orissa. Up to this point the governments in Jharkhand and Orissa have not provided the needed financial support to build systems in their state. Through the Millennium Alliance, Waterlife has mobilized funding to build systems in each of these states. Their theory of change states that once the governments in each state recognize the benefit of the systems, they will invest in future centers themselves, reaching an even greater population in each of these states.

Waterlife undertook fieldwork to assess the areas of Jharkhand and Orissa to see where implementation would be the most beneficial. They looked at following factors:

- The current level of service for clean and safe drinking water.
- A sufficient number of individuals who are able to pay a nominal fee to purchase water

With the assistance of the Ranchi Municipal Corporation (RMC), Waterlife has identified 12 locations that meet these criteria. Their MA award is supporting the construction of 11 plants in Jharkhand.

OVERARCHING DESIGN

The baseline study (which is not intended to be an impact evaluation baseline) is designed to measure buy-in of the project both at the community and government levels.

The baseline study will aim to answer the following questions:

- I. What percentage of households visited are using Waterlife's services? And what are their demographic characteristics?

2. What led beneficiaries to make the decision to use Waterlife’s services?
3. Are government-level stakeholders “buying” into the services offered by Waterlife? What type of support are they providing Waterlife?
4. Have government-level stakeholders committed to the development of future Waterlife treatment plants?

Because the Waterlife intervention rollout is nearing completion, and because of the substantial challenges that may be encountered identifying valid comparison groups, SI recommends a baseline study that will allow for the establishment of baseline measures, but does not include a control or comparison group, and therefore, is not an impact evaluation baseline. Instead, SI recommends a mixed methods baseline that assess the uptake of services, the decision-making process around uptake, as well as community and government level buy-in of the Waterlife program and commitment to further development and sustainability of the project.

Study Objectives:

- To assess baseline uptake of Waterlife’s services at the community level, and why or why not they are using services
- To assess knowledge and buy-in at the community level of Waterlife’s services
- To assess the buy-in of government level stakeholders, as well as their commitment to future installations.

The primary objective of the quantitative component of the study will be to assess the prevalence of uptake of services in a subset of catchment areas (4 out of 12 catchment areas). These catchment areas were defined by Waterlife, however, the selection of areas to be included in the study will be undertaken by SI in collaboration with the data collection firm and USAID and FICCI. A survey will be administered at the household level that will inquire about their primary source of water, secondary water sources, frequency of collection, method of collection, method of storage, uses, water related expenditures, as well as reported water-borne illnesses. Once the survey has been completed a small number of individuals will be asked to participate in an additional interview to gain a more robust understanding of their decision-making process regarding the collection and use of water, as well as their perceptions of the Waterlife plants.

Waterlife’s primary hypothesis is that if they build a small number of plants in States that have been unwilling or unable to fund the construction of Waterlife treatment plants, then government level stakeholder buy-in will increase as they see the benefits of the facility. As such, an additional crucial component of the study will be the assessment of government-level buy in. At the baseline, it is anticipated that the buy-in will be fairly low. However, conducting a baseline study will allow Waterlife, USAID, and FICCI to see if buy-in does, in fact, increase over time as their hypothesis suggests. Therefore, to supplement the research described above, SI recommends a qualitative component that examines government-level buy as reported by government representatives, as well as perceived buy-in by other key stakeholders, including plant operators.

SAMPLE SELECTION

Survey Sample:

For the survey, SI recommends taking a representative sample of households in the Waterlife treatment plant catchment areas, as defined by Waterlife (in the ward and near the ward), in 4 out of the 12 total locations where implementation is occurring. In their documentation, Waterlife provides a list of potential sites where implementation was set to occur (see Table I below).

Table 1: Waterlife Catchment Areas

Site Address	Households in Ward & Nearby Wards	Total time to collect water	Avg. medical expend due to WBD last year
Ward No-47, South Office Para, Near Loreto School, Ranchi, Jharkhand	4201+2750=6951	1.3 hrs.	4000-5000/year
Ward No-31, Madhukam, Near Khad Ghara Sabji Market, Ranchi, Jharkhand	7122+4250=11312	1.45 hrs.	4500-6000/year
Ward No-34, Naya Tolli, Pandra, Near Vivek Bharati Public School, Ranchi, Jharkhand	5267+3000=8267	2.00 hrs.	6000/year
Ward No-51, Doranda Bazar Maholla, Doranda, Near Nagar Nigam School (Closed), Ranchi, Jharkhand	1345+3500=4845	1.15 hrs.	4000/year
Ward No-20, Lalpur, Circular Road, Patel Bhaban, Ranchi, Jharkhand	2700+2800=5500	1.45 hrs.	4000/year
Ward No-9, Kokar, Ranchi, Jharkhand	2857+5000=7857	2.0 hrs.	5000/year
Ward No-5, Booty Chawk, Near Sani Mandir, Ranchi, Jharkhand	3591+4500=8091	1.3 hrs.	4000-5000/year
Ward No-24, Upper Bazar, Agharsen/Maheshawari Bhaban, Ranchi, Jharkhand	2466+3000=5466	1.45 hrs.	3500-4500/year
Ward No-45, Hinoo Chawk, Near Siv Mandir, Ranchi, Jharkhand	4718+3000=7718	1.3	5000/year
Ward No-44, HEC Campus, Near Bus Stand, Ranchi, Jharkhand	4140	1.45	4000/year
Ward No-1, Kanke, Near Durga Mandir, Ranchi, Jharkhand	2008+3000=5008	1.3-2.0 hrs.	4000/year
Ward No-30, Harmu Road, Near Marwari Bhaban, Ranchi Jharkhand	4316+3500=7816	1.45	4500/year

The ultimate sample size in each of the catchment area will be determined by two factors. First, should the sample be generalizable to the entire catchment area? Or, second, should the sample be generalizable to the ward and then generalizable to the nearby wards? The former will require an overall smaller sample size to be representative. For example, in Ward #34 (the second listed in the table), there are a total of 11,312 households when combined with nearby wards. To achieve a representative sample of households in the two combined areas-Ward #34 and surrounding areas-a total sample of 372 completed household surveys are needed to achieve a 95% confidence level with a margin of error of

plus or minus five. However, if the reporting will occur separately by area -Ward #34 and then the other wards-a sample of 365 completed household surveys must be completed in Ward #34 and a subsequent 352 in the other surrounding wards. The advantage of this approach, despite the larger sample size and increase in cost, is that it will allow us to report variance in households within the ward and those that are located further away. Once a preference has been decided by USAID and FICCI, SI will be able to more accurately assess the cost of survey administration.

