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EVALUATION OF USAID/INDIA DEVELOPMENT OBJECTIVE (DO) 3

Assessing the Relevance, Effectiveness, and Impact of Public Private Partnerships

December 2017

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EVALUATION OF USAID/INDIA DEVELOPMENT OBJECTIVE (DO) 3:

ASSESSING THE RELEVANCE, EFFECTIVENESS, AND IMPACT OF PUBLIC PRIVATE PARTNERSHIPS

December 2017

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ACRONYMS

AOR	Agreement Officer Representative
BOP	Bottom of the Pyramid
CDCS	Country Development Cooperation Strategy
DO	Development Objective
FGD	Focus Group Discussion
FH	Family Health
FICCI	Federated Indian Chamber of Commerce and Industry
GOI	Government of India
IP	Implementing Partner
IPP	India Partnership Program
KII	Key Informant Interview
MA	Millennium Alliance
M&E	Monitoring & Evaluation
MOH	Ministry of Health
MOHUA	Ministry of Housing and Urban Affairs
PAD	Project Appraisal Document
PMU	Project Management Unit
PPP	Public Private Partnership
PPR	Performance Plan Report
RMNCH+A	Reproductive, Maternal, Neo-Natal Child Health & Adolescent
STIP	Science, Technology, Innovation and Partnership
TDB	Technology Development Board
USAID	U.S. Agency for International Development
WASH	Water, Sanitation and Hygiene

EXECUTIVE SUMMARY

BACKGROUND

The U.S. Agency for International Development's (USAID) five-year (2012-2017) Country Development Cooperation Strategy (CDCS) reflects the transformation of the USAID-India relationship from a traditional donor-recipient to a peer-to-peer partnership whereby India and the U.S. collaborate to solve global development challenges together. Development Objective (DO) 3 of the USAID/India CDCS seeks to impact people's lives at the base of the economic pyramid (BOP) in India through Alliances, partnership platforms, and other appropriate mechanisms.

DO3 activities are funded through two main initiatives: the India Partnership Program (IPP) Annual Program Statement and the Millennium Alliance (MA).¹

EVALUATION PURPOSE AND EVALUATION QUESTIONS

The purpose of the evaluation is to assess the **relevance**, **effectiveness**, and **impact** of the partnership models and approaches that have been implemented by USAID/India since 2012. The DO3 evaluation sought to answer the following four questions:

1. Is USAID's Science, Technology and Innovation and Partnership (STIP) approach consistent with the overall objective and the attainment of its DO3 immediate results?
2. To what extent has the intervention been cost effective? What factors are influencing any particular discrepancies?
3. To what extent are the partnership approach and the interventions resulting from the innovations identified through IPP 1.0 and MA, contributing towards accelerating improved development outcomes in health care, child survival clean water and sanitation, education, clean energy, food security and nutrition?
4. What signs are there of changes associated with target interventions in health care, child survival, clean water and sanitation, education, clean energy, food security and nutrition, e.g., what changes do people living at the bottom of the pyramid and other stakeholders attribute to the interventions?

METHODOLOGY

The team used *quantitative* and *qualitative* methods (mixed methods) to generate findings that are both generalizable and which are based on a rich level of detail. Primary data were collected through surveys, key informant interviews (KIIs), and focus group discussion (FGDs). Secondary data were collected through a desk review of documentation at three levels: (i) the country level (CDCS, DO3 Project Appraisal Document, Performance Plan Report), (ii) project level (cooperative agreement, quarterly report, work plan), and (iii) published research level (on development innovations in India, public private partnerships, and relevant USAID reports—global development alliance, global development lab, etc.).

¹ There are few additional activities in the education, forestry, and health areas that were awarded prior to these two mechanisms but are included under the DO3 portfolio due to their focus on the BOP.

LIMITATIONS

Given the allotted timeframe of three weeks for in-country planning and data collection, most of the findings in this evaluation are applicable to the sampled activities only and should not be projected to the broader DO3 portfolio. Where appropriate, the team has highlighted success factors and/or challenges that may have broader relevance to how USAID/India approaches partnerships and private sector engagement.

FINDINGS

EVALUATION QUESTION 1. PROGRAM DESIGN: PARTNERSHIP MODEL, STIP APPROACH

Finding 1. Using a variety of partnership models and approaches allows for a wider range of collaboration and provides a useful testing ground for tackling the complexity inherent in development.

Broadly, the partnership models utilized by the sampled organizations under DO3 can be classified into five general models/approaches (see Table below). Each model enabled USAID and its implementing partners to test and scale up innovations or creates an ecosystem for nurturing those innovations. The innovation grant model, as represented by the Millennium Alliance under FICCI, is the most significant of these models both in terms of the size of USAID investment and the number of social enterprises supported. Established as a risk-taking platform, the MA has become an important player in the impact investment space and has grown beyond a program to become institutionalized within FICCI.

The other four models fall under the IPP funding mechanism, which entails a co-creation process and a 1-to-1 cost-sharing between USAID and the implementing organization. While the design process is different, their operating structure is similar to what one would see in a traditional program. Of these models, the innovation ecosystem (#2) and the innovation capability (#4) models have the highest potential to move beyond being a time-bound project.

Typology of DO3 Partnership Approaches

Model/Approach	Objective	Key characteristics	Representative Implementing Organization
1. Platform for funding development solutions through innovation grants	Innovation testing, scale-up, and transfer	Open competition, short-term funding	Federation of Indian Chambers of Commerce and Industry (FICCI)
2. Platform for building market-based innovation ecosystem	Market development, entrepreneurship, investment facilitation, enabling policy environment	Tailored capacity building, adaptive management approach, labor and time intensive	SELCO Foundation, Global Social Benefits Institute (GSBI) at Santa Clara University/New Ventures, IPE Global
3. Direct implementation with NGO/private start-up	Replicate and/or expand an existing intervention, solution	Target at-risk/marginalized communities and geographies	WaterHealth, Skymet

Model/Approach	Objective	Key characteristics	Representative Implementing Organization
4. Facilitating public sector innovation through intellectual capital	Provide technical assistance and value addition to government	Time-bound project based intervention, task-specific, milestone-driven	KPMG Project Management Unit (PMU), Solidarity and Action Against the HIV Infection in India (SAATHII)
5. Platform for promoting innovation capability	Expand capabilities of local actors to test, implement, and advocate for innovation	Intervention driven, time-bound intervention	Impact Foundation (Dasra), Center for Knowledge Societies (CKS), Center for Micro Finance (CMF), Ashoka Trust for Research in Ecology and the Environment (ATREE)

Finding 2. DO3 partnership models have succeeded in bringing in new implementing partners, especially local organizations and social enterprises with no previous experience with USAID.

Of the five approaches cited above, the innovation grants model (MA) through the multiple grant rounds **brought in a substantial number of new actors into the development sphere**, particularly social enterprises and start-ups that would not have appeared on USAID’s radar screen otherwise. The innovation ecosystem model was smaller in scale in terms of the number of social enterprises included in the platform but the level of intervention tends to be broader and deeper. The direct implementation model enabled USAID to work directly with a private sector entity to roll-out and test innovative solutions. The innovation capability model brought in **new local organizations as prime partners** and through them, expanded the circle of non-profit organizations that benefited from USAID support (both through capacity building and financial support).

Out of the 27 organizations the team interviewed, only four (4) have benefited from USAID support in the past and three (IPE Global, KPMG, CMF sub-awardee Room to Read) have had a direct contractual relationship with USAID. For the majority of the sample, this was the first time they have worked with USAID. For many (8 out of the 12 prime implementing partners), this was the first time serving as a prime implementing partner.

Finding 3. Co-creation of program is resource-intensive but can result in higher level of ownership, accountability, and creativity.

Unlike traditional USAID approaches to programming, co-creation requires **more upfront investment of labor and time** by USAID and implementing partners. For Partnering approaches that entailed setting up of a platform (models #2, 4 and 5), the partners interviewed indicated that the co-creation/design process took at least one year to complete from initial application to award. The co-creation process for programs managed by WaterHealth and Skymet was more streamlined since it entailed direct implementation (model #3), hence the time from application to award averaged 6 months.

The overall impression of the co-creation process was generally positive:

- For SAATHII, the co-creation process with USAID helped the organization to realize the benefits of **expanding its presence and capability in Public Private Partnership (PPP)**.

SAATHII appreciated the different perspective provided by USAID, and felt that the co-creation process helped to push the organization outside of its “comfort zone” and ultimately enabled them to design a more innovative program.

- CMF and Tata Trust felt that USAID brought important experience to the table and held the same optics on outcome and development objectives. For CMF, USAID was seen not just as a funding partner but a **knowledge and funding partner**.
- For IPE Global, USAID was willing to allow PAHAL to develop a platform where it could test different business models to expand private primary healthcare to the urban poor. The organization also felt that there was sufficient **flexibility in the platform** to engage and mobilize new partners.
- For Dasra, working with USAID enabled the organization to play a new role of intermediary rather than implementer, where the goal is to build an ecosystem to help build understanding of issues related to adolescent health and strengthen non-profits that work in that area.

Finding 4. Active, respectful, and consistent engagement by USAID leads to a smoother design process.

Organizations interviewed all noted that the AOR plays a central role in the co-creation/design process since s/he set the tone for the process and can influence the dynamics of the discussion. Key success factors cited by partners include:

- **Nature of collaboration** – AORs that give the partner equal standing and refrain from taking the lead in the design process will enhance the co-ownership of the program and better results down the line.
- **Level of responsiveness** – timely response from the AOR on requests and/or clarification questions will not only avoid significant delays in the design process but also minimize the level of frustration among partners.
- **Technical consistency** – more consistent and constructive feedback during design process can pave the way for smoother implementation.
- **Staff continuity**—having the same AOR or primary contact at USAID was beneficial to most partners in navigating the bureaucracy, especially grantees with no or limited prior USAID experience.

Finding 5. Monitoring & Evaluation (M&E) is not always integrated at the onset and Theory of Change is not sufficiently fleshed out when designing activities.

Among the 12 sampled projects, only one project, IPE Global’s PAHAL, had a theory of change integrated into its design, and only 3 projects had developed a log frame/results framework at the onset of the program. For the KPMG PMU, its agreement was designed around milestones and there was detailed reporting of outcomes and impact around each of the milestone, just not in the traditional USAID log frame. The remaining 6 projects developed a M&E framework during the first year of implementation and reported regularly on these indicators. While all partners have received technical assistance and training on M&E from USAID and deem the support to be useful, many also indicated that **continuous support on data collection and analysis throughout program implementation** is also needed.

FICCI acknowledged that the MA platform lacked a structured M&E process in the initial rounds. Part of the reason was the lack of funding for administrative costs for FICCI and the lack of technical expertise. Eventually a local firm TTC was hired as a sub-awardee in 2016 to manage the M&E component.

Conclusion

The STIP approach appears to be consistent with the objective and attainment of DO3 results. By implementing and testing a variety of partnership models and platforms, USAID/India has successfully increased its engagement with the private sector while driving forward its development priorities in India and potentially in other regions. Key success aspects include increased localization of programs and efforts to test innovations that could be scaled in other geographies. In addition, the co-creation process and active collaboration with local implementers enhances local ownership and accountability, and results in more realistic and responsive programming for local developmental challenges. An important improvement to be addressed moving forward includes a more robust monitoring and evaluation system.

EVALUATION QUESTION 2. PROGRAM IMPLEMENTATION: COST-EFFICIENCY

A review of the formal agreements for the 12 implementing partners sampled for the evaluation showed that there was **no standard budget structure for activities under DO3**. Some budgets are broken into categories like personnel, direct costs, and ODCs while others are broken down by milestones. Since each partnership was designed and negotiated collaboratively, the budget was structured to align with the nature of the project activities and to provide more flexibility to the partner. While this makes sense from a technical and contracting level, it is not conducive for evaluation purposes since it is **difficult to make a comparative analysis about cost-effectiveness** based on metrics like overhead costs or cost per beneficiary. The team used three qualitative metrics as proxies for addressing the questions of cost-efficiency: (i) start-up time and program expenditures; (ii) administrative burden; and (iii) ability to leverage external funding.

Finding 1. Establishing new partnership platforms means longer start-up time and slower expenditures but can reap rewards down the line.

For new platforms, a formation period is critical and a longer runway (more than 5 years) is needed to achieve impact. In this regard, the majority of the five models evaluated, except for the direct implementation (WaterHealth, Skymet) and the KPMG PMU, took at least one year to have some concrete measurable results. For agreements that are written broadly, significant groundwork needs to be done at the outset to collaborate with the government to identify the specific activity areas (SAATHI), gather the supporting evidence through research (Dasra, ATREE), and conduct market research and build relationships with the relevant market actors (PAHAL, SELCO, GSBI/New Venture).

On the operational side, innovation grant platforms like the Millennium Alliance have to set up managing structures (e.g. the Strategic Advisory Committee), the rules and policies for grant selection, grant management, and grant monitoring. Innovation capability models like CMF and READ Alliance also went through the same process but also faced additional challenges as new USAID partners since they need more upfront time to establish the required project management infrastructure.

The Mission's PPR for FY16 reported that the actual obligation was 27% compared to a target of 55%, with \$29.3 million obligated out of the targeted \$110 million. The primary reason for this discrepancy was due to delays in local awards due to the time required in co-designing and the **lack of local partners' capacity**.

Using obligation level and expenditures as metrics can distract from the potential impact that these new platforms can achieve, and the capacity building that local organizations have gained from their partnership with USAID (see findings 2 and 3 below). Partners mentioned that USAID policies and

procedures provide the structure to train more of their staff and to instill the importance of good financial and program management practices.

Finding 2. Administrative burden is higher for USAID and for Implementing Organizations when forming new partnerships.

Given the capacity issue of local partner organizations, the administrative burden on USAID staff has been greater than with traditional programs. Traditional programs tend to be more directed and structured whereas the **new partnership models under DO3 require collaboration and co-creation at every stage**, from design to implementation to M&E.

Implementing organizations also face a great level of administrative requirements with USAID than they are usually accustomed to. Nonetheless, most partners interviewed did not see these reporting requirements as burdensome, though a few did mention that the timeline is not always appropriate to program/project implementation realities. Moreover, **USAID requirements on impact measurement are seen as beneficial** beyond the USAID-funded program/project, even if it takes time for new implementers (especially from private sector) to understand benefit, and require more technical support and handholding on the part of USAID.

Finding 3. DO3 activities have successfully leveraged additional funding from external sources (public and private).

While most partners organizations do not have a concrete strategy for attracting external funding, they all agree that the partnership with USAID has helped to open doors. To date, most of the leveraged funding has been opportunistic so there is potential to harness and unlock additional private sector investments in the future. Overall, the **leverage ratio for the sampled activities are about 2 to 1, with a few exceeding 5 to 1** (MA, KPMG PMU, GSBI/New Ventures, SELCO).

Conclusion

Due to the diversity of approaches, sectors, and scale of activities, it is not possible to assess the cost-effectiveness of one model relative to the others. The team also did not have sufficient time and resources to determine whether the partnership model is more cost-effective than traditional USAID programming. On the one hand, working with new partners entails a greater level of administrative burden. On the other hand, these partnerships were able to bring new sources of funding that would not have been part of the picture otherwise. Over time, the upfront investment in capacity building for local organizations and strengthening their ability to raise funds would result in a more self-sustaining ecosystem than if USAID were to continue working predominantly with international organizations.

EVALUATION QUESTION 3. PROGRAM IMPLEMENTATION: EFFECTIVENESS AND SUSTAINABILITY

Finding 1. Programs falling under DO3 have been effective in meeting program goals and objectives.

Though the scope of this activity did not include an assessment of non-DO3 programs for a direct comparison, a review of the FY16 Performance Plan Report and individual program progress reports show that programs under the DO3 umbrella have consistently reached or exceeded their programmatic targets. Overall, DO3 sampled activities exceeded their targets by an average of 71%. Three primary factors stand out as contributing to program effectiveness:

- Nearly all implementing partners are Indian organizations with **close ties to the communities** in which they operate, reducing barriers to trust.

- The ability to leverage additional funds due to the **legitimacy conveyed through the USAID partnership**.
- In some cases, a **higher than anticipated level of buy-in from the local or national government** contributed to increased effectiveness.

Finding 2. Program effectiveness would be enhanced with increased opportunities for communication across programs, platforms, and sectors throughout the implementation period.

Effectiveness would be improved with enhanced mechanisms for communication across programs and internally for programs with multiple partners. A more **intentional knowledge management structure** would improve overall program effectiveness by reducing duplication of effort and minimizing learning curves, while simultaneously creating opportunities for innovative thinking and out-of-the-box partnerships.

Most implementing partners interviewed appreciated the networking opportunity provided by the partners meeting. However, the large number of participants during these meetings can make it difficult to engage in meaningful dialogue and technical discussions. Creating additional opportunities for in-person networking would further enhance the ability of programs to maximize innovative approaches, **enabling learning from diverse actors in different sectors** and creating the relationships that can lead to formal partnerships.

Although USAID excels at bringing together diverse actors at the macro-level, as is the case with the Millennium Alliance funding partners, there are currently **limited examples of linkages being created across implementing partners** – especially those operating under different technical offices. There is significant opportunity, as noted by partners such as SELCO, SAATHI, and CKS, to share lessons learned and encourage cross-sector partnerships.

Assembling MA grantees into learning cohorts, grouping them according to stages of organizational development, sectors, or localities, present opportunities to discover and exploit synergies, thus improving program effectiveness while concurrently creating a network of socially-minded Indian enterprises.

Finding 3. Providing sufficient resources for program administration is key to program effectiveness.

The Millennium Alliance presents a clear and strong case for the **importance of allocating sufficient resources for program administration**. Through the first two grant rounds, no financial resources were allocated to support FICCI’s administration systems and processes. The direct results included:

- slow grant distribution process,
- limited MEL activities, and
- frustration amongst the grantees that were interviewed regarding the process.

Once resources were allocated by the funding partners (approximately 10%), FICCI was able to increase its staffing level and to enhance the capacity of these staff to manage the program, resulting in improved efficiency and program impact.

Programs whose model involved increasing the innovative capability of sub-partners (Dasra, CKS, ATREE, and CMF) also experienced administrative challenges. For example, CKS READ Alliance spent significant time and resources to ensure that its smaller sub-grantee NGOs were able to meet the required level of compliance. In fact, one sub-grantee had to be dropped from the program due to its inability to conform with the standard. As a research project, ATREE remarked that the reporting

requirements did not necessarily match the nature or timeline of their research activities, so at time the reporting can become a tedious exercise.

Finding 4. Implementing organizations have developed their operational capacity through partnership with USAID

USAID/India has been successful, especially with regards to programs falling under the IPP, in supporting the capacity development of implementing partners and their sub-awardees. Each organization interviewed noted that one of the key benefits of working with USAID is the direct support provided by the Agency to **build the organization's capacity in Monitoring, Evaluation and Learning (ME&L)**, especially with regards to understanding and developing key tools and processes, such as logical frameworks and improved reporting standards. Organizations also noted that USAID's requirements with regards to financial management and reporting, while challenging to learn initially, are ultimately highly beneficial to improved organizational management and ultimately in enabling them to access additional sources of funding – fueling both effectiveness and sustainability.

In addition to the development of organizational capacity, several implementing partners have **expanded into new areas of operation as a direct result of their USAID partnership**. This type of diversification at the organizational level, especially for highly successful implementers, should not be overlooked as a significant impact of DO3, especially with regards to continued efforts to localize implementation partners.

Finding 5. There is an opportunity to maximize organizational development and better prepare social enterprises for operating with more diversified funding and in a more competitive environment.

Training and capacity building related to USAID policies and procedures is critical for successful program administration. However, for longer-term sustainability, most implementing partners will need additional support around organizational operations such as financial modeling, marketing and fundraising, and strategic and business planning. This level of capacity building will be especially critical as USAID moves beyond direct funding, and organizations must explore diverse funding avenues with the private sector and other donors.

Social enterprises receiving grants under the MA also consistently noted that they would benefit from additional capacity building and, more importantly, mentorship from experienced business people. While grantees can proactively seek out mentorship, there is no systemic process within the MA to link grantees to this type of support. In working with start-ups and growing businesses, especially social enterprises, structured opportunities for technical assistance and mentorship should be built into the program.

Finding 6. The Millennium Alliance's grant selection process is perceived to be cumbersome and complex to certain grantees, and improvements in communications and outreach may be useful in managing applicants' expectations.

The Millennium Alliance has been successful in seeding local and market-based innovations for developmental challenges and is viewed by many as an important platform for supporting social enterprises in India. Through the multiple rounds of grants, FICCI and the MA's funding partners, particularly USAID, have been pro-active in learning, adapting, and tweaking its grantmaking approach. Nevertheless, grantees interviewed indicated that a number of aspects can be further improved:

- The lack of information about the amount of grant funding available for each sector can be discouraging to applicants.

- The absence of a constructive feedback loop to unsuccessful applicants, especially to those who were invited to submit a full proposal or to a pitching session, as to why their proposed activity was not selected misses an opportunity to broaden the program’s impact beyond successful applicants.
- There is unrealistic expectation that true impact at the BOP can be achieved within the 12 to 18-month implementation timeframe of the grant.
- Most grantees would benefit from the opportunity for interim funding and/or direct assistance in seeking private investment opportunities.
- The grants administration process is overly complex and disbursement of funding can take too long, especially considering the highly dynamic environment in which many early stage social enterprises operate.

Finding 7. Programs where an implementing partner acts as an intermediary with and builds the capacity of the GOI to support its high priority goals are highly effective.