Qualitative Sample:

As described above, there are two sets of qualitative data that will be collected. The first set of data will be collected at the household level alongside the quantitative data collection. A qualitative interviewer will either accompany the household survey enumerators or follow up with households previously visited by the enumerators who agree to a follow-up interview. The sample will equally represent those who are using Waterlife services and those who are not. Additionally, it will include an equal number of households in the targeted ward, and those in the surrounding areas that are part of Waterlife's defined catchment areas. Ideally, the data collection team would conduct a total of forty interviews in two of the four catchment areas identified for the household survey.

The sample construction for key informant interviews pertaining to community and government level buy-in and project sustainability will be purposive in nature. SI will work with Waterlife to identify key government representatives who play a role in the decision-making process related to the construction and implementation of water treatment facilities in Jharkhand. Ideally, SI would interview both state level and local level government representatives. Additionally, SI staff will interview individuals from the Waterlife water treatment plants, as well as individuals from the business community that rely on clean water as a part of their business. The sample will likely include 3 state level government officials, 2 local government officials, 2 plant operators at each of the 4 sites participating in the evaluation and 5 local business representatives.

INSTRUMENT DEVELOPMENT AND ENUMERATOR TRAINING

Both qualitative and quantitative data collection instruments will need to be developed by the evaluation firm. The survey may ask questions on the following topic areas:

- Standard demographic information (age, ethnicity and/or caste, gender, caste)
- Primary and secondary water sources
- frequency of collection
- method of collection
- method of storage
- uses
- water related expenditures
- reported water borne illnesses

As described above, there will be two sets of qualitative instruments. The first set will be designed as follow-on's to the household survey, and ask questions related to the decision-making processes around the purchase, storage, and use of water. The second set of instruments will be designed for interviews with key stakeholders to assess both community and government level buy-in of the Waterlife program.

Draft instruments will be completed once a final design has been agreed upon. The instruments will be reviewed by USAID, FICCI as well as Waterlife. Once the instruments are finalized they will be translated into the local languages, and a field manual will be prepared as well as a guide for undertaking

enumerator training. The local data collection firm will be responsible for recruiting and training local enumerators. Based on current data Waterlife has on participants, the local data collection firm will hire the appropriate ratio of female and male enumerators and select team leaders with the strongest data collection skill sets to oversee data collection teams. The local data collection firm will also be responsible for undertaking data quality assurance checks based on SI guidelines, and submit regular progress reports on the data collection process to SI.

DATA COLLECTION

SI recommends that the surveys be collected using tablets or mobile devices so that the data can be spot checked periodically, and the likelihood of error will decrease. This will also reduce the time it takes to enter and clean data. The period of fielding will ultimately be determined by the sample size and resources available. Though, SI estimates that the fielding will take place over a four week period.

For the qualitative data, the interviews will be recorded using a digital device. The interviews will then be transcribed into English for coding and analysis. The collection of qualitative data will occur simultaneously with the fielding of the survey. While this is not ideal, it will reduce the overall data collection period to help accelerate the process.

DATA PREPARATION, ANALYSIS AND REPORTING

Prior to analyzing the data, SI will develop a draft report outline so that analyses can align with specific questions asked in individual chapters. Each chapter will be driven by a topic area, rather than a methodological approach.

Once the quantitative data comes in, it will be cleaned and prepared for analysis in Stata by the local data collection firm. SI will provide quality assurance by spot-checking the data quality, codebook, and the data that has been cleaned prior to analysis. Once the data has been approved, SI will also conduct regular spot checks on the analysis undertaken by the data collection firm. The analysis will be driven by the primary research questions, and the overall design of the report. However, the team should regularly meet in order to discuss issues as they arise.

For the qualitative data, the data collection firm will develop a codebook based on the research questions and report structure to code the transcripts in a CAQDAS such as Atlas.ti, or NVivo. If multiple individuals are undertaking the coding, they should complete inter-rater reliability tests to ensure consistency across the team in the application of codes. Once the data has been coded, it will be analyzed for themes specifically identified in the report outline. The team analyzing the qualitative data should work closely with the team analyzing the quantitative data so that there is discussion around findings and the two can help answer questions that come up in their findings.

The analysis will occur alongside the writing of the report. A draft will be completed four weeks following the completion of the data preparation and beginning of analysis. SI will then review the draft before it is sent to USAID and FICCI for their review.

OVERVIEW AND LIMITATIONS OF EVALUATION APPROACHES

U-RESPECT

OVERARCHING DESIGN	SI recommends undertaking a mixed methods approach to meet the study's objectives and answer the primary research questions. Specifically, SI recommends a quasi-experimental approach that includes both a household level survey, as well as qualitative interviews with key stakeholders. Both qualitative and quantitative data collection will occur simultaneously and help answer the primary research questions outlined the previous section.
IDENTIFICATION OF TREATMENT AND COMPARISON GROUPS FOR IE	<p>Because treatment has already begun in some of the selected areas, a RCT is not a viable option. As such, utilization of a quasi-experimental approach to assess project impact is the most viable option.</p> <p>Given the current implementation plan set by U-Respect, SI has identified two possible approaches to identifying treatment and comparison groups:</p> <ul style="list-style-type: none"> • Option 1: A comparison of outcomes in half of the PHCs identified by U-Respect. • Option 2: A comparison of outcomes of the PHCs not included in U-Respect's targeted list.
SAMPLE SIZE FOR SURVEY	<p>In order to assess the overall impact of the U-Respect project on CPR as well as other outcomes, the evaluation firm will need a design that is sufficient to detect a statistical impact. The standard in most evaluation studies is a minimum of 80 percent. The power of a particular study, and whether or not a study is sufficiently powered, is determined by a number of factors including the number of clusters, number of eligible beneficiaries within a cluster, intra-cluster correlation, etc.</p> <p>In addition to power, other factors must also be taken into consideration when determining the sample size required for this particular study. These factors include the selection criteria used to identify the beneficiary groups, the comparability of the treatment and control groups, the possibility of spillover or contamination, the level at which the findings will be reported, the number of treatment arms, and the possibility that participants will drop out of the study.</p>
QUALITATIVE SAMPLE	<p>The sampling for the qualitative component of the evaluation will be purposive in nature, and driven by the need to support and help explain some of the quantitative findings.</p> <p>Based on information SI currently has, we recommend the following stakeholder groups participate in key informant interviews:</p> <ul style="list-style-type: none"> • Beneficiaries • Community Health Workers • Accredited Social Health Activists (ASHAs) • Staff from the PHCs • U-Respect staff (including those who operate the hotline) • Government representatives • Contraceptive providers <p>Given the sensitive nature of the topics being discussed, SI is not recommending focus group discussions, but rather, one-on-one interviews.</p>
INSTRUMENT DEVELOPMENT AND ENUMERATOR TRAINING	<p>Both qualitative and quantitative data collection instruments will need to be developed by the evaluation firm. The survey may ask questions on standard demographic information; use of contraception, type and frequency; belief around the use of contraception and family planning; use of public health services; and use of the U-Respect Hotline.</p> <p>The qualitative instruments will include items to assess community need around family planning, traditions and beliefs around family planning and the use of contraceptives, perceived need of health services related to family planning, and how individuals make decisions around family planning, use of contraception, and health services.</p>
DATA COLLECTION	SI recommends that the surveys be collected using tablets or mobile devices so that the data can be spot checked periodically, and the likelihood of error will decrease. For the qualitative

	data, the interviews will be recorded using a digital device. The interviews will then be transcribed into English for coding and analysis.
DATA PREPARATION, ANALYSIS, AND REPORTING	<p>Prior to analyzing the data, SI will develop a draft report outline so that analyses can align with specific questions asked in individual chapters. Each chapter will be driven by a topic area, rather than a methodological approach. Once the quantitative data comes in, it will be cleaned and prepared for analysis in Stata by the local data collection firm. SI will provide quality assurance by spot-checking the data quality, codebook, and the data that has been cleaned prior to analysis.</p> <p>For the qualitative data, the data collection firm will develop a codebook based on the research questions and report structure to code the transcripts in a CAQDAS such as Atlas.ti, or NVivo. If multiple individuals are undertaking the coding, they should complete inter-rater reliability tests to ensure consistency across the team in the application of codes. Once the data has been coded, it will be analyzed for themes specifically identified in the report outline</p>
LIMITATIONS	<ul style="list-style-type: none"> • Challenges maintaining a pure comparison group, high likelihood of spillover • Implementation already started • Difficulties accessing extant data • Difficult to reach locations for data collection

WATERLIFE INDIA

OVERARCHING DESIGN	<p>SI recommends a mixed methods baseline that assess the uptake of services, the decision-making process around uptake, as well as community and government level buy-in of the Waterlife program and commitment to further development and sustainability of the project.</p> <p>The primary objective of the quantitative component of the study will be to assess the prevalence of uptake of services in a subset of catchment areas (four out of 12 catchment areas). These catchment areas were defined by Waterlife, however, the selection of areas to be included in the study will be undertaken by SI in collaboration with the data collection firm and USAID and FICCI.</p>
SAMPLE SELECTION	For the survey, SI recommends taking a representative sample of households in the Waterlife treatment plant catchment areas, as defined by Waterlife (in the ward and near the ward), in four out of the 12 total locations where implementation is occurring. These catchment areas were defined by Waterlife, however, the selection of areas to be included in the study will be undertaken by SI in collaboration with the data collection firm and USAID and FICCI.
INSTRUMENT DEVELOPMENT AND ENUMERATOR TRAINING	<p>Both qualitative and quantitative data collection instruments will need to be developed by the evaluation firm. A survey will be administered at the household level that will inquire about their primary source of water, secondary water sources, frequency of collection, method of collection, method of storage, uses, water related expenditures as well as reported water borne illnesses.</p> <p>Once the instruments are finalized they will be translated into the local languages, and a field manual will be prepared as well as a guide for undertaking enumerator training. The local data collection firm will be responsible for recruiting and training local enumerators.</p>
DATA COLLECTION	SI recommends that the surveys be collected using tablets or mobile devices so that the data can be spot checked periodically, and the likelihood of error will decrease. For the qualitative data, the interviews will be recorded using a digital device.
DATA PREPARATION, ANALYSIS, AND REPORTING	<p>Once the quantitative data comes in, it will be cleaned and prepared for analysis in Stata by the local data collection firm. SI will provide quality assurance by spot checking the data quality, codebook, and the data that has been cleaned prior to analysis.</p> <p>For the qualitative data, the data collection firm will develop a codebook based on the research questions and report structure to code the transcripts in a CAQDAS such as Atlas.ti, or NVivo.</p>

	Once the data has been coded, it will be analyzed for themes specifically identified in the report outline.
LIMITATIONS	<ul style="list-style-type: none"> • Low levels of implementer buy-in • Challenging counterfactual, high probability of spillover • Unable to link to health outcomes, only to uptake of services

GUIDANCE FOR FUTURE IMPACT EVALUATIONS

While ultimately it was not feasible to undertake baselines for the MA projects identified above, assessing the feasibility of such studies helped the evaluation team identify ways in which USAID/India and FICCI may make slight modifications in their approach that would increase the opportunities for undertaking IEs. In the section below we provide recommendations for actions that may be taken to increase opportunities for impact evaluations.