Programs that are demand-driven are more effective and have a greater potential for sustainability. Two of the programs that have the most significant successes include the *Technical Assistance to the Government of India for Swachh Bharat Mission* implemented by KPMG operating as a Program Management Unit (PMU), and the *Promoting Public Private Partnership Stewardship for RMNCH+A Project*, implemented by SAATHI.

Both programs are designed to provide the Government of India, at the national and local levels, with the tools it needs to successfully implement high profile initiatives in WASH and health system strengthening respectively. The SAATHI program assisted in developing technology and capacity solutions for the Ministry of Health that can ultimately be rolled out at the national level, and across both private and public health systems, all for a modest investment of US\$300,000. Both these programs also represent a high degree of flexibility to respond to GOI needs as they arise. The sustainability of both initiatives, which cannot be determined at this point in time, is predicated on the assumption that the GOI will continue to utilize the systems and processes following the end of the program implementation period.

Conclusion

As a whole, DO3 implementing partners in the sample have effectively implemented their proposed activities and have met or exceeded their performance targets. Key success factors for their effectiveness are (i) the capacity building provided by USAID in program administration and financial management, (ii) the partner’s presence in the local communities in which project activities are being rolled out; and (iii) the partner’s ability to build relationship with and respond to GOI interests and needs. Improvements are needed in the areas of knowledge management and communications, cross-platform and cross-sectoral linkages, and organizational development, to further amplify the effectiveness of these programs.

EVALUATION QUESTION 4. PROGRAM IMPACT AT THE BOP

Finding 1. There is limited evidence that programs and initiatives classified under DO3 are significantly more scalable or sustainable than traditional USAID programs in creating change for the population at the Bottom of the Pyramid.

For most programs reviewed under this evaluation, it is too early to determine if there will be long-term

impact on their target populations as a result of the interventions or through the market-based solutions they put forth. Understanding adoption of new practices over time and the resulting behavior change will require a longer-time horizon and more rigorous research methods. For Millennium Alliance grantees, the short-term nature of the grant and the modest funding amount pose challenges in terms of attribution. Likewise, the lack of a Theory of Change for the majority of the sampled programs also makes it more challenging to measure impact.

Challenges facing the BOP tend to be systemic. However, the sampled DO3 programs remain, for the most part, siloed in that they seek to address one specific development challenge. For instance, targeting Early Grade Reading simply through a program that improves teachers' capacity and provides additional resources at the school level may overlook other issues impacting children's ability to learn – such as poor nutrition and limited school infrastructure. The majority of the sampled programs did not adopt a truly cross-sectoral approach to development.

Several of the sampled implementing partners and MA grantees noted that macro-economic issues, such as demonetization, had a disproportionately negative impact on their success. For initiatives that are seeking market-based solutions directed at the poor, demonetization was an especially significant and unanticipated challenge. The resiliency, or lack thereof, of BOP populations should be taken into account when assessing program impact. Similarly, for agriculture programs, the volatility of climate systems has an impact on BOP farmers – especially those that rely on rain-fed agriculture.

Finding 2: The Millennium Alliance is successful in supporting individual interventions and acting as a proof of concept, but it is unclear if this support will translate into broader market-based solutions without longer term support to grantees and/or increased facilitation of financing options.

While the legitimacy inferred as a Millennium Alliance grantee helped social enterprises to leverage over \$5 million in additional resources across Rounds 1 and 2, it is unclear how this will translate into long-term scalability for most of the grantees. It is unclear from available documentation what the breakdown of these funds are across additional grant funding or debt or equity investment, calling into question the sustainability of the enterprises without continued grant funding – a challenge for many social enterprises globally.

Finding 3: Most programs have no systematic approach to attracting CSR – practice has been ad-hoc and opportunistic rather than strategic and integrated into program design and administration.

Engaging with the private sector is critical to long-term sustainability for many social impact initiatives as donor funds continue to be reduced. The 2% CSR requirement in India² provides a prime avenue to engage the private sector, however, there is no existing strategy to do so in any formal way. Dasra, who counts over 40 funders as part of its Giving Circle, stated that it preferred to work with family foundations and private trusts. Even those programs with the direct mandate to engage the private sector did so on a primarily ad hoc basis or based on existing relationships. For most implementing partners, especially local NGOs, this is not a sustainable approach to seeking additional support and funding. Many partners recognize that the number of companies that fall under the CSR requirements is large but philanthropy remains relatively “new” in India and for most corporations, and limited enforcement of the rule means companies have little incentives to proactively seek out organizations

² In April 2014, a Companies law was enacted whereby businesses with annual revenues of more than INR 10 billion rupees (US\$ 131 million) must give away 2% of their net profit to charity. Areas for investments include education, poverty, gender equality, and hunger.

with funding needs.

Finding 4: Early engagement with the Government of India is critical to sustainability and scalability.

For most DO3 programs, engaging with and getting the buy-in of the Indian Government at either the national, state, or even local level will be critical to continued impact and scalability. Except for those programs in which engagement with the government is integral to program implementation (SAATHI, WaterHealth, KPMG PMU) and design, there is little formal strategy to engage the GOI at any level. This is most evident with regards to the two initiatives targeting Early Grade Reading at government schools. For the most part, interventions are focused at the individual school level, and it is unclear how uptake of the interventions will be encouraged more broadly. It is anticipated that schools and communities will see the benefit of the interventions and take ownership themselves or that the state government will adopt the practices. However, there is no clear strategy to drive forward this goal.

Finding 5: Gender not consistently or systematically integrated into program implementation - assumption that targeting female beneficiaries means gender issues are taken into consideration, but there is limited focus on involving women in program at different levels

Gender inclusion is a key component across all programs surveyed. However, this does not necessarily translate into a true gender integration strategy. Most programs continue to focus primarily on output-based indicators with regards to gender and do not assess the behavior change required for true integration which generally requires a more intentional approach and one that engages males in active behavior change.

- It is a global challenge for female entrepreneurs to access private investment funding. USAID is well-placed in India to structure programming in such a way to encourage women entrepreneur's improved access to investment opportunities. However, the two programs that are best placed to do so, the Energy Access Investment Readiness Program and the Millennium Alliance, do not have specific metrics regarding female entrepreneurs and their inclusion in the programs. Rather their gender-related targets focus on beneficiary populations.
- Though WaterHealth noted that women-run WaterHealth Centers are on average better administered than those run by men, there is no clear strategy for engaging more women in this role, nor are there corresponding impact indicators. Though these water centers have shown themselves to be cleaner and better run, there is no formal effort to recruit and empower more women into these positions and only 30-35% of the WaterHealth Centers in the program geography of Bangalore are operated by women.

Conclusion

It is premature at this point to determine the type of impact that the sampled DO3 activities have in affecting behavior change and improving development outcomes at the BOP. More rigorous research methods and integration of the Theory of Change by projects are needed to measure impact. Anecdotally, the siloed nature of the sampled DO3 activities seems to imply that the program's impact may not expand beyond the targeted communities, unless there was explicit GOI support for such intervention at a systemic level.

RECOMMENDATIONS

PROGRAM DESIGN

Recommendation 1. Partnership Approach: shift to a more focused portfolio of partnerships to reduce USAID management burden and deepen impact

The testing phase for DO3 should now pave the way for a *consolidating and deepening* phase where the Mission can channel its investments into a more targeted portfolio of activities. The issue is not which partnership model or approach is “better,” or to standardize or reduce the types of models being used. Rather, there should be more rigor in assessing the partner’s strengths and capabilities and their proposed model for reaching the BOP.

To reduce administrative burden, USAID should consider working with strong backbone organizations that can simultaneously facilitate program administration amongst the local organizations undertaking actual implementation and build their capacity to scale and continue work beyond the initial program timeline. Ideally, organizations providing backbone support to complex partnerships should have a pre-existing understanding of USAID policies and procedures and should have strong capabilities with regards to organizational capacity building, with sufficient resources reserved for the backbone entity to provide the training and support needed.

Recommendation 2. Further enhance MA’s grant selection process and strengthen its capacity for entrepreneurship development

While the MA platform has already instituted substantial adjustments to the grant selection process with each round of competition, further improvements to increase transparency and impact include:

- Provide the opportunity for applicants to receive feedback on their failed grant application, specifically those who were invited to submit a full application or to pitch their intervention.
- Create a feedback loop so lessons from each round are incorporated into subsequent rounds
- Include more business and subject matter experts in the selection panel and engage them earlier in the evaluation process.
- Consider more targeted and larger investments in a few initiatives over a longer time frame. For example, design grant rounds around specific themes, regions/sites, etc.
- Invest in an incubation period prior to formal grant award to ensure social entrepreneurs develop a viable business model from the start.

Recommendation 3. Integrate entrepreneurship and business strengthening into program design

Besides funding innovations, USAID/India should invest more resources into promoting entrepreneurship and managerial capabilities of social enterprises and start-ups, leveraging other in-country entrepreneurship efforts and platforms such as PACE (Partnering to Accelerate Entrepreneurship).

The current cohort of social enterprises and start-ups is often more focused on the R&D and marketing aspects and sometimes neglect the fundamentals of business management – financial management, personnel management, operations, etc. The challenges faced by MA grantees and IPP implementing partners in meeting USAID report requirements are evidence of the limited operational capacity of these enterprises. If these enterprises are to evolve, they will need to have increased bandwidth to plan and manage expansion, develop diverse relationships with donors, investors, government, etc.—all of whom will have different expectations and requirements. This means having the appropriate organizational structure, staffing, and systems to respond. Future partnerships should be designed to

support not only the intervention/innovation but the organizational development needs for the business to thrive.

Recommendation 4. Ensure consistent integration of Theory of Change and M&E into program design

USAID/India should ensure that during the co-creation process, partner organizations are able to define and communicate the Theory of Change for their program. This is particularly important if the program is to demonstrate impact at the Bottom of the Pyramid. There should be some reflection at the design stage on how the program's objectives and approach would lead to benefits, change, and gains for the target beneficiaries. Beyond the one-off M&E training already provided to implementing organizations, there is a need for continuous support and feedback from program design through implementation. The Mission should consider a buy-in to central level M&E mechanisms where dedicated technical expertise can be made available to guide and support implementing organizations throughout the entire process.

Recommendation 5. Ensure consistent gender integration throughout DO3 activities

Partnership design should ensure that gender is integrated at every level of the program—from program staff, to tools and materials being developed, to program beneficiaries. A gender analysis should be integrated upfront to evaluate organizational policies and procedures, technical competency of staff, design and implementation of activities, and project results outcomes (See Annex F for a country case example). Reporting should go beyond disaggregating data by gender to include qualitative analysis on issues related to gender empowerment and equality. Indicators and targets should include an analysis of the results, especially when targets were not met, and what actions can be taken to improve the results.

PROGRAM IMPLEMENTATION

Recommendation 1: Create intentional opportunities for greater knowledge sharing, virtual, and in-person networking among DO3 implementing partners, and between DO3 platforms and more traditional programs.

Across all programs surveyed, there was a clear request for greater opportunities to network with other implementers (or grantees on the part of the MA). USAID should consider structuring formal opportunities for implementing partners to meet and share their successes and challenges. These can be structured across sectors in a specific geography or they can be sector-specific but with a broader geographic focus.

In addition to in-person meetings and convenings, all programs would benefit from a virtual platform on which to communicate, share best practices, and learn from USAID. A platform such as this could further serve as a means to provide on-demand trainings to implementing partners on USAID compliance, policies and procedures in line with the Agency's overall USAID Forward initiative.

Recommendation 2: Develop a regular schedule of trainings on USAID policies, procedures, and compliance.

A number of partners noted that while participating in USAID-facilitated trainings was beneficial, they were not offered on a consistent enough basis and they did not allow for a range of employees to participate. Trainings should be offered on a regular basis and/or a Training of Trainers program should be initiated to create champions at individual organizations.

Recommendation 3: Engage the private sector as pro bono consultants and mentors to build the capacity of beneficiary social enterprises and implementing partners alike.

The vast pool of managerial talent and human capital that exists within private companies inside and outside of India is an untapped resource that USAID/India should explore. Employees from private sector companies bring a wealth of expertise to bear with regards to common challenges faced by social enterprises and non-profits alike.

In addition to the multinational corporations with pro bono consulting programs, a number of Indian businesses either currently have or are in the process of developing programs. These programs are highly cost effective as the private sector partner generally pays its employees' expenses. They also create avenues for future engagement and partnership with the sponsoring companies by creating internal champions for the good work being done by host clients. There are existing mechanisms for engagement, including the recently released VISIP APS and the Global Health Corporate Champions that can be used to engage private sector human capital.

Recommendation 4: Explore opportunities to fund platform programs that address multiple community-challenges across USAID sectors.

As previously noted, the issues that negatively impact the population at the Bottom of the Pyramid are systemic – challenges in accessing sufficient nutrition, which negatively impacts children's ability to learn, are often driven by a lack of economic opportunity or poor agronomic practices. Addressing only one piece of this system will not lead to sustainable outcomes for the community. USAID has the opportunity through the platform model to work with a number of local organizations that bring different types of expertise to the table to address the complex challenges facing the Bottom of the Pyramid. The focus on working with and through local organizations will lower barriers to impact and will contribute to continued localization of programming. It will also enable USAID to serve as an incubator for these organizations and support them in building their operational capacity.

Recommendation 5: Maximize opportunities for implementing partners and grantees to network with the GOI and integrate GOI engagement strategies from the beginning of program implementation.

Successful engagement with and adoption of interventions by the Government of India will be critical to the ability of DO3 program activities to reach the BOP. Creating formal showcases of programs and facilitating listening sessions between representatives from the GOI and implementing partners will ease communication and will encourage a supply and demand approach. See Annex G for a country case example.

CONSIDERATIONS FOR THE NEXT CDCS

While the original scope of the evaluation does not require the team to make specific recommendations regarding the next CDCS, the following are some factors that the Mission may wish to consider as part of its deliberations and planning.

Recommendation 1: Both the IPP and the MA are valid mechanisms to test innovative partnership and intervention models and should be continued in future CDCS

Though the assessment did not allow for direct comparison of DO3 activities against more traditional program approaches and funding mechanisms, it is apparent that activities undertaken under both IPP and MA drive forward a number of objectives which are important to the Mission in India and USAID more broadly, including increased localization of programs and efforts to test innovations that could be scaled in other geographies. For the programs under the IPP, the aspect of co-creation and actively engaging local implementers makes for programming that is innately more responsive to the challenges and opportunities inherent to local challenges. Because IPP models require local implementers to operate within the structures of a USAID-funded program, it further enables their organizational development, making them more efficient and sustainable over time. Similarly, the MA seeks to find local solutions to local challenges that engage a market-based approach. The partnerships with other bi-lateral development agencies, Indian entities (i.e. FICCI and TDB), and private sector players in the development space make it a potential model for other geographies that seek to distribute risk, improve cross-sector partnerships, and empower local entities.

Recommendation 2: Integrate planning for sustainability from day one and consider longer term funding for successful initiatives.

To ensure the sustainability of platforms, planning must begin from the moment of program launch. Consideration should be given if there will be a continuing entity, if so what its role will be, and how the partners will benefit from this type of central administrative entity. Certainly, small organizations would benefit from shared services that could be provided by a central platform organization, but it is critical to understand where they see the value and then to work towards creating a format that works for all parties.

Recommendation 3: Actively seek to better understand how implementing partners can provide value to the Indian private sector and their CSR engagement strategies, especially in relation to the 2% Law.

As with the public sector, a clear and open dialogue is critical to understanding how USAID programming can provide added value to corporations. USAID should continue to participate actively in CSR conferences and other convenings where the private sector will be present – this should be as much of a listening exercise as an opportunity to present ongoing programs. USAID should also take advantage of its reputation as a strong convener in India to host its own sessions – focused on specific geographies or topics as appropriate.

It is also critical to understand where the private sector seeks to invest. USAID should continue to scan the market landscape to understand which private sector companies – both Indian and multinational – are engaged in or interested in areas that align with USAID’s funding priorities.

Successful partnership with the private sector will be a result of both partners bringing their unique expertise to the table and building on that to create greater value. USAID/India should consider developing an organizational strategy for engagement with clear targets and performance indicators. A similar approach can be utilized at the program level, but should be developed as early as possible in the implementation period.

Recommendation 4: Continue to foster a culture of innovation and risk-taking across all offices within the Mission, where staff are incentivized to learn from innovations that do not reach their objective.

USAID/India has been at the forefront of integrating the STIP approach into their CDCS. The Millennium Alliance and innovation ecosystems platforms like PAHAL, SELCO, and New Ventures have effectively

used market-based mechanisms and leveraged donor funding to engage and strengthen social enterprises in India. In the team's discussion with Mission staff, it is clear that there are differing perspectives on what defines innovation and the level of acceptable risk-taking among those in the program office and the technical offices.

The very nature of innovation is that it does not always succeed or it succeeds only in specific environments. Failure of interventions to reach their goal is a challenge for any donor, but the key to truly fostering innovation is developing a comfort with the potential for failure and creating the infrastructure to learn from these failures. If USAID/India's strategy is to foster an organizational culture that is based on innovation and private sector partnerships, the right incentives structure needs to be in place. The Mission could consider reserving a portion of funding for a pure innovation fund with the expressed understanding that up to a certain percentage (80%) of the ideas tested could not reach their targets. This could be done within the framework of an ongoing or existing partnership model.

INTRODUCTION

I. BACKGROUND

The U.S. Agency for International Development’s (USAID) five-year (2012-2017) Country Development Cooperation Strategy (CDCS) reflects the transformation of the USAID-India relationship from a traditional donor-recipient to a peer-to-peer partnership whereby India and the U.S. collaborate to solve global development challenges together. Through this approach, USAID focuses on catalyzing new partnerships and scaling proven solutions globally.

Development Objective (DO) 3 of the USAID/India CDCS seeks to impact people’s lives at the base of the economic pyramid (BOP) in India through Alliances, partnership platforms, and other appropriate mechanisms. DO3 activities seek to build sectoral and thematic partnership platforms and alliances in the areas of health, climate change, education, and food security to identify, test, and scale development innovations with the potential for “game-changing” impact in India.

USAID defines innovation as:³

Novel business or organizational models; operational or production processes; or products or services that lead to substantial improvements (not incremental ones), in executing against development challenges. Innovation can incorporate science and technology but this integration is not necessary. Innovation...[should] help produce development outcomes more effectively, more cheaply, that reach more beneficiaries, and in a shorter period of time.

Under the DO3 Project Appraisal Document, USAID/India also added that “game-changing” innovations ideally need to provide a 3 to 10-time increase/decrease in whatever development result the Mission is attempting to achieve.

DO3 activities are funded through two main initiatives: the India Partnership Program (IPP) Annual Program Statement and the Millennium Alliance (MA).⁴ Under these windows, USAID/India has utilized different partnership models, alliances, and platforms to meet its objectives.

II. EVALUATION PURPOSE

As USAID/India approaches the end of its current CDCS and is in the process of designing the next phase of its strategy, the mission is interested in evaluating the extent to which partnerships have effectively achieved development impact based upon agreed performance measures or have defined innovation progressing through the four (4) stages/steps of the “innovation pipelines.” To that end, the purpose of the evaluation is to assess the **relevance**, **effectiveness**, and **impact** of the partnership models and approaches that have been implemented by USAID/India since 2012. In particular, the evaluation:

³ <http://www.usaid.gov/innovation/faq.html>

⁴ There are few additional activities in the education, forestry, and health areas that were awarded prior to these two mechanisms but are included under the DO3 portfolio due to their focus on the BOP.

- Assessed the progress toward achieving the expected results of the USAID/India DO3 program (2012 - 2016)
- Assessed the efficiency and effectiveness of program design, implementation, and sustainability mechanisms
- Identified lessons learned and proposed actionable recommendations to guide implementation for the remaining period of the program.

The full Scope of Work (SOW) for this evaluation is included in Annex B.

III. EVALUATION QUESTIONS

The DO3 evaluation sought to answer the following four questions:

1. Is USAID's Science, Technology and Innovation and Partnership (STIP) approach consistent with the overall objective and the attainment of its DO3 immediate results?
2. To what extent has the intervention been cost effective? What factors are influencing any particular discrepancies?
3. To what extent are the partnership approach and the interventions resulting from the innovations identified through IPP 1.0 and MA, contributing towards accelerating improved development outcomes in health care, child survival clean water and sanitation, education, clean energy, food security and nutrition?
4. What signs are there of changes associated with target interventions in health care, child survival, clean water and sanitation, education, clean energy, food security and nutrition, e.g., what changes do people living at the bottom of the pyramid and other stakeholders attribute to the interventions?

The evaluation team developed an evaluation matrix (Annex C) detailing the related questions and information that are needed to answer these questions.

METHODOLOGY

The team used *quantitative* and *qualitative* methods (mixed methods) to generate findings that are both generalizable and which are based on a rich level of detail. Primary data were collected through surveys, key informant interviews (KIIs), and focus group discussion (FGDs). Secondary data were collected through a desk review of documentation at three levels: (i) the country level (CDCS, DO3 Project Appraisal Document, Performance Plan Report), (ii) project level (cooperative agreement, quarterly report, work plan), and (iii) published research level (on development innovations in India, public private partnerships, and relevant USAID reports—global development alliance, global development lab, etc.). Through the combination of these methods, the technical approach enabled a consistent triangulation of quantitative and qualitative data and helped to ensure that findings are drawn from evidence of the highest possible quality.

I. DATA COLLECTION METHODS

Quantitative data collection covering areas related to the evaluation questions consisted of:

- *Online survey.* At the start of the evaluation, a short online survey was posted on SurveyMonkey and distributed to all DO3 implementing partners. Most questions were closed-ended, and the results enabled the team to obtain a quick overview of program issues.
- *Analysis of project data.* Data from the sample activities were utilized by the team to make inferences about operational efficiencies and effectiveness. Given the diverse sectors and range of activities, and the lack of benchmarks, comparative analysis was not possible.