In a best-case scenario, the conditions for a high quality impact evaluation include the following:

- Clearly articulated program that builds on proven models in one way or another
- Well defined logic model and theory of change that identify both inputs and the pathways to short term and long term outcomes
- Articulates key indicators for those outcomes that are measurable
- The availability of a valid and accessible control/comparison group, and when possible, the opportunity to randomly select individuals, areas, or organizations for participation in the project or to serve as a control
- The opportunity to undertake baseline data collection prior to project implementation as well as the opportunity to work with implementing partners to clarify evaluation objectives and hone the design
- A sufficient amount of time for the project to develop before an endline is taken so that the chances that statistically significant impacts are identifiable
- Sufficient program units (e.g. villages, farmers, local government units) to report findings with a high level of confidence
- A grantee with a high level of interest and buy-in to the evaluation process who has a willingness to work with the evaluation team to ensure a high quality evaluation
- Sufficient resources, including time, money, and program support to allow for a high quality evaluation

In evaluation, there is rarely a situation in which all of these conditions are met. Therefore conditions that are in place must be assessed to determine if an evaluation is not only desirable, but also feasible. There are also things that can be done even prior to soliciting proposals for projects or programs to increase their evaluability. Understanding the structure of the MA project, SI has several recommendations for USAID/India and FICCI as current and future grantees are assessed for their appropriateness for impact evaluation.

Recommendation I: Workshop on the development of a logic model and identification of intermediate versus long term outcomes

As was learned through the process documentation of the first nine grantees, a number of grantees are

likely to be new to the experience of developing logic models and theories of change that demonstrate the linkages to particular inputs and short-term and long-term outcomes (both financial and developmental). However, a clear logic model and theory of change are crucial to the development of a strong IE. As such, SI recommends that USAID/India and FICCI consider holding a workshop for applicants on the structuring of a logic model and theory of change as well as the identification of long and short-term outcomes. While it is not feasible to go through the entire process mapping that was undertaken with current MA grantees, it is feasible to undertake a half day workshop that provides guidance on this key component. Taking this step will inherently improve the project designs submitted for funding and, additionally, will increase their evaluability.

Recommendation 2: For new grantees, allow for a planning period after award for the grantee to work with evaluation experts to prepare a design

For the strongest candidates that have been selected for funding and participation in the MA, SI recommends that USAID/India and FICCI set aside time for a planning period. During this planning period two things could occur. First, the grantees can work with USAID/India and FICCI to further hone their logic models and theories of change, and take the next step to identify indicators that will provide evidence of improved outcomes. While this occurs, an external evaluator can also work with USAID/India, FICCI, and the grantees to determine if there is a component of their project that may be suitable for an impact evaluation. In the case of a complex project design the funders, implementers, and evaluators may opt to evaluate a single or a couple of the elements of the project design through an impact evaluation.

Recommendation 3: Consider allowing for the development of additional project features or geographic locations to be added that can be tested through IEs for current grantees

Given that a number of grantees will be working with previously untested models and designs, SI also recommends that the projects start on smaller scale, and undergo formative evaluation to help hone the project design. If the grantees have already piloted a project and undergone previous formative and/or performance evaluations that show their project has promise for improving particular outcomes, then the project may be expanded and tested through an impact evaluation. Recognizing that IEs often require a more substantial investment of resources than formative or performance evaluations, this allows innovations to be honed before it is scaled and before it is evaluated using a more rigorous method. This simultaneously honors USAID's objective of undertaking IEs for innovations, but does so once the new project, program, activity, or product has been tweaked to maximize its effects. Conducting IEs when an innovative project is expanding or adding a new component after meeting with preliminary successes increases the likelihood for successful design and implementation of the evaluation.

An alternative approach would be to undertake an impact evaluation of the MA project more holistically. MA is operating under the theory that providing small grants to innovators can be both financially self-sustaining while simultaneously producing positive development outcomes. This would warrant a much more complex IE design, but is an approach that is being undertaken on a broad scale and may meet the criteria needed for an evaluation.

Recommendation 4: Set aside funds to have an external evaluator undertake baseline data collection for program participants

As was described earlier, one of the most challenging factors in designing an IE is the identification of a valid counterfactual. This is especially true when a study has numerous components, a large number of outcomes it is attempting to impact, and operates over a large geographic region. While the identification of a valid counterfactual is necessary for attribution of impacts to a particular project or project feature, by examining outcomes prior to the implementation of the project or project feature and then after,

USAID/India and FICCI will at a minimum be able to correlate particular changes in outcomes with the implementation of a project or project component. Therefore, SI recommends that baseline data collection is undertaken for designs that are particularly innovative and lack research to substantiate the initial logic model and theory of change.

Gathering this data serves several purposes. First, it provides for the opportunity to undertake a pre-post outcome study, which can provide preliminary evidence of a project's success. The changes in outcomes identified in a pre-post study can help guide a more rigorous impact evaluation if the project is expanded or adds additional components. Also, depending on the design of the project, if a baseline study is undertaken, it may be feasible to try to reconstruct a baseline for a comparison group. While not ideal, this does provide for an opportunity to assess impacts at a later stage.

Recommendation 5: Select projects for IEs that have a longer term lifespan

As described above, it is necessary when undertaking an IE that a sufficient period of time is allotted between the baseline and endline for changes in outcomes not only to materialize, but also to be measured. The smaller the changes is, the larger the sample that is needed to detect that change. The type of project will determine how long it will take to see changes in outcomes. In some projects this may occur immediately, but some changes take longer to materialize. By selecting projects with a longer lifespan (between 3 to 5 years) the likelihood that one may see changes in outcomes increases. Therefore, as USAID/India and FICCI work to identify projects that could be potential candidates for an impact evaluation, the proposed duration is something that should be taken into consideration.

ANNEX VI: GLOSSARY OF TERMS

Actuals: Indicator data that is actually collected, verified, reported, and achieved (as opposed to data that is planned or projected, such as a target).

Analysis: Detailed examination of the elements or structure of something, typically as a basis for discussion or interpretation.

Baseline: Measurements taken prior to or at the onset of an intervention. Also referred to as a “performance baseline.”

Context Indicators: Context indicators measure conditions relevant to the performance of projects and programs, such as macro-economic, social, or political conditions, critical assumptions, and the assumptions column of project LogFrames (outcome maps). Context indicators do not directly measure the results of project activities, but rather the factors that are beyond the management control of the project.

Critical Assumption: A general condition under which the Development Hypothesis, or strategy for achieving a development objective, will hold true. Critical assumptions reflect conditions that are likely to affect the implementation of the project strategy or project logical framework (e.g. political stability, commodity prices, macroeconomic conditions) but are outside of the control or influence of the implementing organization.

Custom Indicators: Any indicators reported in the project monitoring and evaluation plan that are not predefined by the donor organization.

Development Hypothesis: A Development Hypothesis describes the theory of change, logic, and causal relationships between the building blocks needed to achieve a long-term result. The Development Hypothesis is based on development theory, practice, literature, and experience, is country-specific, and explains why and how the proposed investments from donors collectively lead to achieving the Development Objectives (DOs) and ultimately the high level Development Goal. It is a short narrative that explains the relationships between each layer of results upwards from the outputs, short-term outcomes, and long-term outcomes, often through if-then statements that reference the evidence that supports the causal linkages.

Evaluation: Evaluation is the systematic collection and analysis of information about the characteristics and outcomes of programs and projects as a basis for judgments to improve effectiveness, and/or inform decisions about current and future programming. Evaluation is distinct from assessment, which may be designed to examine country or sector context to inform project design, or an informal review of projects. Evaluation provides an opportunity to consider both planned and unplanned results and to reexamine the Development Hypothesis of the development objective (as well as its underlying assumptions) and to make recommendations toward adjustments based on new evidence.

Evidence: Factual basis for programmatic and strategic decision-making in the program cycle. Evidence can be derived from assessments, analyses, performance monitoring and evaluations. It can be sourced from within the implementing organization or externally and should result from systematic and analytic methodologies or from observations that are shared and analyzed.

Impact Evaluation: Evaluations based on models of cause and effect and which require a credible and rigorously defined counterfactual to control for factors other than the intervention that might account for the observed change. Impact evaluations measure the change in a development outcome that is attributable to a defined intervention.

Input: What is needed to do the work (time, funding, partners, equipment, people, grants, sub-contracts, etc.). Inputs are used to create outputs.

Logical Framework (LogFrame): A rigorous methodology used for project design that focuses on the causal linkages between project inputs, outputs, and desired outcome (or purpose). When completed, LogFrame components will be detailed enough to provide specific and clear information for preparing project authorization documentation.

Manageable Interest: When the implementing organization has reason to believe that its ability to influence, organize, and support others around commonly shared goals can lead to the achievement of desired results, and that the probability of success is high enough to warrant expending program and staff resources.

Managing for Results: The systematic process of monitoring the achievements of program activities; collecting and analyzing performance information to track progress towards planned results; using performance information and evaluations to influence decision-making and resource allocation; and communicating results to advance organizational learning and communicate results to stakeholders.

Milestone Indicator: An indicator that measures progress towards a desired outcome by dividing the progress into a series of defined steps. The simplest form of a milestone indicator is a binary indicator that identifies whether a particular discrete result has or has not been achieved.

Organizational Capacity Assessment (OCA): Facilitated self-assessment by partners that may involve different raters on repeat applications. Purpose is primarily the identification of partner capacity development priorities, rather than to serve as an objective, reliable monitoring tool.

Outcome: The conditions affecting people, systems, or institutions that indicate progress or lack of progress toward achievement of project/program goals. Outcomes are any results higher than an output to which a given project output contributes to but for which the project is not solely responsible. Outcomes may be intermediate or end outcomes, short term or long term, intended or unintended, positive or negative, direct or indirect. Short term outcomes may involve changes in knowledge, skills, attitudes, motivation, and/or awareness. Long term outcomes may include changes in behavior, practices, policies, procedures, and management.

Output: What is done (workshops, training, technical assistance, application, etc.) and who is reached (participants, beneficiaries, firms, etc.). Outputs are produced as a direct result of inputs. They are tangible, immediate, and intended products or consequences of an activity within the project's control or influence.

Performance Evaluation: Performance evaluations represent a broad range of evaluation methods. They often incorporate before-after comparisons, but generally lack a rigorously defined counterfactual. Performance evaluations focus on what a particular project or program has achieved (either at an intermediate point in execution or at the conclusion of an implementation period); how was implemented; how it was perceived and valued; whether expected results occurred; and other questions that are pertinent to project design, management and operational decision-making.

Performance Indicator: Performance indicators measure a particular characteristic or dimension of strategy, program, project, or activity level results based on a project's logical framework (LogFrame). Performance indicators are the basis for observing progress and measuring actual results compared to expected results. Performance indicators help answer the extent to which the project is progressing towards its objective(s), but alone cannot tell the manager why such progress is or is not being made.

Performance Management: Performance management is the systematic process of planning, collecting, analyzing and using performance monitoring data and evaluations to track progress, influence decision-making, and improve results. Performance management is one aspect of the larger process of continuous learning and adaptive management.