Qualitative methods were used to learn about the DO3 mechanism and activities from stakeholders engaged at every level to enable the evaluation team to arrive at an in-depth, multi-faceted understanding of relevant processes, relationships, and interactions as they relate to the key evaluation questions. Semi-structured KIIs were the main method for collecting qualitative, primary data. Data collection instruments are included in Annex H.

II. SAMPLING

Between 2012-2016, the DO3 portfolio comprises 42 prime partners, including FICCI which manages the Millennium Alliance. Under the Millennium Alliance, there have been a total of 87 grants awarded through four rounds of open competition.

Given the diversity of sectors and dispersed geographic locations of DO3 activities, and the limited timeframe for data collection (two weeks), USAID/India identified several states where there existed a cluster of implementing partners. From this pre-selected list, the team made a purposeful sampling based on the following criteria: (i) mix of sectors, (ii) mix of locations (urban and rural), (iii) balanced mix between IPP and MA activities, (iv) mix of budget size and funding category (for MA grantees), and (v) mix of implementation stage.

In total, the team conducted KIIs with 12 prime partners, 11 MA grantees, and 4 IPP sub-partners. See Annex D for a complete list of interviewees and Annex E for a short description of the sampled activities.

The team also conducted site visits of six (6) programs: IPE Global’s PAHAL, WaterHealth International’s Community Water Systems in Bangalore Slums, Aakar Innovations’ Empowering Women through menstrual hygiene solutions, CLT’s e-Patashale, CKS’ READ Alliance, and Center for Microfinance’s Nurturing Early Literacy. These site visits enabled the team to observe first-hand the interventions being funded and to hold informal discussion with local beneficiaries and stakeholders.

For the online survey, a total of 25 organizations out of 42 completed the questionnaire, representing a 59.5% response rate. Of the 25 respondents, 13 (52%) organizations and activities were not part of the sample for KIIs and site visits. Given the modest response rate of the survey, the results of this quantitative survey are being used mainly to supplement and/or reinforce the qualitative data analysis.

III. SECTORAL AND GEOGRAPHIC COVERAGE

The sampled DO3 activities covered seven (7) states: Delhi, Maharashtra, Karnataka, Telangana, Rajasthan, Haryana, and Uttar Pradesh. The geographic and sectoral breakdown of the sampled activities are illustrated below.



IV. LIMITATIONS

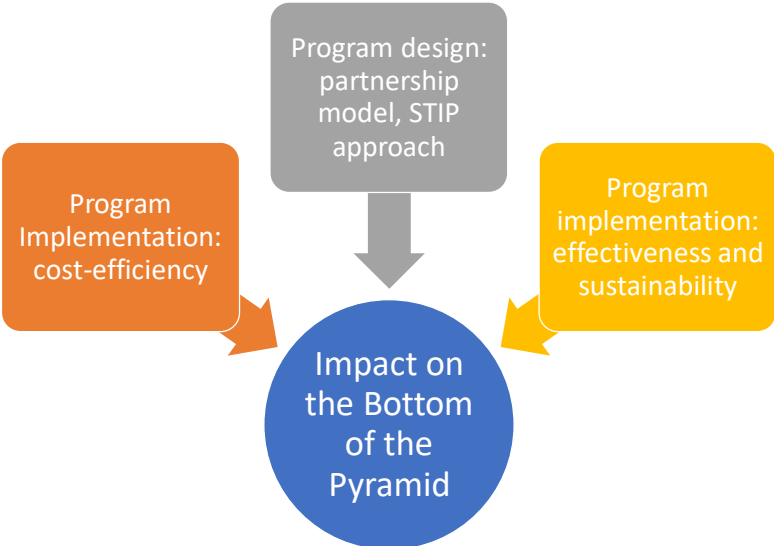
Given the allotted timeframe of three weeks for in-country planning and data collection, most of the findings in this evaluation are applicable to the sampled activities only and should not be projected to the broader DO3 portfolio. Where appropriate, the team has highlighted success factors and/or challenges that may have broader relevance to how USAID/India approaches partnerships and private sector engagement. Specific findings or example about an individual activity/program should be interpreted in the context of the partnership approach and process, and are not meant to make a value judgement on the technical merit or financial performance of the implementing organization.

In addition, the diversity of program activities that are covered under DO3 – in terms of sectoral focus, partnership model, funding level, budgeting – was not conducive to a comparative analysis approach. Hence, the team adapted a SWOT analysis approach to make inferences regarding the effectiveness and efficiency of the different partnership models and approaches utilized.

KEY FINDINGS

The findings of the evaluation are organized along the four evaluation questions, whose content is categorized and illustrated in Figure 1 below.

Figure 1. Analytical Framework for DO3 Evaluation



EVALUATION QUESTION 1. PROGRAM DESIGN: PARTNERSHIP MODEL, STIP APPROACH

Finding 1. Using a variety of partnership models and approaches allows for a wider range of collaboration and provides a useful testing ground for tackling the complexity inherent in development.

Broadly, the partnership models utilized by the sampled organizations under DO3 can be classified into five general models/approaches (Table 1). Each model enabled USAID and its implementing partners to test and scale up innovations or creates an ecosystem for nurturing those innovations. The innovation grant model, as represented by the Millennium Alliance under FICCI, is the most significant of these models both in terms of the size of USAID investment and the number of social enterprises supported. Established as a risk-taking platform, the MA has become an important player in the impact investment space and has grown beyond a program to become institutionalized within FICCI.

The other four models fall under the IPP funding mechanism, which entails a co-creation process and a I-to-I cost-sharing between USAID and the implementing organization. While the design process is different, their operating structure is similar to what one would see in a traditional program. Of these models, the innovation ecosystem (#2) and the innovation capability (#4) models have the highest potential to move beyond being a time-bound project. More details about these models and the associated programs are provided in the findings below.

Table I. Typology of DO3 Partnership Approaches

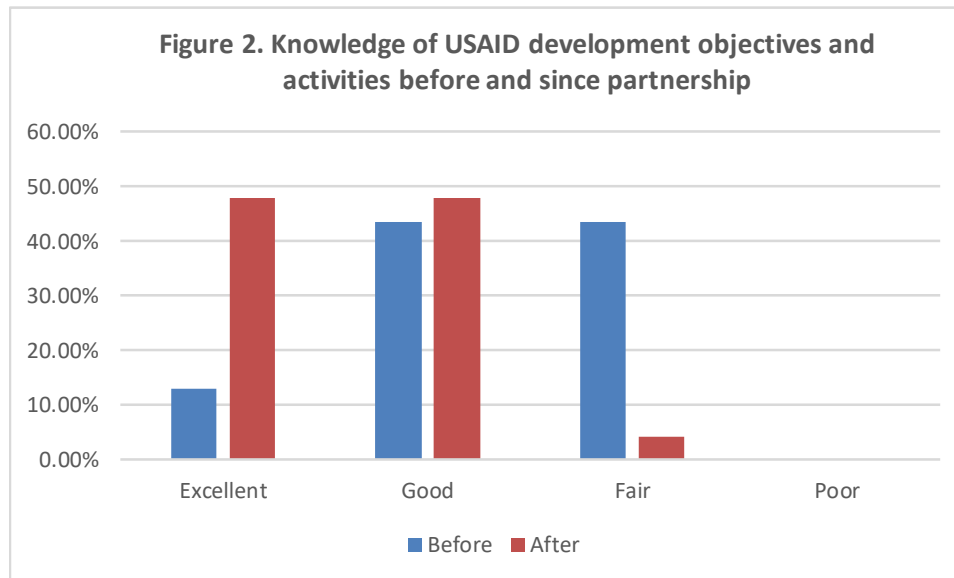
Model/Approach	Objective	Key characteristics	Representative Implementing Organization
6. Platform for funding development solutions through innovation grants	Innovation testing, scale-up, and transfer	Open competition, short-term funding	Federation of Indian Chambers of Commerce and Industry (FICCI)
7. Platform for building market-based innovation ecosystem	Market development, entrepreneurship, investment facilitation, enabling policy environment	Tailored capacity building, adaptive management approach, labor and time intensive	SELCO Foundation, Global Social Benefits Institute (GSBI) at Santa Clara University/New Ventures, IPE Global
8. Direct implementation with NGO/private start-up	Replicate and/or expand an existing intervention, solution	Target at-risk/marginalized communities and geographies	WaterHealth, Skymet
9. Facilitating public sector innovation through intellectual capital	Provide technical assistance and value addition to government	Time-bound project based intervention, task-specific, milestone-driven	KPMG Project Management Unit (PMU), Solidarity and Action Against the HIV Infection in India (SAATHII)
10. Platform for promoting innovation capability	Expand capabilities of local actors to test, implement, and advocate for innovation	Intervention driven, time-bound intervention	Impact Foundation (Dasra), Center for Knowledge Societies (CKS), Center for Micro Finance (CMF), Ashoka Trust for Research in Ecology and the Environment (ATREE)

Finding 2. DO3 partnership models have succeeded in bringing in new implementing partners, especially local organizations and social enterprises with no previous experience with USAID.

Of the five approaches cited above, the innovation grants model (MA) through the multiple grant rounds **brought in a substantial number of new actors into the development sphere**, particularly social enterprises and start-ups that would not have appeared on USAID’s radar screen otherwise. The innovation ecosystem model was smaller in scale in terms of the number of social enterprises included in the platform but the level of intervention tends to be broader and deeper. The direct implementation model enabled USAID to work directly with a private sector entity to roll-out and test innovative solutions. The innovation capability model brought in **new local organizations as prime partners** and through them, expanded the circle of non-profit organizations that benefited from USAID support (both through capacity building and financial support).

Out of the 27 organizations the team interviewed, only four (4) have benefited from USAID support in the past and three (IPE Global, KPMG, CMF sub-awardee Room to Read) have had a direct contractual relationship with USAID. For the majority of the sample, this was the first time they have worked with USAID. For many (8 out of the 12 prime implementing partners), this was the first time serving as a prime implementing partner.

Results from the online quantitative survey confirmed that a majority of respondents (61%) have never worked with USAID before, while 16% had worked as prime implementing partner or grantee, and another 16% were sub-grantees. The survey also showed that the level of knowledge about USAID development objectives has increased among partners as a result of the partnership, with 96% of partners citing that they now have good or excellent knowledge compared to 56% before (Figure 2).



Finding 3. Co-creation of program is resource-intensive but can result in higher level of ownership, accountability, and creativity.

One of the differentiating characteristics of the partnership model is the co-creation of a program, where USAID and the partnering organization(s) align their interest to agree on the development objectives and outcomes of the project, and collaboratively design the technical approach, structure, interventions, and the results framework for monitoring and evaluation. Unlike traditional USAID approaches to programming, co-creation requires **more upfront investment of labor and time** by USAID and implementing partners.

For partnering approaches that entailed setting up of a platform (models #2, 4 and 5), the partners interviewed indicated that the co-creation/design process took at least one year to complete from initial application to award. The co-creation process for programs managed by WaterHealth and Skymet was more streamlined since it entailed direct implementation (model #3), hence the time from application to award averaged 6 months.

The FICCI (model #1) and the KPMG PMU (model #4) partnerships were exceptional cases where USAID played the convening role that resulted in a formal partnership, rather than through a co-creation process:

- For the Millennium Alliance, the discussion around the innovation grant platform was initiated by USAID, who reached out to FICCI as a partner given the entity’s good rapport with the private sector and its existing level of trust. According to FICCI, USAID played a key role in aligning the stakeholders’ interest and with its brand gave credibility and legitimacy to the launch of the platform. The collaboration agreement between USAID and FICCI contains in broad strokes the

goals of the MA and the roles and responsibilities of the respective parties. The details on processes and systems would be established during the implementation stage.

- The Technical Assistance for Swachh Bharat program, implemented by KPMG and the WASH Institute is the result of a MOU between USAID, the Bill and Melinda Gates Foundation and the Ministry of Urban Development. The original objective was highly focused on outputs – such as installing additional public toilets, but has shifted to be more outcome-based over time – for example, reducing the amount of open defecation in target geographies. According to KPMG, the program is aligned along the ‘4Ss’: **S**trategic and aligned to identified GOI needs; **S**peed – special focus is put on rolling out activities quickly and being highly responsive; **S**calability – because of the national importance of the Swachh Bharat initiative focusing on programs that can be quickly rolled out across multiple municipalities is critical; and **S**ustainability – ensuring the buy-in of municipal governments and their WASH offices.

For the other implementing organizations, the overall impression of the co-creation process was generally positive:

- For SAATHII, this was the first time that the organization was applying as a prime implementer with USAID. While SAATHII considers its main strength to be service delivery, particularly in the HIV/AIDS space, the co-creation process with USAID helped the organization to realize the benefits of **expanding its presence and capability in Public Private Partnership (PPP)**. SAATHII appreciated the different perspective provided by USAID, and felt that the co-creation process helped to push the organization outside of its “comfort zone” and ultimately enabled them to design a more innovative program.
- Through initial exploratory meetings between Center for Micro Finance (CMF), Tata Trust and USAID, the three organizations were able to identify early childhood education and preschool as common objectives. CMF and Tata Trust felt that USAID brought important experience to the table and held the same optics on outcome and development objectives. For CMF, USAID was seen not just as a funding partner but a **knowledge and funding partner**.
- For IPE Global, USAID’s strengths lay in its unique capacity and ease in working with both Government of India (GOI) and the private sector to build an ecosystem. USAID was willing to allow PAHAL to develop a platform where it could test different business models to expand private primary healthcare to the urban poor. The organization also felt that there was sufficient **flexibility in the platform** to engage and mobilize new partners.

Benefits of USAID Partnership

There was a consensus among all partners that partnering with USAID has raised their credibility and visibility. The top three benefits cited by implementing organizations and sub-awardees for partnering with USAID were: (i) the USAID network and convening power, (ii) the USAID staff’s technical expertise, and (iii) the USAID’s relationship with government counterparts.

- CMF stated that partnering with USAID shows that there is a high level of trust in the organization due to the extensive due diligence, financial management requirements, and knowledge management.
- Selco stated that USAID has acted as a de facto “marketing agent” in Delhi on policy issues related to energy efficiency at the national and central levels. This was especially helpful since Selco does not have a presence in the capital.
- ZMQ, a MA grantee who has worked with several international NGOs in the past, appreciated USAID’s willingness to partner directly with Indian organizations and to work with non-established groups.

- For Dasra, working with USAID enabled the organization to play a new role of intermediary rather than implementer, where the goal is to build an ecosystem to help build understanding of issues related to adolescent health and strengthen non-profits that work in that area. Partnering with USAID enabled Dasra to bring other donors to the table to expand its existing platform.

Finding 4. Active, respectful, and consistent engagement by USAID leads to a smoother design process.

AORs can be a trusted and beneficial partner in the co-design and implementation process when they act in partnership with implementing partners. Organizations interviewed all noted that the AOR plays a central role in the co-creation/design process since s/he set the tone for the process and can influence the dynamics of the discussion.

The key success factors cited by partners include:

- **Nature of collaboration** – AORs that give the partner equal standing and refrain from taking the lead in the design process will enhance the co-ownership of the program and better results down the line. A higher sense of mutual trust and respect also facilitates continued collaboration throughout the implementation process.
- **Level of responsiveness** – timely response from the AOR on requests and/or clarification questions will not only avoid significant delays in the design process but also minimize the level of frustration among partners, especially when a lag in communication is followed by immediate request for response.
- **Technical consistency** – more consistent and constructive feedback during design process can pave the way for smoother implementation. Internal coordination (both within USAID and the partner organization) can also help to minimize incoherence and misunderstandings.
- **Staff continuity**—having the same AOR or primary contact at USAID was beneficial to most partners in navigating the bureaucracy, especially grantees with no or limited prior USAID experience. Minimizing staff rotation also contributes to improved consistency of communication and technical feedback.

Finding 5. Monitoring & Evaluation (M&E) is not always integrated at the onset and Theory of Change is not sufficiently fleshed out when designing activities.

Among the 12 sampled projects, only one project, PAHAL, had a theory of change integrated into its design, and only 3 projects had developed a log frame/results framework at the onset of the program. For the KPMG PMU, its agreement was designed around milestones and there was detailed reporting of outcomes and impact around each of the milestone, just not in the traditional USAID log frame. The remaining 6 projects developed a M&E framework during the first year of implementation and reported regularly on these indicators. While all partners have received technical assistance and training on M&E from USAID and deem the support to be useful, many also indicated that **continuous support on data collection and analysis throughout program implementation** is also needed.

FICCI acknowledged that the MA platform lacked a structured M&E process in the initial rounds. Part of the reason was the lack of funding for administrative costs for FICCI and the lack of technical expertise. Eventually a local firm TTC was hired as a sub-awardee in 2016 to manage the M&E component. In January 2017, TTC conducted a mid-term review of Round 1 and 2 grantees and found that:

- Nearly 41% of awardees did not have a structured M & E framework and process in place.
- Key gap areas included the absence of a M&E team, lack of clarity in differentiating activities with project output/outcome specific indicators, and no clear methodology for data collection and analysis.
- 31% of awardees (all from Round 2) did not conduct any baseline study prior to starting the project, including 8 for-profit and 1 not-for-profit enterprise. Three (3) awardees (12%) did not provide any details on baseline study while the rest of the awardees (62%) provided varying level of details.
- Almost 50% of all the for-profit enterprises were not able to formulate the ‘theory of change’ for their project.

Conclusion

The STIP approach appears to be consistent with the objective and attainment of DO3 results. By implementing and testing a variety of partnership models and platforms, USAID/India has successfully increased its engagement with the private sector while driving forward its development priorities in India and potentially in other regions. Key success aspects include increased localization of programs and efforts to test innovations that could be scaled in other geographies. In addition, the co-creation process and active collaboration with local implementers enhances local ownership and accountability, and results in more realistic and responsive programming for local developmental challenges. An important improvement to be addressed moving forward includes a more robust monitoring and evaluation system.

EVALUATION QUESTION 2. PROGRAM IMPLEMENTATION: COST-EFFICIENCY

A review of the formal agreements for the 12 implementing partners sampled for the evaluation showed that there was **no standard budget structure for activities under DO3**. Some budgets are broken into categories like personnel, direct costs, and ODCs while others are broken down by milestones. For technical assistance platforms where the bulk of implementation consists of human capital, personnel costs are much higher, ranging from 38% for PAHAL to 76% for SAATHII.

Since each partnership was designed and negotiated collaboratively, the budget was structured to align with the nature of the project activities and to provide more flexibility to the partner. While this makes sense from a technical and contracting level, it is not conducive for evaluation purposes since it is **difficult to make a comparative analysis about cost-effectiveness** based on metrics like overhead costs or cost per beneficiary. The findings in this section cover three qualitative metrics that are used as proxies for addressing the questions of cost-efficiency: (i) start-up time and program expenditures; (ii) administrative burden; and (iii) ability to leverage external funding.

Finding 1. Establishing new partnership platforms means longer start-up time and slower expenditures but can reap rewards down the line.

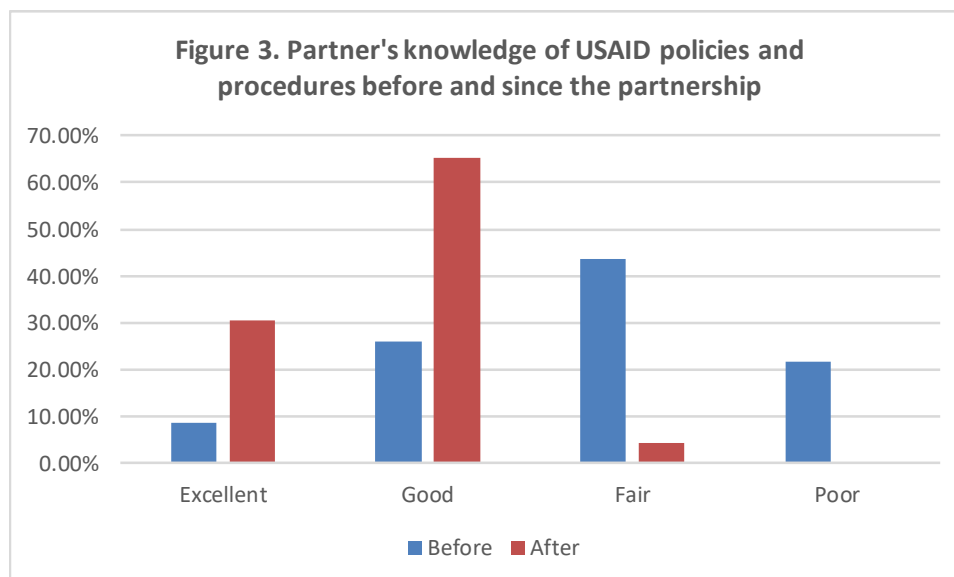
For new platforms, a formation period is critical and a longer runway (more than 5 years) is needed to achieve impact. In this regard, the majority of the five models evaluated, except for the direct implementation (WaterHealth, Skymet) and the KPMG PMU, took at least one year to have some concrete measurable results. The slow start-up is due to both technical and operational reasons.

For agreements that are written broadly, significant groundwork needs to be done at the outset to collaborate with the government to identify the specific activity areas (SAATHII), gather the supporting evidence through research (Dasra, ATREE), and conduct market research and build relationships with the relevant market actors (PAHAL, SELCO, GSBI/New Venture).

On the operational side, innovation grant platforms like the Millennium Alliance have to set up managing structures (e.g. the Strategic Advisory Committee), the rules and policies for grant selection, grant management, and grant monitoring. Innovation capability models like CMF and READ Alliance also went through the same process but also faced additional challenges as new USAID partners since they need more upfront time to establish the required project management infrastructure.