Performance Target: Specific, planned level of result to be achieved within an explicit timeframe with a defined level of resources. Good targets contain, at a minimum, quantity, quality, and time and, in many cases, also location and target beneficiaries.

Proxy Indicators (or "Indirect Indicators"): Indicators that are used when direct measures are not feasible, such as if data are difficult to monitor, collect, or report (e.g. household expenditures as a proxy for household income; percentage of births attended by trained health providers as a proxy for infant mortality rates).

Primary Data: Information collected or obtained via direct first-hand experience.

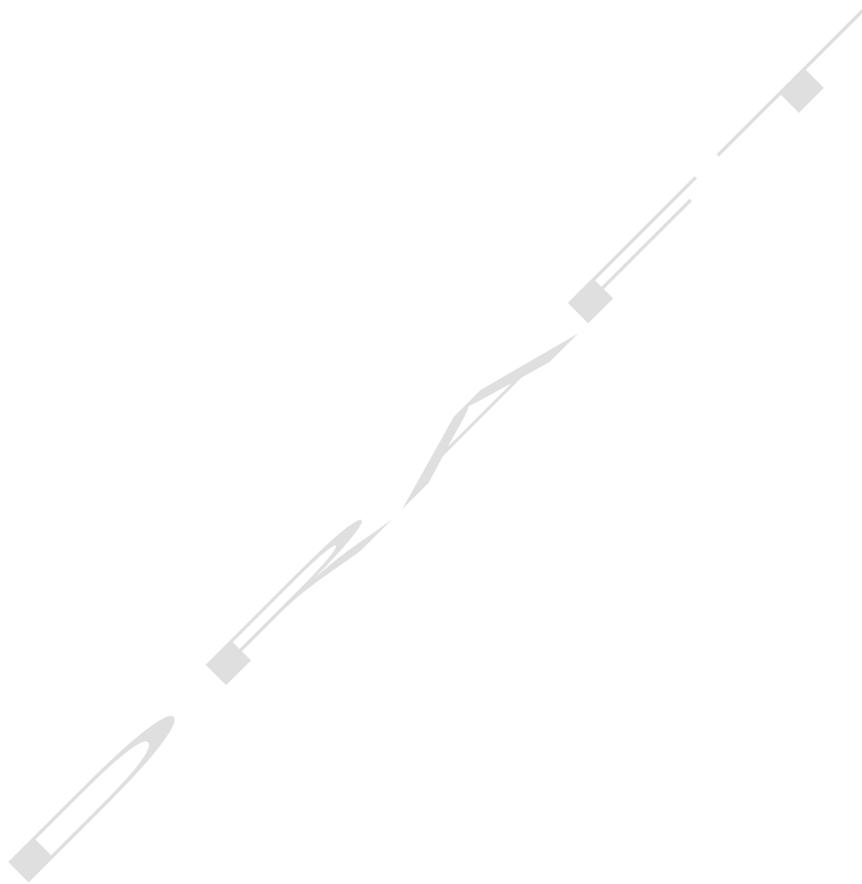
Qualitative Data: Information that describes attributes, properties, or qualities and are often expressed in words rather than numerically.

Quantitative Data: Information that can be measured or expressed numerically, typically describing amounts, range, or quantities.

Rating Scale Indicator: A measurement device that quantifies a range of subjective responses on a single issue or single dimension of an issue.

Risk Factor: A condition that could negatively influence program outcomes.

Secondary Data: Information gleaned from third-party sources.



ANNEX VII: REPORTING TEMPLATE FOR MA GRANTEES

PROGRESS REPORT FOR QUARTER __X__, FY XXXX

Project Name:

Fundee/Grant Recipient:

Period of Performance: [months or years]

Prepared by: [who prepared the report, include contact email]

I. SUMMARY (1 PAGE MAX)

Provide a stand-alone summary of the report.

A. State the goal and specific objectives of the program

[Highlight the main activities and results (using bullets, if desired) during the reporting period this quarter, don't go into detail, details are included under the results and activities sections of this report below.]

Example: *This quarter project X made great progress towards [insert main goal of the project here]. To this end, project X specifically focused on activities related towards [result 1 and result 2 stated here- or whichever results you have made progress towards in the given quarter, note it does not need to be all of them as some will be attained before others]. Activities which contributed to result 1 included [insert just the description, 5 trainings, 2 workshops and 3 town halls]*

B. Progress to Date: [Highlight any milestones that have been achieved, and describe any departures from the work plan]

Example: *This quarter, we met the following milestones:*

- A. *Milestone A:*
- B. *Milestone B:*

According to the work plan, we intended to achieve Milestone C by this quarter; however, due to X, Y, Z factors, the accompanying activities have been delayed.

C. Activities: [Summarize the activities that will take place during the next quarter]

Example: *Next quarter we will continue to make progress towards [which results] in addition we will also begin activities related to Result Y (or we will complete all activities under sub result A and begin activities towards achieving B result). As such next quarter we will [conduct X number of additional trainings of women on starting their own handicraft business, we will also conduct X and Y activities.]*

II. RESULTS/ACCOMPLISHMENTS AND ACTIVITIES (3-5 pages)

Restate the objectives of the program and bullet or describe the results achieved (outcomes) and accomplishments [outputs] during the reporting period under each result.

Include a thoughtful analysis of what the activities accomplished or how they contributed toward progress toward this result. Did they build awareness, foster relationships, serve as a conduit for application of knowledge or behavioral change built obtained or nurtured in previous reporting periods/implementation cycle, etc.? What were the relevant activities and meetings used as a means to accomplish this result? Under each result describe the major program activities conducted during the reporting period as they relate to the corresponding desired results.

Description should be able to answer the question “to what end?” A project is not a series of individual workshops or meetings, but is composed of specific interventions that help advance toward a result under a given objective. Those interventions (or activities) should be meaningful and lead to specific outcomes and ultimately results.

- A. Result 1** [results are what happens as a result of an intervention, i.e., the progress toward the change – or the change – the project achieved. State the result and include one or two sentences of progress made toward this result.]

Example of Result: This quarter we made progress towards [state which results, A, B, or C....] i.e. increasing awareness of contraceptive options among the village population.

- i. **Accomplishment 1 under Result 1** [accomplishments are deliverables or outputs of an activity, which may also be performance indicators. Include a brief paragraph under each result heading to describe the progress made toward the listed result in the given reporting period.]

Example of Accomplishment: In Quarter 2, X people called the family planning hotline, and Y% inquired about contraceptive options. In follow up calls or visits by community consultants, the recipients of this information expressed that this information was helpful and Z% stated that they had shared this information with friends or family. According to anecdotal data we have collected from people living in the village, the hotline makes family planning information more accessible, and the information we provide has increased awareness of contraceptive options. We assume that increased awareness will lead to increased use of modern methods, and will measure the increase in use through a survey conducted at baseline and endline.

B. Result 2

- ii. **Accomplishment 1...**
iii. **Accomplishment 2...**

III. SUCCESS STORIES AND LESSONS LEARNED (1-2 PAGES)

A. Success Stories

[Describe any success stories] (one or 2 paragraphs)

B. Lessons Learned

[Describe any lessons learned, problems/difficulties encountered, or reasons why established goals were not met, and, if appropriate, how challenges or problems will be overcome and how lessons learned will be incorporated into program during the next reporting period.] (one or two paragraphs)

This narrative should focus on challenges or lessons learned overall, not as related to specific activities.

Example: do not include a narrative such as the following: “It rained, so we had to cancel activity X,” but rather, “In order to ensure optimal participation, we learned that in country X/ context Y, it is imperative to plan ABC type of activities at Time Y.” Then explain why, e.g., because women cannot attend activities planned in the evening due to cultural norms, or key politicians will not participate due to some sort of stigma/tensions/perceptions and the event therefore needs to be more or less low key to increase the chances of their presence.

IV. FUTURE ACTIVITIES (delete for final reports)

Briefly describe or bullet future major activities to be conducted during the next reporting period. Please also describe any potential risks or challenges that will prevent you from accomplishing the activities below, and suggest possible risk mitigation strategies and ways that FICCI can offer assistance.

A. Future Activities towards Result A include:

- Abcd
- Efg
- Hij

B. Future Activities towards result B include:

V. FINANCIAL SUMMARY

Include a table of accrual that shows funds that have been utilized during the quarter and the balance. Annex any supporting documentation

Funding and Utilization Table

	Funds Spent	Funds Remaining
Quarter 1	A	B (%)
Quarter 2	C	D = B-C (%)
Quarter 3	E	F = D-E (%)
Quarter 4	G	H = F-G (%)

VI. M&E REPORTING

Provide target and achievement data on the list of suggested standard indicators below. Not all indicators will be applicable to every grantee. The FICCI innovation manager will be able to provide guidance on which indicators you should report on.

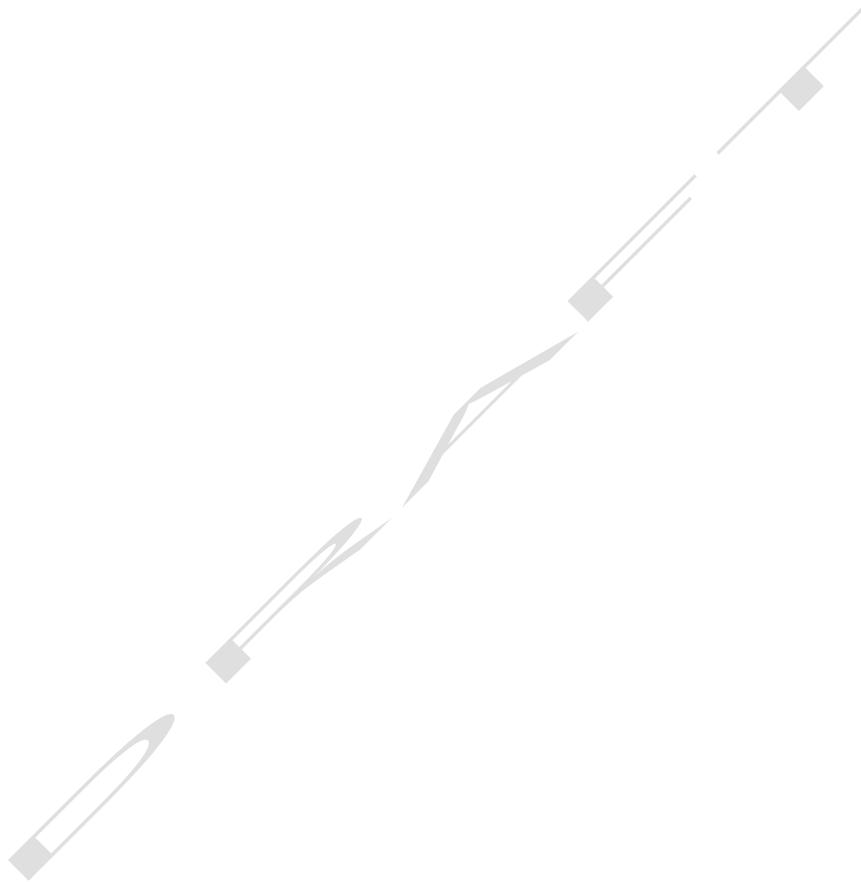
Indicator	Baseline	Annual Target	Annual Achievement				Annual Achievement to Date	Remarks for Current Reporting Period
			Q1	Q2	Q3	Q4		
Standard Indicators								
Number of people trained with a new skill or knowledge (disaggregated by sex)								
Number of people receiving improved services								
Number of people receiving new services								
% of beneficiaries reporting utilization of training or service								
Percent of audience who recall hearing or seeing a specific grantee-supported message								
Custom Indicators								

VII. LIST OF ATTACHMENTS

If applicable, provide a numbered list of any attachments referenced in the report. A mandatory annex is the M&E spreadsheet containing the relevant quarter's M&EP indicators, which should take the form of an accompanying Excel file with targets and actuals for that quarter.