The USAID/India Mission had set a target of 55% of total obligations to be allocated to local organizations in FY 2016. The Mission's PPR for FY16 reported that the actual obligation was 27%, \$29.3 million obligated out of the targeted \$110 million. The primary reason for this discrepancy was due to delays in local awards due to the time required in co-designing and the **lack of local partners' capacity**. For example, CMF's obligation was delayed until their internal systems were certified to be compliant with USAID requirements.

Non-traditional partners have limited knowledge of and capacity to comply with USAID policies and procedures regarding personnel management, contract management, and financial management. The learning curve was high for these new partners but most organizations felt that they received adequate technical support from USAID and their AOR. All implementing partners who are new to USAID received OAA training and also a high level of handholding in developing their M&E framework, branding plan, etc. According to the online quantitative survey, all IPP-funded partners received at least 5 days of USAID compliance training. The survey also showed that the **level of knowledge about USAID policies and procedures increased significantly among implementing organizations**, with 95% ranking their current knowledge as good or excellent compared to 35% prior to the partnership (Figure 3).



Using obligation level and expenditures as metrics can distract from the potential impact that these new platforms can achieve, and the capacity building that local organizations have gained from their partnership with USAID (see findings 2 and 3 below). Partners mentioned that USAID policies and

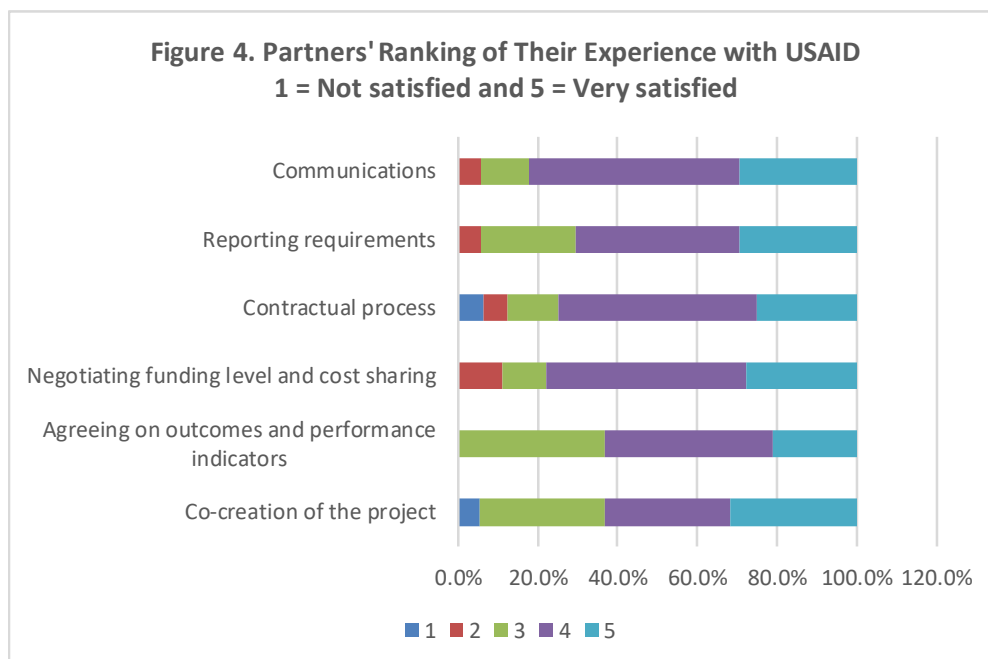
procedures provide the structure to train more of their staff and to instill the importance of good financial and program management practices. Another partner organization stated that in working with private sector, USAID should focus less on burn rate and outputs and adopt a longer view of incremental achievements that will result in wider market development and systemic change.

Finding 2. Administrative burden is higher for USAID and for Implementing Organizations when forming new partnerships.

USAID/India’s initial assumption was that partnering with private sector would reduce staffing levels. In fact, given the capacity issue of local partner organizations discussed above, the administrative burden on USAID staff has been greater than with traditional programs. Traditional programs tend to be more directed and structured whereas the **new partnership models under DO3 require collaboration and co-creation at every stage**, from design to implementation to M&E.

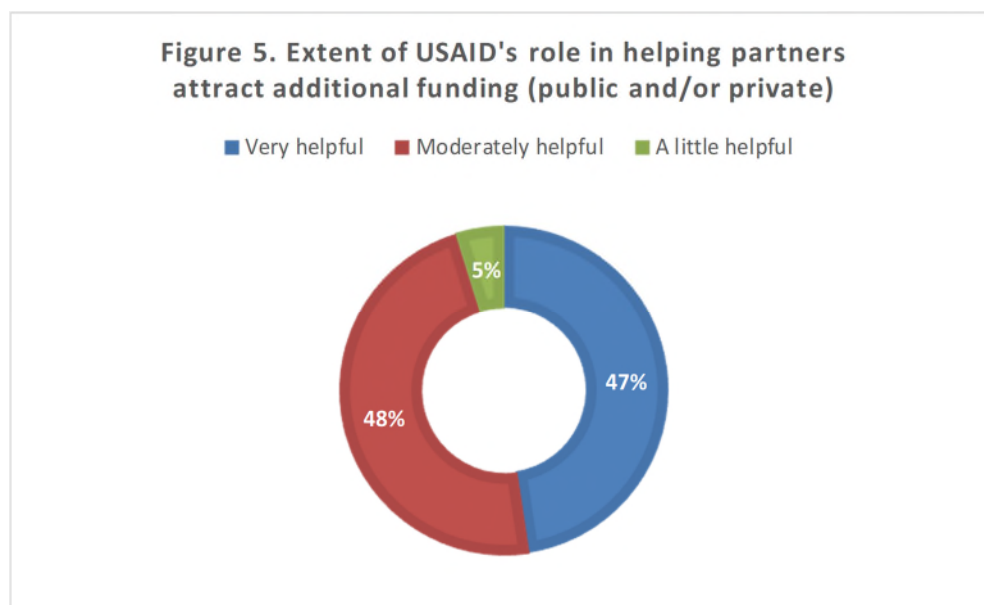
Implementing organizations also face a great level of administrative requirements with USAID than they are usually accustomed to. Nonetheless, most partners interviewed did not see these reporting requirements as burdensome, though a few did mention that the timeline is not always appropriate to program/project implementation realities. Moreover, **USAID requirements on impact measurement are seen as beneficial** beyond the USAID-funded program/project, even if it takes time for new implementers (especially from private sector) to understand benefit, and require more technical support and handholding on the part of USAID.

In the online quantitative survey, respondents were asked to rank their satisfaction with USAID partnership in the following aspects: (i) Co-creation of the project, (ii) Agreeing on outcomes and performance indicators, (iii) Negotiating funding level and cost sharing, (iv) Contractual process, (v) Reporting requirements, and (vi) Communications. As Figure 4 shows, the overall level of satisfaction is quite good, with 60-70% of respondents giving a score of 4 or 5 (with 1 being not satisfied and 5 being very satisfied). The three areas where a few partners scored lower relate to contractual process, negotiating funding level, and reporting requirements.



Finding 3. DO3 activities have successfully leveraged additional funding from external sources (public and private).

While most partners organizations do not have a concrete strategy for attracting external funding, they all agree that the partnership with USAID has helped to open doors. Respondents to the quantitative survey confirmed that **USAID partnership was helpful in attracting additional funding** (see Figure 5).



To date, most of the leveraged funding has been opportunistic so there is potential to harness and unlock additional private sector investments in the future. Overall, the **leverage ratio for the sampled activities are about 2 to 1, with a few exceeding 5 to 1** (MA, KPMG PMU, GSBI/New Ventures, SELCO). Below are some illustrative examples based on interviews and USAID reporting:

- The MA's demonstrated success helped FICCI to attract additional funders and resource partners to the platform. New partners included ICCO Cooperation, ICICI Foundation, UK AID, WISH Foundation, World Bank (Knowledge Partner), and Facebook (Social media linkage – does not put in funds). UK AID confirmed that it joined the MA platform because it was an established vehicle and the presence of USAID provided added legitimacy. TDB has recommended to the government that MA as a platform be supported for another 10 years with double funding.
- Being associated with the Millennium Alliance has helped several grantees attract additional external funding:
 - Aakar Innovations felt that being a MA Grantee raised the company's profile and helped connect with investors and other partners. As a result of the grant, Aakar received new funding from CIDA and was able to use the MA grant as matching funds.
 - Samagra has been supported by grant funding from the Bill and Melinda Gates Foundation, Ashoka Fellowship and Acumen India Fellowship and several awards for implementing an innovative business model for sanitation.

- CLT was able to leverage the MA grant to raise additional funding from Nokia and Cisco to replicate their e-Patashale model outside of Karnataka.
- WaterHealth attracted donors such as Citibank, Tata Trust and Gap Inc. to fund the establishment of 26 WaterHealth Centers in addition to the project's own initial 25 Centers.
- The KPMG PMU-supported study helped 73 cities identify gaps in their WASH plans, prompting the MOHUA to dedicate its own \$1.25 million to expand the survey to 500 of India's largest cities; USAID's initial investment was only \$200,000.
- SAATHII is partnering with the WISH Foundation as part of its activities with the tea plantation in Assam to expand primary health care, and has also begun discussion with Microsoft for potential partnership related to the use of Artificial Intelligence and 3-D training.
- SELCO has received additional funding from Good Energy (\$500k), Doen Foundation (\$500k), Lehmelson Foundation (\$500k), and GIZ (\$350k).
- CKS was able to help its sub-grantees raise US\$ 500,000 from CSR funding.
- Dasra raised nearly US\$5 million (INR 32 crores) through its Dasra Giving Circles for its RMNCH+A alliance partners. The platform is currently working with 41 funders, including 28 philanthropist and family foundations, 12 corporate funders, and one high net worth individual.
- PAHAL is working with two DCA partner banks to leverage \$10 million in financing for private primary care providers.

Conclusion

Due to the diversity of approaches, sectors, and scale of activities, it is not possible to assess the cost-effectiveness of one model relative to the others. The team also did not have sufficient time and resources to determine whether the partnership model is more cost-effective than traditional USAID programming. On the one hand, working with new partners entails a greater level of administrative burden. On the other hand, these partnerships were able to bring new sources of funding that would not have been part of the picture otherwise. Over time, the upfront investment in capacity building for local organizations and strengthening their ability to raise funds would result in a more self-sustaining ecosystem than if USAID were to continue working predominantly with international organizations.

EVALUATION QUESTION 3. PROGRAM IMPLEMENTATION: EFFECTIVENESS AND SUSTAINABILITY

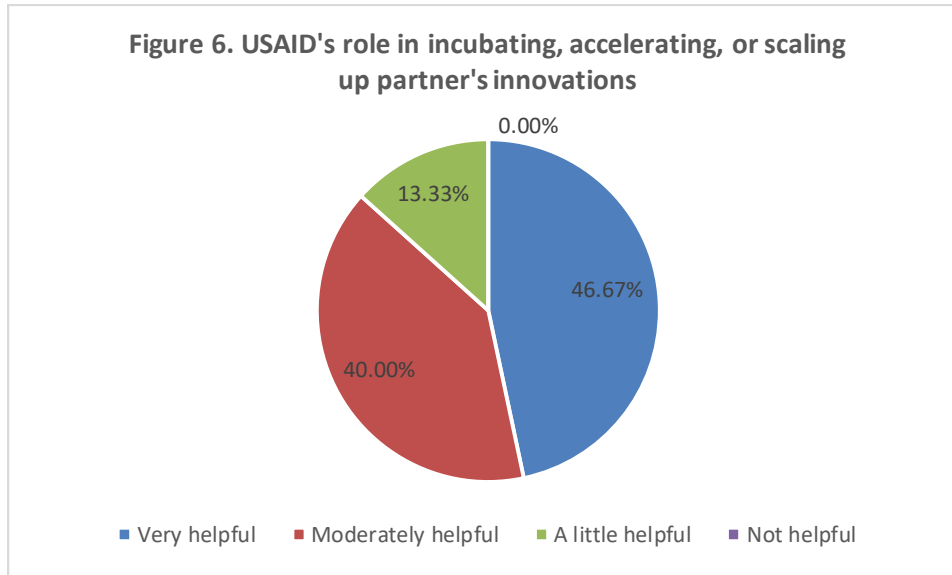
Finding 1. Programs falling under DO3 have been effective in meeting program goals and objectives.

Though the scope of this activity did not include an assessment of non-DO3 programs for a direct comparison, a review of the FY16 Performance Plan Report and individual program progress reports show that programs under the DO3 umbrella have consistently reached or exceeded their programmatic targets. Overall, the sampled DO3 activities exceeded their targets by an average of 71%. Three primary factors stand out as contributing to program effectiveness:

- Nearly all implementing partners are Indian organizations with **close ties to the communities** in which they operate, reducing barriers to trust.
- The ability to leverage additional funds due to the **legitimacy conveyed through the USAID partnership**. In response to the online survey question about the role of USAID in

helping partners to “incubate, accelerate, or scale innovation,” 7 out of 15 (47%) responding organizations deemed USAID to be Very Helpful while 6 out of 15 (40%) deemed the Agency to be Moderately Helpful (Figure 6).

- In some cases, a **higher than anticipated level of buy-in from the local or national government** contributed to increased effectiveness.



Finding 2. Program effectiveness would be enhanced with increased opportunities for communication across programs, platforms, and sectors throughout the implementation period.

Across all DO3 activities, effectiveness would be improved with enhanced mechanisms for communication across programs and internally for programs with multiple partners. A more **intentional knowledge management structure** would improve overall program effectiveness by reducing duplication of effort and minimizing learning curves, while simultaneously creating opportunities for innovative thinking and out-of-the-box partnerships.

Most implementing partners interviewed appreciated the networking opportunity provided by the partners meeting. However, the large number of participants during these meetings can make it difficult to engage in meaningful dialogue and technical discussions. Creating additional opportunities for in-person networking would further enhance the ability of programs to maximize innovative approaches, **enabling learning from diverse actors in different sectors** and creating the relationships that can lead to formal partnerships.

For instance, Samagra, a MA grantee from Round 3, was able to create distributor relationships with a number of other grantees to sell its products through the enterprise kiosks at Samagra-managed public toilets in Pune and other geographies. These relationships provide additional revenue to the women entrepreneurs who run the kiosks, capital for upkeep of the toilets themselves, and a new distribution channel for the partnering social enterprises. However, these connections were made primarily on an ad hoc basis and were actively pursued by the grantee rather than facilitated by FICCI. Maximizing and facilitating these types of relationships would further enhance the effectiveness and scope of the

program while simultaneously contributing to sustainability and innovative thinking.

Creating successful communications channels continues to be a challenge. Although USAID excels at bringing together diverse actors at the macro-level, as is the case with the Millennium Alliance funding partners, there are currently **limited examples of linkages being created across implementing partners** – especially those operating under different technical offices. There is significant opportunity, as noted by partners such as SELCO, SAATHI, and CKS, to share lessons learned and encourage cross-sector partnerships.

For example, significant work is being done in both access to energy and health system strengthening. Many health clinics that primarily serve the poor have irregular access to electricity. Creating linkages between the implementing partners in both programming verticals could create opportunities for collaboration and program innovation that would otherwise be missed. Even within platforms, greater attention should be paid to sharing lessons learned across sub-contractors. This will create efficiencies in program administration and will create opportunities to share lessons learned and best practices in real time to avoid duplication of efforts.

An important success factor of the MA is its ability to bring together a diverse group of funding partners on a regular basis. Both UKAid and the Technology Development Board (TDB) noted that this was one of the greatest strengths of the program and an activity that had benefits beyond the immediate goal of information sharing and decision-making. However, a **similar level of convening is not duplicated on the implementation side among the grantees.** Assembling grantees into learning cohorts, grouping them according to stages of organizational development, sectors, or localities, present opportunities to discover and exploit synergies, thus improving program effectiveness while concurrently creating a network of socially-minded Indian enterprises. Numerous grantees noted that they would appreciate these types of convenings.

With regards to programs under the IPP umbrella, there is a similar lack of informal communication and networking opportunities. This was clear even for organizations operating on the same platform. Facilitating increased engagement across its implementing partners and their sub-contractors will enable USAID's goal of creating innovation platforms which "[use] knowledge in ways ... not used before to generate goods and services for the benefit of the poor."

Finding 3. Providing sufficient resources for program administration is key to program effectiveness.

The Millennium Alliance presents a clear and strong case for the **importance of allocating sufficient resources for program administration.** Through the first two grant rounds, no financial resources were allocated to support FICCI's administration systems and processes. The direct results included:

- slow grant distribution process,
- limited MEL activities, and
- frustration amongst the grantees that were interviewed regarding the process.

Once resources were allocated by the funding partners (approximately 10%), FICCI was able to increase its staffing level and to enhance the capacity of these staff to manage the program, resulting in improved efficiency and program impact.

A similar pattern was evidenced on the grantees' side. In early rounds, portions of the grant funds were

not specifically allocated to training and administration—limiting grantees’ abilities to successfully capture and report on the impact of their individual initiatives. A number of grantees also noted that they did not take advantage of the training programs provided by FICCI free-of-charge because of a lack of resources for travel and logistics. When working with entrepreneurs and early-stage start-ups, specific space must be created for training as all resources will naturally be directed towards growing the business directly – as opposed to building operational expertise.

Programs whose model involved increasing the innovative capability of sub-partners (Dasra, CKS, ATREE, and CMF) also experienced administrative challenges. For example, CKS READ Alliance spent significant time and resources to ensure that its smaller sub-grantee NGOs were able to meet the required level of compliance. In fact, one sub-grantee had to be dropped from the program due to its inability to conform with the standard. CMF and its sub-grantees noted that M&E reporting presented a particular challenge as it requires a shift from purely qualitative methods to a more robust method that included establishing baselines and conducting quantitative analysis—all of which mean more time and resources. As a research project, ATREE remarked that the reporting requirements did not necessarily match the nature or timeline of their research activities, so at time the reporting can become a tedious exercise.

Programs involving a consortium of funders require additional direct resource allocation on the part of USAID to coordinate and facilitate partnerships. This is especially true for initiatives in which there are **multiple partners who might have differing expectations and requirements with regards to reporting** and ultimately different end goals, such as the Millennium Alliance. Both the TDB and UKAid noted that the regular monthly meetings of the Strategic Advisory Committee set out clear agendas and provide significant value and critical opportunities for open dialogue amongst partners. UKAid specifically noted that out of all its initiatives supporting entrepreneurship, MA is the most visible, the most flexible, and the most functional in large part due to the strong working relationship amongst the primary partners. KPMG further noted that the partner ecosystem was a key success factor for the *Technical Assistance to the Government of India for the Swachh Bharat Mission* program and specifically that the regular communication and amongst all partners enabled successful implementation.

Finding 4. Implementing organizations have developed their operational capacity through partnership with USAID

USAID/India has been successful, especially with regards to programs falling under the IPP, in supporting the capacity development of implementing partners and their sub-awardees. Each organization interviewed noted that one of the key benefits of working with USAID is the direct support provided by the Agency to **build the organization’s capacity in Monitoring, Evaluation and Learning (ME&L)**, especially with regards to understanding and developing key tools and processes, such as logical frameworks and improved reporting standards. Organizations also noted that USAID’s requirements with regards to financial management and reporting, while challenging to learn initially, are ultimately highly beneficial to improved organizational management and ultimately in enabling them to access additional sources of funding – fueling both effectiveness and sustainability.

In addition to the development of organizational capacity, several implementing partners have **expanded into new areas of operation as a direct result of their USAID partnership.**

- ATREE leveraged its core strength in research to offer value-added activities such as enterprise development for non-timber forest products and improved cookstoves. The partnership with USAID helped the organization to validate the linkage of scientific research to community action and income-generating activities for preserving forest resources.

- SAATHII was able to move into the role of coordinator and facilitator of partnerships between the Government of India and the private sector with regards to service improvement and delivery. Furthermore, the day-to-day operations have improved across the organization due to regular contact and support from the AOR.

This type of diversification at the organizational level, especially for highly successful implementers, should not be overlooked as a significant impact of DO3, especially with regards to continued efforts to localize implementation partners. However, it is important to also note that this diversification does slow direct beneficiary impact during the initial implementing period as the learning curve can be steep and can lead to inefficiencies at program start-up.

Millennium Alliance grantees also noted that reporting requirements, though often seen as challenging initially, are ultimately beneficial to them in showing the efficacy of their product or service. While showing a return on investment is standard business practice for any enterprise, social or not, the need to show social impact is often less well-understood – but is a critical component of a successful social enterprise. Grantees noted that participating in trainings in which USAID and World Bank acted as subject matter experts, were beneficial, but additional and more direct technical assistance would have enabled even greater impact.

Finding 5. There is an opportunity to maximize organizational development and better prepare social enterprises for operating with more diversified funding and in a more competitive environment.

Training and capacity building related to USAID policies and procedures is critical for successful program administration. However, for longer-term sustainability, most implementing partners will need additional support around organizational operations such as financial modeling, marketing and fundraising, and strategic and business planning. This level of capacity building will be especially critical as USAID moves beyond direct funding, and organizations must explore diverse funding avenues with the private sector and other donors.

Social enterprises receiving grants under the MA also consistently noted that they would benefit from additional capacity building and, more importantly, mentorship from experienced business people. While grantees can proactively seek out mentorship, there is no systemic process within the MA to link grantees to this type of support. In working with start-ups and growing businesses, especially social enterprises, structured opportunities for technical assistance and mentorship should be built into the program.

Finding 6. The Millennium Alliance’s grant selection process is perceived to be cumbersome and complex to certain grantees, and improvements in communications and outreach may be useful in managing applicants’ expectations.