Example:

1. *Process Documentation*
 - a. *Include steps taken by the recipient, during the quarter, for achieving the targeted milestone. Here also give details of the tests, experiments done so far and the results thereof supported by the documentary evidence (you can always annex this as well).*
2. *Meeting Agenda and list of participants for Result 1*
3. *Success story published in a local news paper*
4. *M&E Spreadsheet*



ANNEX VIII: U-RESPECT IMPLEMENTATION

ACTIVITIES AND PROCESSES

Timing of Activity	Activity	Key outcome/result of the activity	Indicator to measure/assess of the outcome/result	Processes Undertaken
July 2013	Finalize and set up project office in Shahpur.	Field office equipped and ready for carrying out project activities.	Records and monthly reports by activities carried out under the project.	<ul style="list-style-type: none"> - Formal clearance provided by district authorities for activities in the project area. - Data collection on year wise contraceptive usage from 2010 for all the nine PHCs of the project area. - Field office has been set up and the two key field personnel are based in the office.
October-December 2013	Finalizing service provider for toll free number and setting up of helpline in the project office.	Toll free helpline set up at Shahpur Taluka HQ at the project office.	Number of calls per month by type of calls.	<ul style="list-style-type: none"> - Met the District Health Officer to share the idea of 24x7 toll free helpline in the vicinity to reach the community for their reproductive health and family planning needs. - Did a feasibility study before opening the helpline in December, which took two and a half months. It was done at a very low cost and through mobile phones. - Toll free call center has been set up and fully operational since December 1.

Timing of Activity	Activity	Key outcome/result of the activity	Indicator to measure/assess of the outcome/result	Processes Undertaken
July 2013	Mapping of local level health service providers (government and private) in and around the project area (all nine PHC areas).	Health service providers registered to be referrals for family planning and reproductive health service provision.	Number of health service providers willing to be referral points for service deliverance.	<ul style="list-style-type: none"> - Mapping of traditional and nontraditional outlets in two PHC areas, who are interested in stocking social marketing brands of reversible methods of contraceptives. There is a plan to complete this exercise in all nine PHC areas. - Referral entities (RMPs and traditional and nontraditional outlet) were approached as part of the mapping process and have been made aware of the project and its requirements. - Mapping of private nonqualified health care providers in the rural areas who are interested in stocking the social marketing brand of reversible methods of contraceptives. There is a plan to complete this exercise in all nine PHC areas.
October 2013	Orientation of local level government and private health service providers on project goals and their roles (referral services for family planning and sexual and reproductive health services).	All referral units linked to the project.	Number of people referred to the referral centers by type of referral services sought.	<ul style="list-style-type: none"> - Orientation meetings for both these referral segments held in October. - Referrals are being provided in the first phase (five PHCs) project areas. - Mapping and listing the potential users of reversible methods of family planning by door to door visits by the Community Consultants (CCs) in five out of nine PHC areas.

Timing of Activity	Activity	Key outcome/result of the activity	Indicator to measure/assess of the outcome/result	Processes Undertaken
August 2013	Recruiting and training of on-field CCs and helpline counsellors.	One four day long training at the start of project; two day long refresher training after six months.	Twelve field personnel trained as well as two paramedics manning the helpline).	<ul style="list-style-type: none"> - A skill up gradation session conducted for the project CCs based on the team feedback. - Nine CCs recruited and trained, and are operating in the field during weekdays (Monday to Saturday). - OR eight CCs recruited, who will do the mapping of the potential users of family planning by door to door visits and attend the helpline calls.
August 2013	Mapping and registering traditional and nontraditional contraceptive outlets	Dynamic list of outlets—stationary or otherwise.	Number of traditional and nontraditional outlets established with uninterrupted contraceptive supplies.	<ul style="list-style-type: none"> - Mapping of traditional and nontraditional contraceptive outlets in the first phase. - Five PHCs have been completed.
October 2013	Identifying street play group.	One street theater group trained on themes relevant to the project objectives.	Monitoring tools to track play performances and audience reached established.	<ul style="list-style-type: none"> - Theater group for mid media activities in the project area has been finalized and have started performing, focusing on dissemination of a toll free number and the various family planning and reproductive health services that the project offers.
Ongoing since October 2013	Market town events.	Twelve events per year—one per month.	Number of beneficiaries reached per year (with monthly breakup).	
December 2013	Carrying out and monitoring of village level communication campaigns.	Street theater, exhibitions, other community level activities—four per PHC area per month.	Number of beneficiaries reached per year (with monthly breakup).	<ul style="list-style-type: none"> - Information, Education and Communication activities, like street plays, wall paintings, wall posters, hand bill distributions, and 30 community meetings focusing on visibility of the call center toll free number completed in the project areas under present focus.

Timing of Activity	Activity	Key outcome/result of the activity	Indicator to measure/assess of the outcome/result	Processes Undertaken
				<ul style="list-style-type: none"> - Various mid media (e.g. wall paintings, street plays) and inter personal communication activities have started and are ongoing as per a scheduled plan formulated on a monthly basis.
Monthly since July 2013	Monitoring of project activities.	Monthly monitoring by project monitors.	Monthly report indicating project progress based on the baseline indicators to reach the ultimate project goal of increased contraceptive prevalence rate in the area, especially with regards to spacing methods.	<ul style="list-style-type: none"> - Internal project monitoring framework has been evolved and tested, and has been shared with FICCI manager. - A weekly field activity review is conducted every Saturday at the office on an ongoing basis.



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