The Millennium Alliance has been successful in seeding local and market-based innovations for developmental challenges and is viewed by many as an important platform for supporting social enterprises in India. Through the multiple rounds of grants, FICCI and the MA’s funding partners, particularly USAID, have been pro-active in learning, adapting, and tweaking its grantmaking approach. Nevertheless, grantees interviewed indicated that a number of aspects can be further improved:

- The lack of information about the amount of grant funding available for each sector can be discouraging to applicants.

- The absence of a constructive feedback loop to unsuccessful applicants, especially to those who were invited to submit a full proposal or to a pitching session, as to why their proposed activity was not selected misses an opportunity to broaden the program’s impact beyond successful applicants.
- There is unrealistic expectation that true impact at the BOP can be achieved within the 12 to 18-month implementation timeframe of the grant.
- Most grantees would benefit from the opportunity for interim funding and/or direct assistance in seeking private investment opportunities.
- The grants administration process is overly complex and disbursement of funding can take too long, especially considering the highly dynamic environment in which many early stage social enterprises operate.

Finding 7. Programs where an implementing partner acts as an intermediary with and builds the capacity of the GOI to support its high priority goals are highly effective.

Programs that are demand-driven are more effective and have a greater potential for sustainability. Two of the programs that have the most significant successes include the *Technical Assistance to the Government of India for Swachh Bharat Mission* implemented by KPMG operating as a Program Management Unit (PMU), and the *Promoting Public Private Partnership Stewardship for RMNCH+A Project*, implemented by SAATHI.

Both programs are designed to provide the Government of India, at the national and local levels, with the tools it needs to successfully implement high profile initiatives in WASH and health system strengthening respectively. The SAATHI program assisted in developing technology and capacity solutions for the Ministry of Health that can ultimately be rolled out at the national level, and across both private and public health systems, all for a modest investment of US\$300,000. Both these programs also represent a high degree of flexibility to respond to GOI needs as they arise. The sustainability of both initiatives, which cannot be determined at this point in time, is predicated on the assumption that the GOI will continue to utilize the systems and processes following the end of the program implementation period.

Conclusion

As a whole, DO3 implementing partners in the sample have effectively implemented their proposed activities and have met or exceeded their performance targets. Key success factors for their effectiveness are (i) the capacity building provided by USAID in program administration and financial management, (ii) the partner’s presence in the local communities in which project activities are being rolled out; and (iii) the partner’s ability to build relationship with and respond to GOI interests and needs. Improvements are needed in the areas of knowledge management and communications, cross-platform and cross-sectoral linkages, and organizational development, to further amplify the effectiveness of these programs.

EVALUATION QUESTION 4. PROGRAM IMPACT AT THE BOP

Finding 1. There is limited evidence that programs and initiatives classified under DO3 are significantly more scalable or sustainable than traditional USAID programs in creating change for the population at the Bottom of the Pyramid.

For most programs reviewed under this evaluation, it is too early to determine if there will be long-term impact on their target populations as a result of the interventions or through the market-based solutions they put forth. Understanding adoption of new practices over time and the resulting behavior change will require a longer-time horizon and more rigorous research methods. For Millennium Alliance grantees, the short-term nature of the grant and the modest funding amount pose challenges in terms of attribution. Likewise, the lack of a Theory of Change for the majority of the sampled programs also makes it more challenging to measure impact.

Challenges facing the BOP tend to be systemic. However, the sampled DO3 programs remain, for the most part, siloed in that they seek to address one specific development challenge. For instance, targeting Early Grade Reading simply through a program that improves teachers' capacity and provides additional resources at the school level may overlook other issues impacting children's ability to learn – such as poor nutrition and limited school infrastructure. In another instance, Skymet provides needed climate and weather forecast information but is unable to provide commodity market price information that are also demanded by farmers. The majority of the sampled programs did not adopt a truly cross-sectoral approach to development.

Several of the sampled implementing partners and MA grantees noted that macro-economic issues, such as demonetization, had a disproportionately negative impact on their success. For initiatives that are seeking market-based solutions directed at the poor, demonetization was an especially significant and unanticipated challenge. The resiliency, or lack thereof, of BOP populations should be taken into account when assessing program impact. Similarly, for agriculture programs, the volatility of climate systems has an impact on BOP farmers – especially those that rely on rain-fed agriculture. It is challenging to fully account for these risks and how to mitigate them during the program design phase, but they should be taken into account.

Finding 2: The Millennium Alliance is successful in supporting individual interventions and acting as a proof of concept, but it is unclear if this support will translate into broader market-based solutions without longer term support to grantees and/or increased facilitation of financing options.

While the legitimacy inferred as a Millennium Alliance grantee helped social enterprises to leverage over \$5 million in additional resources across Rounds 1 and 2, it is unclear how this will translate into long-term scalability for most of the grantees. It is unclear from available documentation what the breakdown of these funds are across additional grant funding or debt or equity investment, calling into question the sustainability of the enterprises without continued grant funding – a challenge for many social enterprises globally.

Finding 3: Most programs have no systematic approach to attracting CSR – practice has been ad-hoc and opportunistic rather than strategic and integrated into program design and administration.

Engaging with the private sector is critical to long-term sustainability for many social impact initiatives as donor funds continue to be reduced. The 2% CSR requirement in India⁵ provides a prime avenue to

⁵ In April 2014, a Companies law was enacted whereby businesses with annual revenues of more than INR 10 billion rupees (US\$ 131 million) must give away 2% of their net profit to charity. Areas for investments include education, poverty, gender equality, and hunger.

engage the private sector, however, there is no existing strategy to do so in any formal way. Dasra, who counts over 40 funders as part of its Giving Circle, stated that it preferred to work with family foundations and private trusts. Even those programs with the direct mandate to engage the private sector did so on a primarily ad hoc basis or based on existing relationships. For most implementing partners, especially local NGOs, this is not a sustainable approach to seeking additional support and funding. Many partners recognize that the number of companies that fall under the CSR requirements is large but philanthropy remains relatively “new” in India and for most corporations, and limited enforcement of the rule means companies have little incentives to proactively seek out organizations with funding needs.

Finding 4: Early engagement with the Government of India is critical to sustainability and scalability.

For most DO3 programs, engaging with and getting the buy-in of the Indian Government at either the national, state, or even local level will be critical to continued impact and scalability. Except for those programs in which engagement with the government is integral to program implementation (SAATHI, WaterHealth, KPMG PMU) and design, there is little formal strategy to engage the GOI at any level. This is most evident with regards to the two initiatives targeting Early Grade Reading at government schools. For the most part, interventions are focused at the individual school level, and it is unclear how uptake of the interventions will be encouraged more broadly. It is anticipated that schools and communities will see the benefit of the interventions and take ownership themselves or that the state government will adopt the practices. However, there is no clear strategy to drive forward this goal.

Finding 5: Gender not consistently or systematically integrated into program implementation - assumption that targeting female beneficiaries means gender issues are taken into consideration, but there is limited focus on involving women in program at different levels

Gender inclusion is a key component across all programs surveyed. However, this does not necessarily translate into a true gender integration strategy. Most programs continue to focus primarily on output-based indicators with regards to gender and do not assess the behavior change required for true integration which generally requires a more intentional approach and one that engages males in active behavior change.

- It is a global challenge for female entrepreneurs to access private investment funding. USAID is well-placed in India to structure programming in such a way to encourage women entrepreneur’s improved access to investment opportunities. However, the two programs that are best placed to do so, the Energy Access Investment Readiness Program and the Millennium Alliance, do not have specific metrics regarding female entrepreneurs and their inclusion in the programs. Rather their gender-related targets focus on beneficiary populations.
- Though WaterHealth noted that women-run WaterHealth Centers are on average better administered than those run by men, there is no clear strategy for engaging more women in this role, nor are there corresponding impact indicators. Though these water centers have shown themselves to be cleaner and better run, there is no formal effort to recruit and empower more women into these positions and only 30-35% of the WaterHealth Centers in the program geography of Bangalore are operated by women.

Conclusion

It is premature at this point to determine the type of impact that the sampled DO3 activities have in

affecting behavior change and improving development outcomes at the BOP. More rigorous research methods and integration of the Theory of Change by projects are needed to measure impact. Anecdotally, the siloed nature of the sampled DO3 activities seems to imply that the program's impact may not expand beyond the targeted communities, unless there was explicit GOI support for such intervention at a systemic level.

RECOMMENDATIONS

I. PROGRAM DESIGN

Recommendation 1. Partnership Approach: shift to a more focused portfolio of partnerships to reduce USAID management burden and deepen impact

From 2012-2016, USAID/India has experimented with a range of partnership models and approaches to promote innovations for the Bottom of the Pyramid. It was a “let a thousand flowers bloom” approach that effectively signaled to the private sector – for-profit, social enterprises, and non-profit—that USAID was “open for business.” The testing phase for DO3 should now pave the way for a *consolidating and deepening* phase where the Mission can channel its investments into a more targeted portfolio of activities.

The issue is not which partnership model or approach is “better,” or to standardize or reduce the types of models being used. Rather, there should be more rigor in assessing the partner’s strengths and capabilities and their proposed model for reaching the BOP. As each partnership is unique, it is important for USAID to continue its practice of designing exploratory meetings with partners that start from the basis of shared value and the value addition that each party brings to the partnership.

To reduce administrative burden, USAID should consider working with strong backbone organizations that can simultaneously facilitate program administration amongst the local organizations undertaking actual implementation and build their capacity to scale and continue work beyond the initial program timeline. Ideally, organizations providing backbone support to complex partnerships should have a pre-existing understanding of USAID policies and procedures and should have strong capabilities with regards to organizational capacity building, with sufficient resources reserved for the backbone entity to provide the training and support needed. This will enable USAID to act in the role of a technical advisor as opposed to a program administrator.

Recommendation 2. Further enhance MA’s grant selection process and strengthen its capacity for entrepreneurship development

While the MA platform has already instituted substantial adjustments to the grant selection process with each round of competition, further improvements to increase transparency and impact include:

- Provide the opportunity for applicants to receive feedback on their failed grant application, specifically those who were invited to submit a full application or to pitch their intervention. There should also be better communication regarding the amount awarded where there is a significant difference with the original amount requested.
- Create a feedback loop so lessons from each round are incorporated into subsequent rounds
- Include more business and subject matter experts in the selection panel and engage them earlier in the evaluation process so their perspective on the technical merits and feasibility of the innovation can be fed into the selection decision.
- Consider more targeted and larger investments in a few initiatives over a longer time frame. For example, design grant rounds around specific themes, regions/sites, etc.

- Invest in an incubation period prior to formal grant award to ensure social entrepreneurs develop a viable business model from the start.

Recommendation 3. Integrate entrepreneurship and business strengthening into program design

Private sector engagement is more than just financial support. As mentioned previously, USAID's role as a convener, facilitator, and knowledge partner sets it apart from other donor organizations. Besides funding innovations, USAID/India should invest more resources into promoting entrepreneurship and managerial capabilities of social enterprises and start-ups, leveraging other in-country entrepreneurship efforts and platforms such as PACE (Partnering to Accelerate Entrepreneurship).

The current cohort of social enterprises and start-ups is often more focused on the R&D and marketing aspects and sometimes neglect the fundamentals of business management – financial management, personnel management, operations, etc. The challenges faced by MA grantees and IPP implementing partners in meeting USAID report requirements are evidence of the limited operational capacity of these enterprises. If these enterprises are to evolve, they will need to have increased bandwidth to plan and manage expansion, develop diverse relationships with donors, investors, government, etc.—all of whom will have different expectations and requirements. This means having the appropriate organizational structure, staffing, and systems to respond. Future partnerships should be designed to support not only the intervention/innovation but the organizational development needs for the business to thrive.

Recommendation 4. Ensure consistent integration of Theory of Change and M&E into program design

USAID/India should ensure that during the co-creation process, partner organizations are able to define and communicate the Theory of Change for their program. This is particularly important if the program is to demonstrate impact at the Bottom of the Pyramid. There should be some reflection at the design stage on how the program's objectives and approach would lead to benefits, change, and gains for the target beneficiaries. Beyond the one-off M&E training already provided to implementing organizations, there is a need for continuous support and feedback from program design through implementation. The Mission should consider a buy-in to central level M&E mechanisms where dedicated technical expertise can be made available to guide and support implementing organizations throughout the entire process.

Recommendation 5. Ensure consistent gender integration throughout DO3 activities

Partnership design should ensure that gender is integrated at every level of the program—from program staff, to tools and materials being developed, to program beneficiaries. A gender analysis should be integrated upfront to evaluate organizational policies and procedures, technical competency of staff, design and implementation of activities, and project results outcomes (See Annex F for a country case example). Reporting should go beyond disaggregating data by gender to include qualitative analysis on issues related to gender empowerment and equality. Indicators and targets should include an analysis of the results, especially when targets were not met, and what actions can be taken to improve the results.

USAID/India can facilitate a collaborative training workshop for AORs and partner organizations on gender mainstreaming, and/or hold a learning event so that implementing partners can exchange experiences and challenges around this issue.

II. PROGRAM IMPLEMENTATION

Recommendation 1: Create intentional opportunities for greater knowledge sharing, virtual, and in-person networking among DO3 implementing partners, and between DO3 platforms and more traditional programs.

Across all programs surveyed, there was a clear request for greater opportunities to network with other implementers (or grantees on the part of the MA). USAID should consider structuring formal opportunities for implementing partners to meet and share their successes and challenges. These can be structured across sectors in a specific geography or they can be sector-specific but with a broader geographic focus.

In addition to in-person meetings and convenings, all programs would benefit from a virtual platform on which to communicate, share best practices, and learn from USAID. A platform such as this could further serve as a means to provide on-demand trainings to implementing partners on USAID compliance, policies and procedures in line with the Agency's overall USAID Forward initiative.

Recommendation 2: Develop a regular schedule of trainings on USAID policies, procedures, and compliance.

A number of partners noted that while participating in USAID-facilitated trainings was beneficial, they were not offered on a consistent enough basis and they did not allow for a range of employees to participate. Trainings should be offered on a regular basis and/or a Training of Trainers program should be initiated to create champions at individual organizations.

Recommendation 3: Engage the private sector as pro bono consultants and mentors to build the capacity of beneficiary social enterprises and implementing partners alike.

The vast pool of managerial talent and human capital that exists within private companies inside and outside of India is an untapped resource that USAID/India should explore. Employees from private sector companies bring a wealth of expertise to bear with regards to common challenges faced by social enterprises and non-profits alike. As is evidenced by the Energy Access Investment Readiness Program and comments by a number of MA grantees, access to this type of support can be game-changing.

Global Health Corporate Champions

The Global Health Corporate Champions is an activity of the U.S. Agency for International Development's (USAID) Global Health Fellows Program II, which is implemented by the Public Health Institute and addresses immediate and emerging human capital needs in the global health sphere. This innovative, collaborative approach brings together the diverse perspective and talent of the public, private, and social sectors to address high priority health issues.

Thirteen professionals from SAP, The Dow Chemical Company, PIMCO and WE Communications spent four consecutive weeks during February and March 2017 in Accra, Ghana, providing pro bono support to four local clients – all current or recent USAID implementing partners, focused on key public health issues: Coalition of NGOs in Water and Sanitation (CONIWAS), the Nneka Youth Foundation, Hope for Future Generations (HFFG), and the Ghana Registered Midwives Association (GRMA). Teams of 3-4 participants worked with host clients to develop long-term strategic plans, alternative sources of funding, integrated communications and sound information technology approaches.

In addition to the multinational corporations with pro bono consulting programs, a number of Indian businesses either currently have or are in the process of developing programs. These programs are highly cost effective as the private sector partner generally pays its employees' expenses. They also create avenues for future engagement and partnership with the sponsoring companies by creating internal champions for the good work being done by host clients. There are existing mechanisms for engagement, including the recently released VISP APS and the Global Health Corporate Champions (see text box above) that can be used to engage private sector human capital.

Recommendation 4: Explore opportunities to fund platform programs that address multiple community-challenges across USAID sectors.

As previously noted, the issues that negatively impact the population at the Bottom of the Pyramid are systemic – challenges in accessing sufficient nutrition, which negatively impacts children's ability to learn, are often driven by a lack of economic opportunity or poor agronomic practices. Addressing only one piece of this system will not lead to sustainable outcomes for the community. USAID has the opportunity through the platform model to work with a number of local organizations that bring different types of expertise to the table to address the complex challenges facing the Bottom of the Pyramid. The focus on working with and through local organizations will lower barriers to impact and will contribute to continued localization of programming. It will also enable USAID to serve as an incubator for these organizations and support them in building their operational capacity.

Recommendation 5: Maximize opportunities for implementing partners and grantees to network with the GOI and integrate GOI engagement strategies from the beginning of program implementation.

Successful engagement with and adoption of interventions by the Government of India will be critical to the ability of DO3 program activities to reach the BOP. Creating formal showcases of programs and facilitating listening sessions between representatives from the GOI and implementing partners will ease communication and will encourage a supply and demand approach. See Annex G for a country case example.

III. CONSIDERATIONS FOR THE NEXT CDCS

While the original scope of the evaluation does not require the team to make specific recommendations regarding the next CDCS, the following are some factors that the Mission may wish to consider as part of its deliberations and planning.

Recommendation 1: Both the IPP and the MA are valid mechanisms to test innovative partnership and intervention models and should be continued in future CDCS

Though the assessment did not allow for direct comparison of DO3 activities against more traditional program approaches and funding mechanisms, it is apparent that activities undertaken under both IPP and MA drive forward a number of objectives which are important to the Mission in India and USAID more broadly, including increased localization of programs and efforts to test innovations that could be scaled in other geographies. For the programs under the IPP, the aspect of co-creation and actively engaging local implementers makes for programming that is innately more responsive to the challenges

and opportunities inherent to local challenges. Because IPP models require local implementers to operate within the structures of a USAID-funded program, it further enables their organizational development, making them more efficient and sustainable over time. Similarly, the MA seeks to find local solutions to local challenges that engage a market-based approach. The partnerships with other bi-lateral development agencies, Indian entities (i.e. FICCI and TDB), and private sector players in the development space make it a potential model for other geographies that seek to distribute risk, improve cross-sector partnerships, and empower local entities.

Recommendation 2: Integrate planning for sustainability from day one and consider longer term funding for successful initiatives.

To ensure the sustainability of platforms, planning must begin from the moment of program launch. Consideration should be given if there will be a continuing entity, if so what its role will be, and how the partners will benefit from this type of central administrative entity. Certainly, small organizations would benefit from shared services that could be provided by a central platform organization, but it is critical to understand where they see the value and then to work towards creating a format that works for all parties.

Recommendation 3: Actively seek to better understand how implementing partners can provide value to the Indian private sector and their CSR engagement strategies, especially in relation to the 2% Law.

As with the public sector, a clear and open dialogue is critical to understanding how USAID programming can provide added value to corporations. USAID should continue to participate actively in CSR conferences and other convenings where the private sector will be present – this should be as much of a listening exercise as an opportunity to present ongoing programs. It is also critical that the learnings from these convenings be disseminated within the Mission through cross-functional knowledge sharing sessions and other means as appropriate. USAID should also take advantage of its reputation as a strong convener in India to host its own sessions – focused on specific geographies or topics as appropriate.

It is also critical to understand where the private sector seeks to invest. USAID should continue to scan the market landscape to understand which private sector companies – both Indian and multinational – are engaged in or interested in areas that align with USAID’s funding priorities. For example, a number of multinational corporations, including JPMorgan Chase, IBM, and SAP have structured much of their CSR strategy around workforce development – targeting different strata from early and secondary education, through technical and vocational training. Even if there is no direct overlap since USAID’s education funding is focused on early grade reading, it is possible to explore complementary approaches that can help improve education outcomes at a systemic level.

Successful partnership with the private sector will be a result of both partners bringing their unique expertise to the table and building on that to create greater value. USAID/India should consider developing an organizational strategy for engagement with clear targets and performance indicators. A similar approach can be utilized at the program level, but should be developed as early as possible in the implementation period.

Recommendation 4: Continue to foster a culture of innovation and risk-taking across all offices within the Mission, where staff are incentivized to learn from innovations that do not reach their objective.

USAID/India has been at the forefront of integrating the STIP approach into their CDCS. The Millennium Alliance and innovation ecosystems platforms like PAHAL, SELCO, and New Ventures have effectively used market-based mechanisms and leveraged donor funding to engage and strengthen social enterprises in India. In the team's discussion with Mission staff, it is clear that there are differing perspectives on what defines innovation and the level of acceptable risk-taking among those in the program office and the technical offices.

The very nature of innovation is that it does not always succeed or it succeeds only in specific environments. Failure of interventions to reach their goal is a challenge for any donor, but the key to truly fostering innovation is developing a comfort with the potential for failure and creating the infrastructure to learn from these failures. If USAID/India's strategy is to foster an organizational culture that is based on innovation and private sector partnerships, the right incentives structure needs to be in place. The Mission could consider reserving a portion of funding for a pure innovation fund with the expressed understanding that up to a certain percentage (80%) of the ideas tested could not reach their targets. This could be done within the framework of an ongoing or existing partnership model, and is not meant to encourage an unstructured approach to partner selection. Making the learnings from these activities broadly available across not only the Mission, but across USAID and beyond will help to further establish the Agency as forward-thinking and innovative.

ANNEXES

ANNEX A: MINI CASE STUDIES OF SELECT DO3 ACTIVITIES

Mini case study #1: Facilitating Innovation within Public Sector using Private Sector Expertise

Implementing Partner:	Solidarity and Action against the HIV/AIDS Infection (SAATHII)
Project Name:	Sambhuya—Promoting Public Private Partnership (PPP) Stewardship for RMNCH+A
Implementation date:	June 2015- May 2019
Total Award Amount:	\$4,992,251 – of which USAID funds \$ 4,709,935 and SAATHII's leverage is \$282,316

Organization background:

Founded in 2000, SAATHII's mission is to strengthen the capacities of individuals and organizations working on HIV prevention, care, support and treatment, and sexual and reproductive health interventions in India through information dissemination, networking, operational research, advocacy, training and other technical assistance services.

Project description:

Project Sambhuya aims to reduce maternal and neonatal mortality and increase in uptake of modern contraception through strengthening of government and private sector stewardship. The program has five activity areas:

1. Improve quality at 1,000 facilities through linking patient feedback to quality improvement systems
2. Improve the quality of family health (FH) services provided by informal and AYUSH providers
3. Demonstrate and disseminate effective engagement of private providers in improving access to quality antenatal care services at public health facilities
4. Demonstrate a sustainable model of improving access to quality FH services in a group of tea gardens in Assam
5. Develop and roll out a technology based solution for planning and monitoring of FH programs

Key achievements (as of June 2017):

- The Mera Aspataal patient feedback application was rolled out to a total of 800 public and private health facilities, including 150 hospitals. Of the 19.5 million patients who have visited these hospitals, 5.9 million had a valid phone number that could be reached by the application, and 0.6 million provided feedback.
- Based on the successful adoption of Mera Aspataal, the World Bank's Output-Based Contract with health facilities will incorporate the Mera data as one of the markers for vendor payment.
- Provided onsite support to 2-3 states for roll-out of the Pradhan Mantri Surakshit Matritva Abhiyan (PMSMA) program, in which private health practitioners volunteer to provide ante-natal care (ANC) at public health facilities facing a human resources gap. Piloted information technology-based application for tracking and follow up of high-risk pregnant women.

Key take-aways:

- The Sambhuya cooperative agreement was designed to provide a flexible platform through which USAID and SAATHII can respond to the emergent needs of the MOH. In a way, the program has broad objectives and operates more like an IQC or LWA (without the associates).
- SAATHI provides human capital and supports the development of appropriate structures at the institutional/governmental level, with the private sector tasked with taking programs to scale
- Initiatives are demand-driven from the GOI perspective so the government has really taken ownership to build a demonstration model on a small scale that can eventually be rolled out more broadly. For instance, for Mera Aspataal, the state government paid for staff training and materials and in the future, the MOH will take over the cost of direct calls to patients.
- SAATHII has effectively played the role of a neutral third-party facilitator
- Each of the five activity areas entailed a separate process of co-creation so the level of engagement required by USAID and SAATHII is quite intensive at the beginning of the program. However, SAATHII maintains a very lean operation and flat organizational structure so the estimated cost of each activity areas is only around US\$300,000.

Mini case study #2: Planning for Sustainability – Lessons Learned from two e-Learning Program

Implementing Organization	CLT	Planet Read (PR)
Project Name	e-Patashale: Low-cost innovative e-content for STEM K-12	READ Alliance
Funding Window	MA	IPP, sub-awardee to CKS
Implementation Date	September 2013 – June 2016	July 2016-July 2018
Total Award Amount	US\$215,000 (INR 1.4 cores) ^a	US\$ 206,000 (INR 1.24 cores)

^a Using an exchange rate of US\$ 1 = INR 60

Project Description:

Both CLT and Planet Read are testing models using simple technology solution as a platform for enhancing learning outcomes – CLT focuses on STEM while Planet Read focuses on early grade reading.

CLT received a grant from the Millennium Alliance to scale up its e-Patashale model, a STEM curriculum using low-cost localized digital courseware for grades K-12. The content is modular, consisting of short videos lasting 8-10 minutes each, accompanied by worksheet and lesson plans. Materials are meant to be complementary to existing textbooks, so teachers are expected to use e-Patashale alongside traditional blackboard teaching. The technology is simple Plug & play – only hardware needed is a solar- powered TV, wireless mouse, Android device and SD Card for offline environment.

Planet Read specializes in the use of audio visuals aids to enhance learning - use storytelling, role playing, and song-based approach. Planet Read received a two-year proof of concept grant through the READ Alliance managed by CKS to develop instructional materials for classroom teaching focused on early literacy. PR partnered (through a sub-grant) with SAAD (Society for All Around Development), a collaborative of 9000 teachers which manages childhood centers and places teachers within schools all over India. Rollout is done through 2 models:

- Direct implementation of instructional materials - dedicated classroom within a school, equipped with a flat screen TV and taught by a SAAD teacher
- Outreach partners - make content available to other organizations working in the early reading space and allow them to integrate into their own work without any conditions or direct involvement.

Key Achievements:

Planet Read is on its second year of implementation, with the first year focused on content development. CLT recently concluded its grant with MA.

CLT	Planet Read
K12 curricula reaching 300,000 children, 10,000 videos, over 12 e-books	Created 40 modules rolled out in 6 schools in Delhi
Improved learning outcomes: <ul style="list-style-type: none"> • 70% improvement in student attentiveness • 65% improvement in recall 	<ul style="list-style-type: none"> • Increased participation by children in the classroom • Improved student attendance and enrollment

<ul style="list-style-type: none"> • 72% improvement in overall class experience, including teachers • Math: Over 70% of students are able to recall terminologies; 90% of the students developed the skill of using geometrical instrument accurately and problem solving. • Science - 65% are able to understand concepts from diagrams and experiments and can answer questions about them. 	
<ul style="list-style-type: none"> • New partnerships with Menda Foundation, SELCO Foundation (solar-powered devices), Rotary Districts Himatsingka seide, Boond Technologies, and Digital Empowerment Foundation 	

Key Take-aways:

- CLT and Planet Read both implement technology-enabled solutions to improve quality of education in government schools. The programs funded by USAID (through grants) are similar in terms of funding level, and program duration. However, CLT is clearly on a defined path towards sustainability whereas Planet Read remains at an experimental stage.
- The key is that CLT had a strategy and vision for post-grant funding. With MA funding, CLT was able to accelerate content development and have a tested model ready to be shopped to new partners. Through the MA grant, CLT had already formed partnership with SELCO to provide solar-powered TVs to the targeted schools. The organization was able to further leverage this relationship to attract additional new partners. CLT is now expanding its product into several states outside of its home base of Karnataka with these new partners.
- Planet Read’s grant through CKS focused purely on the proof of concept and the randomized control trial, with no clear plans for future iteration, replication or scale-up of the approach.

Mini case study #3: Entrepreneurship Development and Investment Facilitation for Energy Access Firms

Implementing Partner:	New Ventures-Regain Paradise Consulting/Santa Clara University's Global Social Benefit Institute
Project Name:	Energy Access Investment Readiness Program
Implementation Date:	October 2015- September 2018
Total Award Amount:	\$1,541,659—of which USAID funds \$765,148 and the prime GSBI/Santa Clara will leverage \$776,511

Organization background:

The GSBI is the signature programme of the Center for Science, Technology, and Society at Santa Clara University (SCU). GSBI helps mission-driven enterprises build, sustain, and increase the reach and impact of their businesses. In addition to training and support, GSBI matches program participants with mentors from both the Silicon Valley and the respective participant's local environment in order to ensure an appropriate transfer of knowledge.

New Ventures India (NVI) was incubated by the World Resources Institute (WRI) and provides business development services to environmentally focused small and medium enterprises. NVI was transferred by WRI to the boutique cleantech consulting firm – Regain Paradise Research Consulting (RPC).

Project description:

The program seeks to enable small businesses in India to supply clean energy solutions that will provide 1 million Indians living in areas not served by the national grid with access to modern electricity. These incubation and acceleration services will enable these businesses to access capital for business assets, inventory and other working capital needs, and consumer finance for their customers. The project partners will help the company to develop bankable business plans to obtain their initial financing, and strengthen their operations and management to scale up their investments. The team will also train financial institutions on appropriate credit evaluation practices, and on investment banking services that target socially motivated investors (one partner will bring in \$5 million in capital raised from these “impact investors”). The BDS activities will facilitate a total of US\$ 41 million in debt and equity, and enable the entrepreneurs/ventures to scale and sustain their business models.

Key achievements (as of Q6 of program implementation):

- Approximately 168,000 people have new or improved access to clean energy
- \$4.5 million in financing for six enterprises - \$700,000 in grants funding, \$900,000 in equity investments, and \$2.9 million in debt.
- 18 companies have been mentored and are deemed investment ready in the near future
- 10-11 are well-placed to begin seeking investment opportunities in the near future.

Key take-aways:

- Program implementation was delayed due to shifting priorities at USAID. This included extended periods of limited or no communication followed by urgent requests for information which made for a disjointed program design phase.
- Neither implementing partner had significant experience with USAID funding and there was a significant learning curve to understand expectations, especially around monitoring and evaluation and reporting.

- The program engages alumni of GSBI as mentor to the social enterprises seeking investment in the development of their business plans and to prepare them for investment readiness – this is a clear differentiator from the Millennium Alliance approach which is much more ad hoc.
- The combination of the deep market knowledge of New Ventures and the curriculum and knowledge of the global investment landscape is a successful partnership model.
- Macroeconomic challenges (a highly dynamic global investment environment, demonetization in India) and shifting strategy on the part of the Government of India have required that the program change its approach and the types of firms it targets – this has delayed immediate impact to some extent, but will likely not impact overall program success.
- The original program design had an advocacy component, however, the programmatic focus on building the capacity of the program-supported enterprises and facilitating their path to investment has enabled the implementing partners to focus specifically on the needs of the enterprises and enabling them to reach their investment potential.

ANNEX B: EVALUATION STATEMENT OF WORK

1 INTRODUCTION

The U.S. Agency for International Development's (USAID) five-year (2012-2017) Country Development Cooperation Strategy (CDCS) reflects the transformation of the USAID-India relationship from a traditional donor-recipient to a peer-to-peer partnership whereby India and the U.S. collaborate to solve global development challenges together. Through this approach, USAID focuses on catalyzing new partnerships and scaling proven solutions globally. The USAID/India CDCS Results Framework can be found via: https://www.usaid.gov/sites/default/files/documents/1861/India_CDCS.pdf

USAID/India aims to achieve its overarching CDCS goal through the following two sub-goals and four Development Objectives (DOs):

Sub-Goal 1: Indian systems strengthened in priority sectors

- DO 1: Increase the capacity of India's health system to improve the health of vulnerable populations in India.
- DO 2: Accelerate India's transition to a low emissions economy.

Sub-Goal 2: Indian innovations accelerate development outcomes in India and globally

- DO 3: Development innovations impact people's lives at the base of the pyramid (BOP) in a range of sectors in India.
- DO 4: Innovations proven in India increasingly adopted in other countries.

The third DO of the CDCS is the subject of this evaluation. DO3 of the USAID/India CDCS seeks to impact people's lives at the base of the economic pyramid (BOP) in India through Alliances, partnership platforms, and other mechanisms consequently created to identify, test, and scale development innovations tested (proven) in India. DO3 activities seek to build sectoral and thematic partnership platforms and alliances in the areas of health, climate change, education, and food security to identify, test, and scale development innovations with the potential for "game-changing" impact in India.

2 BACKGROUND

DO3 of the CDCS seeks to harness India's development innovations laboratory and hub – along with the growing resources and expertise among local Indian institutions and partners in the private, public, and non-profit sectors – to develop and scale development innovations that can benefit the lives of Indians living at the BOP. The results of DO3 activities directly impact the USAID/India CDCS Sub-Goal 2: Indian innovations accelerate development outcomes in India and globally. The transformation of USAID/India's partnership with India should be reflected by an increase in the number and nature of Indian proven innovations designed to tackle global development challenges that are (i) transferred and (ii) have a measurable development impact as well as the growth of Indian- and U.S.-supported efforts to solve development challenges outside of India, based directly on the innovative solutions identified, tested, and scaled under DO3 activities.

Under DO3, USAID/India supports activities that enable private and public-sector partners to collaborate, and contribute significant shared resources (1:1 match minimum), to identify "game-changing" solutions to development problems, and then test, diffuse and scale them to benefit BOP populations in India.

Approaches implemented under DO3 demonstrate several unique features. These include:

- Work with non-traditional actors, like venture capitalists, social entrepreneurs, investors, financial service providers, and the Indian diaspora;
- Collaboration that involves more co-financing and co-leadership of activities with local partners;
- Emphasis on achieving development impact and outcomes through innovation;

- Greater use of partnership platforms and alliances that work across sectors and combine traditional and non-traditional actors;
- Greater USAID engagement in partnership development and global outreach; and
- “Open-sourcing” the development process by connecting the world’s major development challenges to development problem solvers all over India.

2.1 Description of the Portfolio

Within the Mission's CDCS, four offices share responsibility for DO3, “Development innovations impact people's lives at the base of the pyramid (BOP) in a range of sectors in India”. Intermediate Results for DO3 are as follows:

- IR3.1: Effective health solutions identified, demonstrated, and scaled
- IR3.2: Low carbon innovations tested and scaled
- IR3.3: Agriculture innovations identified, tested and scaled
- R3.4: Education innovations in early grade reading identified, tested and scaled

The development hypothesis underpinning all activities related to DO3 can be summarized as follows: “By identifying evidence-based innovative approaches, products, and/or systems, and combining these with Indian financial and intellectual capital, while partnering directly with and under the leadership of Indian organizations, USAID/India can deliver development results faster, cheaper, more effectively, with broader impact, and more sustainably in the areas of health, education, climate change, and food security”. Additional details can be obtained by reading the Mission's CDCS.

A complete list of activities undertaken by each office under DO3 platform is provided as Attachment A.

2.2 Implementation Mechanism Supporting DO3 Activities:

To achieve the development objective of using development innovations to impact the lives of people at the BOP, USAID is currently supporting two initiatives to encourage partnerships with the private sector. These are (1) the India Partnership Program, and (2) the Millennium Alliance. However, there are few additional activities that are being implemented which don’t belong to these two mechanisms but are under the DO3 portfolio.

2.2.1 The India Partnership Program (IPP) - 1.0

An approach that is being used by USAID/India to facilitate, catalyze and support partnerships with the private sector is the India Partnership Program (IPP). An India Partnership is a public private sector collaboration focused on overcoming critical development challenges through innovations and creative ideas that can be rigorously tested, shared, and potentially scaled in India and/or abroad. The goal of the collaboration is to tackle development challenges using an approach or innovation that can be replicated and sustained leading to measurable improvements in development outcomes. Innovations are defined not by their novelty, but by their potential to achieve significant development outcomes versus existing alternatives.

Ideally, USAID/India seeks to catalyze Indian-funded and Indian-conceived innovations designed in response to development challenges and implemented by Indian organizations. This program supports partnerships in areas where USAID and the partners share common development objectives for India, such as access to quality health care, clean water and sanitation, education, clean energy, food security and nutrition, triangular cooperation, gender and financial inclusion. The partnership activities identified through IPP and implemented in India fall under the DO3 portfolio.

The goal of the IPP 1.0 is to identify and partner with organizations and institutions that bring innovative ideas and resources of at least a 1:1 match to address jointly defined development challenges. Matching resources may include money, technologies, experience, expertise or other assets that applicants can demonstrate as beneficial to tackling and resolving a development challenge. Through this, USAID/India considers a wide range of

partnership approaches, whether Indian financed and implemented or otherwise, in order to achieve its development objectives.

2.2.2 The Millennium Alliance: Inspiring Innovations, Sharing Solutions

The Millennium Alliance (MA) is a multi--million dollar India--U.S. public-private partnership that seeks to leverage Indian creativity, expertise and capital to source and scale locally developed innovations that can benefit vulnerable populations across India and the world. USAID, in collaboration with Indian partner organizations, links Indian innovators with seed financing in five major development sectors: Health, Education, Agriculture, Water and Sanitation and Clean Energy.

The MA platform is a joint initiative of USAID, Federation of Indian Chambers of Commerce and Industry (FICCI) and the Government of India's Technology Development Board (TDB) in the Ministry of Science and Technology. The MA has grown from three founding partners in 2012 to now having eight partners, including UKAID, ICCO Cooperation, ICICI Foundation, Wadhvani Initiative for Sustainable Health (WISH) Foundation and the World Bank. What started as a \$7.5 million initiative is now about \$25 million. The program duration is from May 2012 – May 2017. The MA has three objectives, which are to identify breakthrough innovations, to rigorously test and evaluate innovative solutions and select those that have the maximum developmental impact in a cost efficient and effective manner; and to help scale innovations with wider societal appeal to a level that reaches and affects the needy population. MA provides multi-tier funding. Stage 1 funding is for projects with proof of concept (PoC). The stage 2 is for projects that have demonstrated success at pilot level or small-scale stage. Stage 3 is for projects that have credible and rigorous evidence of development impacts at significant scale. So far 63 awards have been made for stages 1 and 2 of funding through MA platform. For further details on MA, please visit <http://www.millenniumalliance.in/>.

2.2.3 Other Activities under DO3

There are a few activities under DO3 which don't fall under the two above mechanisms, but come under the broad DO3 umbrella. These activities seek to impact people's lives at the BoP in India by supporting alliances and building partnerships in the areas of health, education and forestry.

3 PURPOSE OF EVALUATION

Given that USAID/India is more than mid-way through its strategy, the Mission seeks to evaluate the extent to which partnerships have effectively⁶ achieved development impact based upon agreed performance measures or have defined innovation progressing through the four (4) stages/steps of the "innovation pipelines". The evaluation will also identify enablers and barriers to achieving impact of USAID's partnerships and review efficiency⁷ and offer options and recommendations for making USAID partnerships more effective and efficient. Overall, the mid-term evaluation will conduct an analysis of the extent to which each model is contributing to the results of DO3. In addition, based on the available evidence, the evaluation will document best practices and challenges of the partnership models and suggest a framework for strengthening and measuring development impact going forward. The mid-term evaluation will focus on the following:

- Assess the progress toward achieving the expected results of the USAID/India DO3 program (2012 - 2016).
- Assess the efficiency and effectiveness of program design, implementation, and sustainability mechanisms.

⁶ A measure of the extent to which the partnership activities attain the objectives for which they were formed.

⁷ Efficiency measures the outputs -- qualitative and quantitative -- in relation to the inputs. It is an economic term which signifies the intervention uses the least costly resources possible in order to achieve the desired results.

- Identify lessons learned and proposed actionable recommendations to guide implementation for the remaining period of the program to improve performance by suggesting a framework for how to strengthen and measure such partnerships in future models.

3.1 Evaluation Questions

This mid-term evaluation will assess the relevance, effectiveness, and impact of the partnerships, by addressing the following questions:

- Relevance:** Is the USAID’s Science, Technology and Innovation and Partnership (STIP) approach consistent with the overall objective and the attainment of its DO3 immediate results?
 - Has there been a change in assumptions that the Mission made at the time of CDCS: does USAID/India need to evolve its model in light of this?
 - In answering the question, the evaluation should focus primarily on analyzing the development impact of innovative solutions catalyzed or supported by the IPP 1.0 and the MA partnership mechanisms in each of the sectors addressed.
- Efficiency:** To what extent has the intervention been cost effective? What factors are influencing any particular discrepancies?
- Effectiveness:** To what extent are the partnership approach and the interventions resulting from the innovations identified through IPP 1.0, MA and other partnership activities contributing towards accelerating improved development outcomes in health care, child survival, clean water and sanitation, education, clean energy, food security and nutrition?
 - Is the development of platforms and alliances the most cost effective and efficient approach to identifying, testing, and scaling Indian development innovations?
 - Has USAID/India identified the most effective platforms and forms of partnership for identifying and scaling up innovations? Is USAID/India serving as an effective development innovations hub?
 - Are there systems in place or being implemented to sustain and scale up the partnerships after USAID support ends? How is the alliance contributing to each partner’s desired result?
- Impact:**⁸ What signs are there of changes associated with target interventions in health care, child survival, clean water and sanitation, education, clean energy, food security and nutrition, e.g., and what changes do people living at the bottom of the pyramid and other stakeholders attribute to the interventions?
 - What signs are there of changes associated with target interventions in health care, child survival, clean water and sanitation, education, clean energy, food security and nutrition? E.g., what changes do people living at the BoP and other stakeholders attribute to the interventions?
 - What has attracted the private sector partners to USAID? What have they found as facilitators and barriers in engaging with USAID? Has the co-financing under IPP also leveraged the technical expertise, experiences and efficiencies of private sector partners?
 - In answering this question, the evaluator should also critically analyze the data to determine any recommendations that can be provided to improve the effectiveness of the two partnership platforms and their management by USAID/India.

3.2 Audience and Intended Uses

The audience of the evaluation report will be the USAID/India Mission, and specifically all the technical offices; the Asia Bureau; and the implementing partners. USAID will use the report to make design changes (as appropriate) and mid-course corrections to its current strategy, and to share lessons learned with key stakeholders and other donors.

⁸ The positive and negative changes produced by the partnerships, directly or indirectly, intended or unintended.

Finally, lessons learned from this evaluation will inform follow-on portfolio activities to be designed in the coming years.

4 SCOPE

The evaluation will cover all the DO3 activities under the current Food Security, Health, Clean Energy and Partnership for Innovation office portfolios since 2012. The Contractor must develop an appropriate methodology for answering the evaluation questions and must execute the methodology to effectively and fully evaluate DO3.

4.1 Evaluation Design

The Contractor must recommend the most appropriate evaluation design and methodology based upon the goals and questions of the evaluation. This evaluation must first focus on the development of a Theory of Change. A theory of change (TOC) explains why we think certain actions will produce desired change in a given context. The TOC will serve as the basis to measure USAID’s contribution to the DO3 landscape. In doing so, the Contractor must examine the critical assumptions underlying the TOC, as well as other actors and factors that may have contributed to the overall goal.

This performance evaluation must, to the extent possible, adhere to the USAID Evaluation Policy (<http://www.usaid.gov/evaluation>) guidelines for more rigorous evaluation, using mixed methods that incorporate both quantitative and qualitative methods.

USAID requires that the Contractor complete the following table as part of its detailed evaluation design.

Evaluation question	Data source	Data collection method (including sampling methodology, where applicable)	Data analysis method
1. Is USAID’s Science, Technology and Innovation and Partnership (STIP) approach consistent with the overall objective and the attainment of its DO3 immediate results?			
2. To what extent has the intervention been cost effective? What factors are influencing any particular discrepancies?			
3. To what extent are the partnership approach and the interventions resulting from the innovations identified through IPP 1.0 and MA, contributing towards accelerating improved development outcomes in health care, child survival clean water and sanitation, education, clean energy, food security and nutrition?			
4. What signs are there of changes associated with target interventions in health care, child survival, clean water and sanitation, education, clean energy, food security and nutrition, e.g., what changes do			

Evaluation question	Data source	Data collection method (including sampling methodology, where applicable)	Data analysis method
people living at the bottom of the pyramid and other stakeholders attribute to the interventions?			

Should the Contractor deem it necessary to collect quantitative data using a sample survey, the Contractor must include a section in the evaluation plan that clearly depicts how the survey will be conducted, the sample frame to be used, sample size, quality assurance, etc.

The Contractor must review documentation provided by USAID and the partners, and any relevant secondary research they collect (especially on partnership approach). An instrument must be developed to codify and organize data from the document review for analysis according to the evaluation questions.

The Contractor is also expected to begin constructing the overall TOC during the desk review period. The Contractor will be accountable for ensuring data analysis methods are in line with best practices. For both quantitative and qualitative data, the Contractor must articulate methodologies for analyzing collected information, including any statistical software programs to be used.

4.2 Document Review and Data Collection

4.2.1 Document Review

Upon award, the Contractor will be provided relevant background documents for it to conduct a document review. Documents include:

- a) USAID/India Country Development and Cooperation Strategy
- b) USAID/Indian Development Objective 3 Project Appraisal Document
- c) USAID/India Health, Energy, Education and Clean Energy strategies
- d) Millennium Alliance program description
- e) PAD Monitoring and Evaluation Plan
- f) PAD level baseline data
- g) Project Descriptions and Modifications
- h) Project Work Plans
- i) Quarterly Reports
- j) Annual Reports
- k) India Partnership Program (IPP) documents
- l) Budget and financial reports
- m) Baseline surveys and formative research
- n) Project performance data

4.2.2 Data Collection

The Contractor must complete the evaluation using a combination of quantitative and qualitative analytical methods. Approaches to collect quantitative and qualitative data include, but are not limited to:

- Document Reviews
- Surveys/Questionnaires
- Key Informant Interviews with implementing partners and key stakeholders
- Focus groups discussions

- Case studies
- Online survey
- Site visits
- Others

The Contractor must conduct a thorough review of the Program through site visits and interviews. Site visits will be planned taking into consideration factors like geographical diversity, representation of various implementation agencies, and the scale of the interventions. The Contractor will receive direction from USAID/India in selecting priority organizations and places to visit during the evaluation. The Contractor is expected to schedule interviews or other modes of data collection with key stakeholders, though USAID/India can assist in providing contact information if necessary.

The Contractor must:

- a) Obtain visas and country clearances for travel for its personnel if required.
- b) Coordinate and facilitate assessment-related team planning meetings, field trips, interviews, and other meetings in conjunction with USAID and the Program team.
- c) Coordinate international and in-country logistics as applicable such as transportation, accommodations, communications, and office support, etc.
- d) Ensure key informant interviews and/or focus groups are recorded and transcribed.
- e) Submit all raw and processed data to become the property of USAID/India.

5 EVALUATION ANALYSIS AND REPORT GUIDANCE AND STANDARDS

The evaluation report must represent a thoughtful, well-researched and well-organized effort to objectively evaluate what worked in the project, what did not, and why. The report must address all evaluation questions included in the scope of work and should include the scope of work as an annex.

The evaluation methodology must be explained in detail and all tools used in conducting the evaluation such as questionnaires, checklists and discussion guides must be included in an annex in the final report. Evaluation findings must assess outcomes and impact on males and females and limitations to the evaluation shall be disclosed in the report, with particular attention to the limitations associated with the evaluation methodology (selection bias, recall bias, unobservable differences between comparator groups, etc.).

Evaluation findings must be presented as analyzed facts, evidence, and data and not based on anecdotes, hearsay or the compilation of people's opinions. Findings must be specific, concise and supported by strong quantitative or qualitative evidence. Sources of information must be properly identified and listed in an annex.

Recommendations must be (a) supported by a specific set of findings; (b) action-oriented, practical, and specific; and (c) have defined responsibility for the action.

6 TEAM COMPOSITION

The evaluation team must consist of three independent experts (two international and one local). All team members must have professional level English speaking and writing skills.

1-Senior Evaluation Specialist (Team Leader): The evaluation will be led by a Senior Evaluation Specialist, supported by other subject matter experts. The Senior Evaluation Specialist will be responsible for the overall implementation of the evaluation, ensuring that all expected tasks and deliverables are achieved on time and of high quality. S/he will oversee the overall design of the evaluation framework, including methodological determinations; organization of calendar/travel/meetings; management of interviews, and other data collection events; and analysis of data with input from team members to draft the evaluation report and presentation.

Skills/Experience: The Senior Evaluation Specialist (Team Leader) must have a Master's degree with at least 10 years professional experience coordinating similarly complex evaluations, and leading evaluation teams. A Bachelor's Degree can be substituted with an additional three years of experience. The candidate must have exceptional organizational, analytical, writing and presentation skills. S/he must have deep knowledge of evaluation methodologies and their practical applications. Prior work experience in India is highly preferred.

2-Senior Alliances & Public Private Partnership Specialist: The Private Sector Specialist should have prior experience in forging global public-private partnerships in multiple sectors with vast understanding of market dynamics in low and middle-income countries. A Bachelor's Degree and a minimum of 10 years of experience is required in the design and managing of public private sector engagement strategies, partnerships and leveraging in a development sector context. The Senior Alliances & Public Private Partnership Specialist will focus on the private sector perspective of the DO3 and provide overall support to the entire evaluation team. S/he will be responsible for assessing private commercial sector involvement in the activities in a range of sectors like health, agriculture, energy and education. S/he will assess the process of identification of opportunity for partnerships, process of due diligence, process of negotiating partnerships and signing of MOUs, leveraging, mechanisms to accelerate participation as well as look at scalability and sustainability of partnerships. S/he would also assess the needs of the private commercial sector and any untapped opportunities. S/he will also provide lessons learned and recommendations for strengthening the project partnerships as well as suggestions for new directions for any future design.

Skills/ Experience: The Senior Alliances & Public Private Partnership Specialist must have experience working with private provider networks preferably in the area of USAID's sector intervention. Experience in working with private provider associations will also be an advantage. S/he must have an understanding of marketing, promotion and consumer research. Prior working experience in India is preferred. This expert will assess the overall partnership arrangements and processes and analyze the difference in the traditional donor funded and new partnership approach.

3-Project Management and Governance Expert (Local): This expert must have extensive experience in managing and governance of health, agriculture, education, and environment programs. Specifically, s/he must have an excellent understanding of project administration, governance and management and should be familiar with the functioning of large donor funded programs in India, particularly in bilateral and unilateral programs with traditional approach.

Skills/Experience: The expert must have at least a Bachelor's Degree and 10 years of experience in the development sector. S/he must have a thorough knowledge of the project governance of large donor funded programs which manage networks of NGOs and institutions; experience working with government and various management issues related to such projects is required.

Sound experience in conducting evaluations or research is expected of all members, and experience in developing strategies is essential. Ability to conduct interviews and discussions is essential.

After Task Order award, a statement of potential bias or conflict of interest letter will be required of each team member prior to engaging the evaluation.

7 PROPOSED LEVEL OF EFFORT

It is envisioned that the team will have seven (7) days to undertake the desk study, and prepare the draft work plan. The team will have seven (7) days for meetings and consultations in New Delhi and twelve (12) days to travel to states where activities are being implemented. These visits will be finalized in consultation with USAID and the project partners. The team will then have seven (7) days for analysis, draft report preparation and debriefing with the Mission. Then the team will have five (5) days to finalize the report after receiving responses from USAID. Offerors must propose the Level of Effort that they believe to be appropriate for this evaluation.

ANNEX C: EVALUATION MATRIX

Evaluation question	Related questions	Data source	Data collection method	Data analysis method
<p>1. Is USAID’s Science, Technology and Innovation and Partnership (STIP) approach consistent with the overall objective and the attainment of its DO3 immediate results?</p>	<ul style="list-style-type: none"> ▪ Have the IPP and MA mechanisms been successful in bringing in additional partners over the course of their operation? ▪ Have non-innovative programs been tagged as “innovation” in order to receive funding through the mechanisms? ▪ What attracts the private sector to working with USAID? ▪ How have partners benefited from the USAID relationship? ▪ Is the time horizon of these programs (3-5 years of USAID funding) appropriate for the types of innovations/investments being supported? ▪ Has gender been successfully integrated into program design and implementation across the IPP and MA mechanisms? ▪ Has USAID engagement been a catalyzer for additional partners in platforms/alliances or funding for social enterprises? 	<p>Implementing partners, USAID staff, other stakeholders (government, donors, investors), project documentation</p>	<p>KIIs, online survey, document review</p>	<p>Qualitative analysis, statistical analysis of online survey data, conversion analysis of KIIs</p>
<p>2. To what extent has the intervention been cost effective? What factors are influencing any particular discrepancies?</p>	<ul style="list-style-type: none"> ▪ Is there an additional administrative burden on the part of USAID for IPP and MA activities? ▪ Is the procurement process simplified as a result of these initiatives (timeline from award to launch reduced)? Did processes need to be developed or adapted to make the partnership work successfully? ▪ Are there additional costs being incurred at project level/platform level? ▪ Are there measurable benefits to segregating a direct implementing partner from a backbone (Alliance) partner? ▪ Is there evidence that the cost per beneficiary is reduced as a result of partnerships? 	<p>Implementing partners, USAID staff, project documentation</p>	<p>KIIs, online survey, document review</p>	<p>Qualitative cost benefit analysis, SWOT analysis, Return on investment (if feasible), mini-case studies</p>

Evaluation question	Related questions	Data source	Data collection method	Data analysis method
	<ul style="list-style-type: none"> ▪ Has capacity of the partner to scale operations been sufficiently enhanced? ▪ Have IPP and MA been successful in leveraging additional funding/investments? To what extent has CSR funding been leveraged for different programs and what are the issues around this? 			
<p>3. To what extent are the partnership approach and the interventions resulting from the innovations identified through IPP 1.0 and MA, contributing towards accelerating improved development outcomes in health care, child survival clean water and sanitation, education, clean energy, food security and nutrition?</p>	<ul style="list-style-type: none"> ▪ Is the co-creation process effective in accelerating impact? ▪ To what extent are programs working on models that can feed into government programs? What are the challenges in mainstreaming innovations through government? What conditions can facilitate government’s willingness to scale-up innovations? ▪ Is there evidence of innovations developed and/or scaled through IPP or MA reaching the BOP? ▪ Is there a measurable improvement in impact, acceleration, and scalability with a platform model as opposed to a direct-funding model? 	<p>Implementing partners, USAID staff, other stakeholders (government, donors, investors), project documentation</p>	<p>KIIs, online survey, document review</p>	<p>Qualitative analysis, statistical analysis of online survey data, conversion analysis of KIIs</p>
<p>4. What signs are there of changes associated with target interventions in health care, child survival, clean water and sanitation, education, clean energy, food security and nutrition, e.g., what changes do people living at the bottom of the pyramid and other stakeholders attribute to the interventions?</p>	<ul style="list-style-type: none"> ▪ What quantitative and qualitative changes were brought about at BOP level in health care, child survival, clean water and sanitation, education, clean energy, food security and nutrition - as a result of target interventions. a) direct changes brought about by target interventions b) Changes in government function as a result of government scale up ▪ Are the platforms on track to sustainability following the end of USAID support? 	<p>Implementing partners, USAID staff, project documentation</p>	<p>KIIs, online survey, document review</p>	<p>Qualitative analysis, statistical analysis of online survey data and partners’ performance indicators</p>

ANNEX D: LIST OF INTERVIEWEES

Implementing Organization	Project name	Name & Title	Location	Sector	Funding window
Delhi-based Partners and Stakeholders					
IPE Global	Improving RMNCH+A Urban Poor (PAHAL)	LM Singh, Project Director	Delhi	Health	IPP
Federation of Indian Chambers of Commerce and Industry (FICCI)	Millennium Alliance	Abhay Kumar Singh, Senior Assistant Director	Delhi	Multi-sector	MA
Center for Knowledge Societies (CKS)	READ Alliance	Anurima Chatterjee, Program Director	Delhi	Education	IPP
Planet Read	READ Alliance (sub-grantee)	Nirav Shah, COO PlanetRead	Delhi	Education	IPP
KPMG Project Management Unit (PMU)	Technical Assistance to Government of India for Swachh Bharat (Clean India) Mission	Nilachal Mishra – Partner, Infrastructure, Government and Healthcare Dr. Abhinav Akhilesh - Principal & Lead, Human & Social Services Strategy, Infrastructure, Government and Health	Delhi	Health/WASH	IPP
Solidarity and Action Against the HIV Infection in India (SAATHII)	Promote Public-Private Partnership for Public Health Services	Dr. Subhasree Raghavan, Chief of Party	Delhi	Health	IPP
ZMQ Development	Adapting and piloting MIRA in Uganda and Afghanistan	Hilmi Quraishi, Co-Founder	Delhi	Health	MA

Implementing Organization	Project name	Name & Title	Location	Sector	Funding window
Technology Development Board	FICCI Partner	Bindu Deu	Delhi	Stakeholder	MA
DFID/UK Aid	FICCI Partner	Jeena Chhabra	Delhi	Stakeholder	MA
Non-Delhi-based Partners/Sub-Partners					
Samagra	Providing access to clean, safe and reliable community toilets for the urban slum-dwelling poor	Mr. Swapnil Chaturvedi	Pune	Health/WASH	MA
Swasti Agro and Bioproducts Pvt Ltd	BioAvert I: Biological program of disease aversion for horticulture crops	Dr. Abhay Shendye, Founder/Director	Pune	Food security	MA
Impact Foundation (Dasra)	RMNCH+A Alliance	Ms. Shailja Mehta, Chief of Party	Mumbai	Health	IPP
Aakar Innovations	Empowering women through menstrual hygiene solutions	Jaydeep Mandal, Founder/Director Nishi Arora, Program Head	Mumbai	Health	MA

Implementing Organization	Project name	Name & Title	Location	Sector	Funding window
Greenway Grameen Infra (GGI)	On-demand electricity generation using waste heat generated during cooking for rural households using thermoelectric generators	Ms. Sucheta Baliga, Head Marketing	Mumbai	Clean energy	MA
Coeo Labs Pvt Ltd	Saans - device to keep lungs of neonates with respiratory distress syndrome (RDS) open while transferring them from a low resource setting to an Neonatal intensive care unit (NICU)	Mr.NACHIKET DEVAL, Co-founder	Bangalore	Health	MA
WaterHealth International	Establishing Community Water System in Bangalore Slums	Madhu Krishnamoorthy, Head Capital Business Unit Libin P R, Manager Sales,	Bangalore	Health/ WASH	IPP
Ashoka Trust for Research in Ecology and the Environment (ATREE)	Managing India's Forests for Biodiversity and Human Well-being in the face of Global Environmental Change	Dr. Siddappa Setty R, Fellow (Associate Professor) Program Leader - Forest and Governance	Bangalore	Climate change/ forestry	IPP
CLT India	e-Patashale: Low cost innovative e-content for STEM K-12	Ms. Bhagya Rangachar	Bangalore	Education	MA
Hasiru Dala	Waste picker franchise model	Shekar Prabhakar, Managing Director	Bangalore	Health/ WASH	MA

Implementing Organization	Project name	Name & Title	Location	Sector	Funding window
SELCO Foundation	Sustainable Energy Solutions for Poverty Reduction	Harish Hande, Managing Director	Bangalore	Climate change/ clean energy	IPP
IPE Global	PAHAL: LifeSpring Visit	Jayhawkers Srinivas, Head - Process Control	Hyderabad	Health	IPP
AgSri	Producing more with less: Promoting Sustainable Sugarcane Initiative (SSI)	Mr. Sraban Kumar Dalai	Hyderabad	Food security	MA
Santa Clara Global Social Benefit Institute/New Venture India	Energy Access Investment Readiness Program	Sanjoy Sanyal, Country Director	Hyderabad	Climate change/ clean energy	IPP
Center for Microfinance (CMF)	Nurturing Early Literacy Project	Vijay Singh, Program Manager	Jaipur	Education	IPP
Bodh Shiksha Samiti	CMF Nurturing Early Literacy (Sub-grantee)	Kaptan Singh, Program Coordinator Swarnali Das, M&E In-charge Chirag Patil, Program Associate	Udaipur	Education	IPP
Room to Read	CMF Nurturing Early Literacy (Sub-grantee)	Puja Bajad, Program Officer, Vinod Panwar, Program Officer,	Udaipur	Education	IPP
FIA Technology Services Ltd	Financial deepening & economic inclusion	Ms. Seema Prem, Co-Founder	Gurgaon	Others (financial inclusion)	MA

Implementing Organization	Project name	Name & Title	Location	Sector	Funding window
Skymet Weather Services Pvt Ltd	Partnership in Climate Services for Resilient Agriculture in India	Nalin Rawal Chief (Business Head) - Agri Business Solutions	Noida	Food security	IPP
Simpa Energy	Expanding solar as a service to lower income households & microenterprises in India	Ms. Mitali Sahni, Investor Relations	Noida	Climate change/ clean energy	MA

ANNEX E: DESCRIPTION OF SAMPLED DO3 ACTIVITIES

	ACTIVITY NAME	IMPLEMENTING PARTNER	START DATE	END DATE	TOTAL USAID FUNDING
Clean Energy and Environment					
1	Managing India's Forests for Biodiversity and Human Well-being in the Face of Global Environmental Change	Ashoka Trust for Research in Ecology and the Environment (ATREE)	12-Jul-14	11-Jul-2018	\$878,646
<p>Description: This project focuses on biodiversity hotspots in India to address three priority areas: (1) increasing income of forest dependent communities; (2) supporting innovations for fuel wood management; and (3) strengthening systems for forest resources management.</p> <p>The project's research goal is to develop a model of managing forest ecosystems and societal interactions in the face of global environmental and economic change. This model will integrate scientific knowledge, local community knowledge and perceptions, action-oriented research findings, and initiatives for the co-management of natural resources. Once developed, this model will be applicable to the management of many forest landscapes throughout India.</p>					
2	Sustainable Energy Solutions for Poverty Reduction	The SELCO Foundation	September 26, 2016	September 25, 2019	\$500,000
<p>Descriptions: Through this partnership SELCO Foundation will identify, develop, implement, and replicate sustainable clean energy interventions (combination of technology, finance and social) for people who are in greatest need of energy services. These interventions will be targeted towards income generation activities leading to improved well-being, health, education and livelihood. It will also build partnerships with the academic institutions, private sector and the entrepreneurs, to reach the needed scale and impact. This project will impact more than 20,000 households and poor businesses over a period of three years.</p>					
3	Investment Facilitation Initiative for Energy Access	Santa Clara University	1-Oct-2015	30-Sept-2018	\$765,148
<p>Description: The Global Social Benefits Institute and its Indian partner Regain Paradise Consulting will provide business development services (BDS) to enable small businesses in India to supply clean energy solutions that will provide 1 million Indians living in areas not served by the national grid with access to modern electricity. The BDS will enable these businesses to access capital for asset finance and working capital, and consumer finance for their customers. This will be done by developing bankable business plans, strengthening management and operations, training financial institutions on appropriate credit evaluation practices, and through investment banking services that target socially-motivated investors (one project partner will bring in \$5 million in capital already raised from these "impact investors"). The activities will facilitate a total of US\$ 41 million in debt and equity, and enable the entrepreneurs/ventures to scale and sustain their business models.</p>					
Food Security					
4	Partnership in Climate Services for Resilient Agriculture in India	Skymet Weather Services Pvt. Ltd	Sep 2015	Sep 2019	\$3,000,000
<p>Description: Skymet Weather Services will deploy low cost automated weather stations in 31 districts in 9 States in India to collect and process high resolution data, and provide farmers with a holistic and/or integrated extreme weather-induced risk management solutions at all stages of crop life cycle, thereby increasing farmer's adaptive capacity to climate associated risks. The project will make climate data and information, risk mitigation tools, and advisory services more accessible to farmers in the target states in India.</p>					

	ACTIVITY NAME	IMPLEMENTING PARTNER	START DATE	END DATE	TOTAL USAID FUNDING
Education					
5	READ Alliance	Centre for Knowledge Societies (CKS) Consulting Private Ltd.	August 2013	July 2018	\$3,200,000
<p>Description: The READ Alliance is a platform that brings together a diverse group of stakeholders dedicated to improving children’s reading skills in India. The READ Alliance provides grant funding, technical support, knowledge management and advocacy to identify and test promising reading innovations. Through the Early Grade Reading Innovation Challenge, the READ Alliance has awarded and incubated six reading solutions (implemented by sub-awardees Agramee, PlanetRead, Humana People to People, Educational Initiatives, Quality Education Support Trust, Karadi Path Education Company) that work in government-run and tribal schools across India to improve early literacy for more than 100,000 children. READ Alliance partners have developed and distributed more than 30,000 teaching and learning materials from workbooks and teacher manuals to e-resources. Sub-partners are also using technology to improve reading skills, such as introducing same-language subtitling to audio-visual content.</p>					
6	Nurturing Early Literacy Project	Centre for Microfinance	October 2015	September 2019	\$ 2,498,465
<p>Description: The latest Annual Status of Education Report (ASER) released in 2015 shows that more than half of the government school students in grade five are unable to read a grade two text in their regional language. USAID partners with Tata Trusts and the Centre for Microfinance to address this issue through implementing activities that build a strong foundation of emergent and early literacy competencies for 93,000 students across Rajasthan, Maharashtra and Karnataka. For example, libraries in 100 schools in Rajasthan are now fully equipped and there is an e-library pilot program in 10 schools. Teachers in 100 schools in Maharashtra have access to an online portal that provides them with resources materials and teaching modules they can use during class. Partners have also organized book fairs to engage the community and students. The project aims to shift the prevalent rote-based pedagogy in India to one that views the child as an active learner who can effectively learn sounds and symbols, read and write with comprehension, and can apply their knowledge in everyday life.</p>					
Health & WASH					
7	Establishing Community Water Systems in Bangalore Slums	WaterHealth India Private Limited	May 2014	May 2017	\$451,200
<p>Description: The Community Water Systems project aims to provide safe drinking water to under-served communities in Bangalore where piped water is not available. Water Health’s award-winning water purification system and disinfection technology, combined with sustainable business approaches, are delivering clean water to more than 30,000 households in Bangalore slums. Construction of 25 WaterHealth Centers (kiosks that purify and dispense water at affordable rates) is complete. Other donors, such as Citibank, Tata Trust and Gap Inc. funded the establishment of 26 additional kiosks. Water Health recruited 31 women to run the WaterHealth Centers making more than 55% of the WaterHealth Centers women-run. The Jaldhara Foundation and TATA Trusts are among the private sector actors supporting this program.</p>					
8	Technical Assistance to Government of India for Swachh Bharat Mission	Water, Sanitation and Hygiene Institute (WASHi)	December 2015	July 2017	4,325,000
<p>Description: This grant provides technical support to the Ministry of Urban Development (MOHUA), states and Urban Local Bodies (ULBs) to enable them to implement the Swachh Bharat (Clean India) Mission at the national, state and city levels. The technical assistance promotes universal safe and sustainable waste management and sanitation access through safe containment, collection and transportation, treatment and reuse, to maximize public health impact. Through</p>					

	ACTIVITY NAME	IMPLEMENTING PARTNER	START DATE	END DATE	TOTAL USAID FUNDING
this assistance, USAID and the Bill and Melinda Gates Foundation sponsor a Project Management Unit (PMU) within MOHUA to help support, coordinate and catalyze the GOI's own massive Swachh Bharat resources.					
9	RMNCH+A Alliance	Impact Foundation (Dasra)	05-Mar 2013	04-Mar-2018	\$5,384,616
Description: This private sector led alliance aims to brokers knowledge and foster innovations for testing and demonstrating high impact interventions in RMNCH+A. It will address key factors which impact the lifecycle and contribute towards preventable maternal and child deaths. It is envisaged that the innovative concepts demonstrated by the alliance will contribute towards reduction of preventable morbidity and mortality among women and children.					
10	Promoting Public Private Partnership (PPP) Stewardship for RMNCH+A	Solidarity and Action Against the HIV Infection in India (SAATHI)	June 22, 2015	June 21, 2019	\$4,709,935
Description: The purpose of this project is to facilitate an enabling environment for sustainable PPP initiatives in RMNCH+A programs, by strengthening national and state government's capacities to catalyze and provide stewardship to PPPs. The three focus areas for the project are: evidence building for private sector engagement, strengthening stewardship, and improving quality of primary care in public and private health facilities. The project supports the Government of India to roll-out India's first patient feedback solution and also provides information technology based solutions to national and state governments.					
11	Improving RMNCH+A for India's Urban Poor- PAHAL	IPE Global	September, 2016	September, 2020	\$10,000,000
Description: To improve access to affordable and quality promotive, primary, and secondary Reproductive, Maternal, Newborn, Child, and Adolescent health (RMNCH+A) services for the urban poor in the main states burdened by child deaths and with the highest burden on urban maternal and child mortality within the five-year project period.					
Multi-Sector					
12	Millennium Alliance	FICCI	29-May-12	28-May-17	\$7,700,000
Description: The MA Project focuses on strengthening the capacity of FICCI--a non-government, to develop a broad-based sustainable platform to foster development innovations in specified sectors. 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 Millennium Alliance has grown from three founding partners in 20012 including USAID, FICCI and Technology Development Board of the Government of India, to now having eight partners including UKAID, ICCO Cooperation, ICICI Foundation, Wadhvani Initiative for Sustainable Health (WISH) Foundation and the World Bank. The partnership's core purpose is to help Indian entrepreneurs secure the funding necessary to develop and pilot solutions to the country's most challenging social and economic problems. By bringing together FICCI, India's largest private bank, public and private donors, Indian businesses, and venture capitalists, the alliance provides local innovators with funding, mentorship and business accelerator services.					

ANNEX F: GENDER INTEGRATION COUNTRY CASE EXAMPLE

Integrating Gender at All Levels: Afghanistan’s Health Services Support Project

The USAID-funded Health Services Support Project, led by Jhpiego with partners Save the Children and Futures Group, ran from July 2006 through October 2012. The project sought to improve the quality of services provided to women of reproductive age and children under the age of five. What made HSSP unique is that at the time, it was the first and only Health project that had a gender-specific Intermediate Results (IR)—integrating gender awareness and practice into the Basic Package of Health Services (BPHS).

Key Take-aways:

- Male and female Gender Officers were hired to support the IR. Hiring a male in this position was a deliberate attempt to highlight the point that gender didn’t simply refer to women and that men are and should be involved in gender integration and programming activities.
- Capacity building on gender was not only for Gender Officers but for all project staff. Gender Officers received capacity building through mentoring, on-the-job training, and e-learning courses. For project staff, HSSP raised awareness about gender issues and gender-related programming through a number of activities, including two-hour or half-day gender awareness orientations, gender updates and discussions during technical team meetings, gender orientations and updates during annual staff retreats, and occasional one-day gender training events for all staff.
- The project conducted a Gender Audit, which showed that while HSSP promoted exclusive breastfeeding for the first six months after delivery of a baby, it did not have a place for new mothers among its own staff to breastfeed their babies. Therefore, a room in the HSSP office was identified to serve as a breastfeeding room and a full-time babysitter was hired.
- HSSP strengthened female leadership on the project. The project committed to building technical, management, and leadership capacity of its entire staff, particularly female staff, and to promoting from within, which resulted in strong female leaders within the project. Out of all USAID-funded health projects, HSSP had the most female staff—23 females out of 125 total staff (including administrative or support staff) or 18%—and the most female leaders (three out of 10, or 30%).
- Establishment of Family Health Action (FHA) groups that empowered and mobilized women in communities by building their capacity to take important decisions and actions to improve their families’ basic health practices. FHA groups provided a forum for women to come together and discuss issues important to them in a context that is comfortable and culturally appropriate.
- Technical support to the Ministry of Public Health (MoPH) to review and include language and evaluation criteria related to gender in a request for proposals for BPHS service delivery grants.

Source: <https://www.jhpiego.org/wp-content/uploads/2015/08/Afghanistan-Case-Study.pdf>

ANNEX G: LINKING PUBLIC, PRIVATE, AND SOCIAL SECTORS COUNTRY CASE EXAMPLE

Jamaica FARMS (Farmers Access to Regional Markets) Program

The Jamaica Farmers Access to Regional Markets (JA FARMS) program was an innovative agribusiness development initiative that linked the public, private and social sectors to support sustainable economic opportunities for small holding farmers in Jamaica. The program sought to address supply issues faced by the country's domestic agribusinesses due to lack of consistent and high-quality supply of horticulture products – forcing many of them to look off-island for raw materials. With private sector sponsorship from Jamaican agribusinesses and matching funds from USAID's Global Development Alliance, the Jamaica Farmers Access to Regional Markets (FARMS) program was designed to improve the competitiveness of the Jamaican agricultural sector. Phase One of the program focused on building the capacity of businesses through direct technical assistance with regards to production agriculture and business strategy, as well as through facilitation of innovative business relationships that strengthened linkages along the value chain. The program sought to connect small growers and marketers through fixed-price contracts and facilitated the transfer of new production and business technologies from marketers to growers.

Phase Two of the program, also funded by USAID, sought to promote protected agriculture as a viable component of a competitive agricultural industry. The program addressed unsustainable agricultural practices and environmental degradation through innovative greenhouse technologies which incorporated the best intensive production methods through affordable, scalable structures – primarily high tunnel greenhouse technology. The adoption of these technologies improved food security by minimizing the risk associated with outdoor crop production and mitigated the effects of global climate change by reducing soil erosion and limiting slash-and-burn agriculture. During this phase, intensive training was provided to Government of Jamaica extension agents in how to best support farmers using the protected agriculture technology.

Phase Two also included the development of a Market Information System with the Ministry of Agriculture, leveraging the power of technology to collect and disseminate pricing information to all stakeholders throughout the value chain and improve access to end-market opportunities. The three-tier system - coined JAMIS (Jamaica Agriculture Market Information System) - incorporates the latest mobile data capturing warehousing technology and features a fully functional companion website which provides for access to the general public. The Ministry of Agriculture continues to utilize JAMIS and it is updated daily, years after program completion.

Key Program Outputs:

- 555% increase in contract income over pre-project levels for growers
- 50% increase in revenue, and expanded markets for sponsoring agribusiness
- 574 people identified as having increased economic benefits as a result of USG assistance
- 3016.6 hectares of land placed under improved management
- 650 growers, extension officers, and students trained in protected agriculture practices and technologies
- 300 people trained in natural resources management and biodiversity conservation
- 50 greenhouses or exclusion cages constructed

ANNEX H: DATA COLLECTION INSTRUMENTS

ONLINE SURVEY OF DO3 IMPLEMENTING PARTNERS

A. Organization information

1. Organization name:
2. Organization location:
3. Contact person:
4. Year established:

B. Project information

5. Activity name:
6. Sector: Climate change/clean energy Education Food Security/agriculture Health
7. Duration of project:
8. Start of project implementation (please state year):
9. Location(s) of project implementation: (please check all that apply)

States:	Sikkim
Andhra Pradesh	Tamil Nadu
Arunachal Pradesh	Telangana
Assam	Tripura
Bihar	Uttar Pradesh
Chhattisgarh	Uttarakhand
Goa	West Bengal
Gujarat	
Haryana	Union Territories:
Himachal Pradesh	Andaman & Nicobar
Jammu & Kashmir	Chandigarh
Jharkhand	Dadra and Nagar Haveli
Karnataka	Daman and Diu
Kerala	Delhi
Madhya Pradesh	Lakshadweep
Maharashtra	Puducherry
Manipur	
Meghalaya	
Mizoram	
Nagaland	
Odisha	
Punjab	
Rajasthan	

Knowledge about USAID and development assistance

10. Is this the first time that your organization has partnered contractually with USAID?
 - a. Yes (go to #12)
 - b. No (go to #11)

11. If no, what was the nature of your previous contractual relationship with USAID?
 - a. Implementing partner through APS
 - b. Grantee through unsolicited proposal
 - c. Sub-grantee on a project with international NGO/development consulting firm
 - d. Other (please state)

12. How would you rate your knowledge of USAID development objectives and activities prior to your current partnership?
 - a. Excellent
 - b. Good
 - c. Fair
 - d. Poor

13. How would you rate your knowledge of USAID development objectives and activities since the partnership?
 - a. Excellent
 - b. Good
 - c. Fair
 - d. Poor

14. How would you rate your knowledge of USAID procurement procedures prior to your current partnership?
 - a. Excellent
 - b. Good
 - c. Fair
 - d. Poor

15. How would you rate your knowledge of USAID procurement procedures since the partnership?
 - a. Excellent
 - b. Good
 - c. Fair
 - d. Poor

16. Did you receive any training and capacity building on USAID policies and procedures?
 - a. Yes
 - b. No (go to 19)

17. If yes, approximately how many hours of training and capacity building did you receive? _____ hours

18. How would you rate the training and capacity building efforts you received?
 - a. Very helpful
 - b. Moderately helpful
 - c. A little helpful
 - d. Not helpful

19. Please indicate the funding window for your partnership
 - a. India Partnership Program Annual Program Statement (if checked, please go to Section D)
 - b. Millennium Alliance (if checked, please go to Section E)

C. Feedback on partnership experience with the IPP initiative

20. How would you rate your experience with the following aspects of partnership with USAID, with 1 = not satisfied and 5 = very satisfied

20a. Co-creation of the project	1	2	3	4	5
20b. Agreeing on outcomes and performance indicators	1	2	3	4	5
20c. Negotiating funding level and cost sharing	1	2	3	4	5
20d. Contractual process	1	2	3	4	5
20e. Reporting requirements	1	2	3	4	5
20f. Communications	1	2	3	4	5

21. To what extent did partnership with USAID help to attract additional funding (public and/or private) for your program?

- a. Very helpful
- b. Moderately helpful
- c. A little helpful
- d. Not helpful

22. How would you rate your experience in managing partnerships with your grantee(s), with 1 = not satisfied and 5 = very satisfied

22a. Designing the project/activity	1	2	3	4	5
22b. Agreeing on outcomes and performance indicators	1	2	3	4	5
22c. Negotiating funding level and cost sharing	1	2	3	4	5
22d. Contractual process	1	2	3	4	5
22e. Reporting requirements	1	2	3	4	5
22f. Technical support during implementation	1	2	3	4	5

23. Does your program include partnership with any of the following?

23a. Venture capitalist	Yes	No
23b. Social entrepreneurs	Yes	No
23c. Investors	Yes	No
23d. Financial services providers	Yes	No
23e. Indian diaspora	Yes	No

24. For those marked yes, please rank your experience collaborating with these entities, with 1 = not satisfied and 5 = very satisfied.

24a. Venture capitalists	1	2	3	4	5
24b. Social Entrepreneurs	1	2	3	4	5
24c. Investors	1	2	3	4	5
24d. Financial Service Providers	1	2	3	4	5
24e. Indian Diaspora	1	2	3	4	5

25. To what extent did partnership with USAID help to incubate, accelerate, or scale up your sub-grantees' innovation?

- a. Very helpful

- b. Moderately helpful
- c. A little helpful
- d. Not helpful

Please go to Section F

D. Feedback on partnership experience with the Millennium Alliance

26. Please indicate the category under which your innovation is funded:
- a. Stage 1: Proof of concept – piloting or testing an innovation
 - b. Stage 2: Scaling or replicating an innovation that has been pilot tested
 - c. Stage 3: Replicating the innovation in other low-income countries
27. How would you rate your experience with the following aspects of the MA initiative, with 1 = not satisfied and 5 = very satisfied

27a. Application process	1	2	3	4	5
27b. Agreeing on outcomes and performance indicators	1	2	3	4	5
27c. Funding and cost-sharing level	1	2	3	4	5
27d. Contractual process	1	2	3	4	5
27e. Reporting requirements	1	2	3	4	5
27f. Technical support during implementation	1	2	3	4	5

28. To what extent did partnership with USAID help your grantees to incubate, accelerate, or scale up their innovation?
- a. Very helpful
 - b. Moderately helpful
 - c. A little helpful
 - d. Not helpful
29. To what extent did partnership with USAID help your grantees to attract additional funding (public and/or private) for their innovation?
- a. Very helpful
 - b. Moderately helpful
 - c. A little helpful
 - d. Not helpful

E. Impact of Partnership

30. To what extent was gender integrated/mainstreamed into your partnership with USAID and/or grantees?
- a. Fully integrated using common and custom indicators
 - b. Partially integrated with custom indicators
 - c. Not at all integrated
31. In your opinion, was your program and/or your grantee effective in reaching the Bottom of the Pyramid (BOP)?
- a. Highly effective
 - b. Moderately effective
 - c. Not effective
 - d. Not sure
32. To what extent did your program and interventions contribute to changes in the sector in which you were working – e.g. individual behavioral change, organizational change, systemic change?

- a. Significant direct contribution
- b. Moderate direct contribution
- c. Indirect contribution
- d. Not sure

F. Conclusion

33. Please list three key success factors in implementing your partnership with USAID and/or other stakeholders

- a. _____
- b. _____
- c. _____

34. Please list three key challenges in implementing your partnership with USAID and/or other stakeholders.

- a. _____
- b. _____
- c. _____

35. Other Comments/Suggestions

THANK YOU!

KII GUIDE FOR IMPLEMENTING PARTNERS

A. Organization background

1. Please tell us about your organization
2. What is your motivation in partnering with USAID? What benefits do you anticipate from a partnership with USAID?
3. Is this the first time that your organization has partnered contractually with USAID?
 - If no, what was the nature of your previous contractual relationship with USAID?

B. Project formulation

4. What is the problem/challenge/market gap that your project is trying to address? What is the target market/primary beneficiaries of your program?
5. How does the project intend to address this problem/challenge/market gap? To what extent was gender integrated into your design? What is the innovation? How/why is your approach innovative?
6. Can you tell us more about the co-creation process that you went through with USAID?
 - Identifying common objectives, approaches, outcomes
 - Agreeing on cost-sharing, reporting
7. What benefits did you receive from this co-creation process? What knowledge and/or skills did you gain from this process?
8. What were the key challenges of co-creation?
9. In your opinion, how can this process be improved?

C. Project Implementation and Results

10. To what extent was USAID engaged in project implementation? What was the nature of the engagement?
 - Convening resource partners
 - Outreach
 - Training and capacity building
11. To what extent did USAID engagement and support impact project implementation (positive and negative)? To what extent did this support help your organization to scale up your program?
12. What can be improved? What recommendations do you have to improve the level and type of engagement?
13. In your opinion, what are the key successes of your project? What would you consider to be the greatest impact that you had on the bottom of the pyramid? To what extent did program activities facilitate gender mainstreaming?
14. To what degree did partnership with USAID influence the success of your project? Please rate on a scale of 1 to 5, 1 = no influence and 5 = significant influence
15. To what extent did the partnership with USAID help to catalyze additional investments (private and/or public) or additional partners (financial and resource) to your program? From which types of investors have you been able to leverage additional funding? To what extent did your program benefit from CSR funding?

16. What are the key challenges of your project? Is the time horizon (3-5 years) appropriate? How did you handle these challenges? Were there changes/adaptations that have been made?

17. What other improvements would you make in the future?

D. Feedback on partnership experience

18. In your opinion, what are the key success factors for partnering with USAID?

- Initiatives taken to support project partners achieve outputs and outcomes
- Has partnership with the state/central government been sufficiently built to scale impact on the ground
- What is the gender approach at this level?
- Has platform approach helped in increasing impact on government policy?

19. What are the key challenges?

20. What can be done to increase the effectiveness and impact of the partnership?

21. What advice would you give to another organization who is interested in partnering with USAID?

THANK YOU!

KII GUIDE FOR SUB-GRANTEES

A. Organization background

1. Please tell us about your organization
2. What is your motivation in partnering with a USAID project? What benefits do you anticipate from a partnership with this USAID project?
3. Is this the first time that your organization has collaborated with a USAID-funded program?
 - a. If no, what was the nature of your previous relationship with USAID?

B. Project design and preparation

4. What is the problem/challenge/market gap that your organization is trying to address? What is the target market/primary beneficiaries of your activity?
5. How did you intend to address this problem/challenge/market gap? To what extent was gender integrated into your design? What is the innovation? How/why is your approach innovative?
6. Did you receive external support from the USAID platform on the design of your activity? If yes, can you tell us more about the support? How did this support benefit your project?
7. What benefits did you receive from this support? What knowledge and/or skills did you gain from this support?
8. In your opinion, how can the level and type of support be improved?

C. Implementation and Results

9. To what extent was the USAID platform engaged in project implementation? What was the nature of the engagement?
 - a. Convening resource partners
 - b. Outreach and networking
 - c. Training and capacity building
10. To what extent did the USAID platform's engagement and support impact project implementation (positive and negative)? To what extent did this support affect your organization's ability to scale up?
11. What can be improved? What recommendations do you have to improve the level and type of engagement?
12. In your opinion, what are the key successes of your project? What would you consider to be the greatest impact that you had on the bottom of the pyramid? To what extent did program activities facilitate gender mainstreaming?
13. To what degree did the partnership with the USAID platform influence the success of your project? Please rate on a scale of 1 to 5, 1 = no influence and 5 = significant influence
14. To what extent did the partnership with the USAID platform help to catalyze additional investments (private and/or public) or additional partners (financial and resource) to your program? From which types of investors have you been able to leverage additional funding? To what extent did your program benefit from CSR funding?

15. What are the key challenges of your project? Is the time horizon appropriate? How did you handle these challenges? Were there changes/adaptations that have been made?

16. What other improvements would you make in the future?

D. Feedback on partnership experience

17. In your opinion, what are the key success factors for partnering with USAID?

- a. Outcomes achieved vs desired outcomes in project plan
- b. To what extent are gender approaches mainstreamed at project level?
- c. To what extent have Enterprises successfully been connected to other platforms or to Government
- d. Have projects scaled up - to what extent - why have some not been able to scale

18. What are the key challenges?

19. What can be done to increase the effectiveness and impact of the partnership?

20. What advice would you give to another organization who is interested in partnering with USAID?

THANK YOU!

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