Gram Vikas end line report

MFS II country evaluations, Civil Society component

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Dieuwke Klaver[1]
Marloes Hofstede[1]

Soma Wadhwa[2]
Alisha Madaan[2]
Rajan Pandey[2]
Bibhu Prasad Mohapatra[2]
Alisha Kalra[2]

1 Centre for Development Innovation, Wageningen UR, Netherlands
2 India Development Foundation, India

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This report describes the findings of the end line assessment of Gram Vikas (GV) in India that is a partner of ICCO.

The evaluation was commissioned by NWO-WOTRO, the Netherlands Organisation for Scientific Research in the Netherlands and is part of the programmatic evaluation of the Co-Financing System - MFS II financed by the Dutch Government, whose overall aim is to strengthen civil society in the South as a building block for structural poverty reduction. Apart from assessing impact on MDGs, the evaluation also assesses the contribution of the Dutch Co-Funding Agencies to strengthen the capacities of their Southern Partners, as well as the contribution of these partners towards building a vibrant civil society arena.

This report assesses Gram Vikas' efforts to strengthen Civil Society in India based upon the CIVICUS analytical framework. It is a follow-up of a baseline study conducted in 2012. Key questions that are being answered comprise changes in the five CIVICUS dimensions to which Gram Vikas contributed; the nature of its contribution; the relevance of the contribution made and an identification of factors that explain Gram Vikas's role in civil society strengthening.

Keywords: Civil Society, CIVICUS, theory based evaluation, process-tracing

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Acknowledgements

List of abbreviations and acronyms

APL	Above Poverty Line
BPL	Below Poverty Line
CDI	Wageningen UR Centre for Development Innovation
CFAs	Co-Financing Agencies
CFO	Co-Financing Organisation
CS	Civil Society
GV	Gram Vikas
IDF	India Development Foundation
MANTRA	Movement and Action Network for the Transformation of Rural Areas
MFS	Dutch co-financing system
MoFa	Ministry of Foreign Affairs
MGNREGA	Mahatma Gandhi National Rural Employment Guarantee Act
NABARD	National Bank for Agriculture and Rural Development
NBA	Nirmal Bharat Abhiyan
NRHM	National Rural Health Mission
OSDMA	Odisha State Disaster Management Agency
OTELP	Orissa Tribal Empowerment and Livelihood Programme
SHG	Self Help Group
SPO	Southern Partner Organisation
ST & SC	Scheduled Tribes & Scheduled Castes
ToC	Theory of Change
VEC	Village Executive Committee
Wageningen UR	Wageningen University & Research Centre
WODC	Western Odisha Development Council

1 Introduction

This report presents the civil society end line findings of Gram Vikas in India which is a partner of ICCO under the ICCO Alliance. It is a follow-up to the baseline assessment that was carried out in 2012. According to the information provided during the baseline study, Gram Vikas is working on the MDG 1, governance.

These findings are part of the overall evaluation of the joint MFS II evaluations to account for results of MFS II-funded or co-funded development interventions implemented by Dutch Co-Funding Agencies (CFA) and/or their Southern Partner Organisations (SPO) and to contribute to the improvement of future development interventions. The civil society evaluation uses the CIVICUS framework (see appendix 1) and seeks to answer the following questions:

- What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country?
- To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?
- What is the relevance of these changes?
- What factors explain the findings drawn from the questions above?

The CIVICUS framework that comprises five dimensions (civic engagement, level of organization, practice of values, perception of impact and contexts influencing agency by civil society in general) has been used to orient the evaluation methodology.

Changes in the civil society arena of the SPO
In the 2012 – 2014 period the two most important changes that took place in the civil society arena of Gram Vikas are related to the Civicus dimensions 'level of organisation' and 'perception of impact'.

With regards to 'level of organisation' the evaluators observe that Gram Vikas considerably improved its networking capacity within the Odisha state, in other states of India and in two African countries. The SPO engaged with NGOs working in Jharkhand, West Bengal, Nagaland and Madhya Pradesh on a wide range of issues. In Odisha state it signed a partnership agreement with another NGO, addressing the water and sanitation sector and it received assistance to train SHGs from members of the Orissa Development Action Forum of which it is still a member. In the same period the organisation expanded its financial resource base, by means of supporting the government with the implementation of government schemes and programmes, as well as by means of receiving funding from public and private companies to expand its water and sanitation programme MANTRA. The main reasons that explain its increased engagement with other actors is the office move from a remote village to the capital of Odisha.

With regards to 'perception of impact', Gram Vikas has been able to connect 4003 new households to water and sanitation systems, achieving a total of 62,900 households in 1,095 villages since the beginning of the programme. About 48 per cent of its target groups belong to tribal communities. Due to the October 2013 Cyclone Phailin, Gram Vikas will not be able to reach its 100,000 households target by 2015, starting in 2000. In the past two years, communities' demand for water and sanitation systems covering the entire village at once (100 percent coverage) has increased, because they experience the impact upon people's health, nutritional intake and time employment, because water is easily accessible for both consumption and production activities. Apart from the water and sanitation programme, Gram Vikas continued to increase people's access to government schemes and services. The Village Executive Committees increasingly help families to obtain access to these schemes and address corrupt practices of government officials that prevent their villages of accessing these schemes.

Gram Vikas expanded its collaboration with the public sector by supporting the implementation of a wide range of government schemes and programmes and by receiving grants for the implementation of their MANTRA programme. Apart from this they have been able to influence national water and sanitation policies that now recognise the need to implement the full package, comprising water availability for sanitary, consumptive and productive purposes for entire villages rather than individual households.

These findings were obtained through an analysis of documents, a workshop and follow-up interviews with the SPO, and interviews with external resources persons working in civil society organisations that receive support from the SPO; other civil society organisations with whom the SPO is collaborating; public or private sector agents and; external resource persons capable of overlooking the MDG or theme on which the SPO is concentrating.

Attribution-contribution question
Based upon an analysis of the projects and programmes financed by the Dutch CFAs a selection was made of SPOs to be included in an in-depth process tracing trajectory and those to be included for a quick contribution assessment. Gram Vikas was amongst those SPOs selected for in-depth-process tracing.

With regards to civic engagement the first outcome assessed is that of the increased outreach of the water and sanitation model (MANTRA) that has been promoted by Gram Vikas for the last 15 years. Between 2012 and 2014, 5036 new households from 107 new villages were covered under this model and the total number of households that now have access to water (for consumption and production) and sanitation has attained 62,900 households by March 2014. The most important explaining factor for this are ICCO's support to Gram Vikas, not only for the last two years; Gram Vikas' collaboration with the Odisha Tribal Empowerment and Livelihoods Programme (OTELP); the capacity of user groups trained by Gram Vikas to maintain their infrastructure and resources; the replication of the entire or parts of the model by other NGOs working under the same OTELP programme; the positive reputation that the model has obtained; and subsidies increasingly becoming available that help to ensure a 100 percent water and sanitation coverage per village.

The evaluators also observe that the growth of the number of villages and households covered by water and sanitation facilities has slowed down since March 2011, which may be due to missing resources available with Gram Vikas or a decreased demand of such systems.

The second outcome consists of students of two of the four residential schools created by Gram Vikas having now access to Below Poverty Line rice in line with the government scheme for other schools as of 2013. This outcome is to be explained by Gram Vikas, informing the parents of these students about the scheme and supporting them to file applications to claim their rights.

With regards to 'strengthening intermediate organisations', the evaluators looked at the capacity of the village extension committees put in place by Gram Vikas to defend the interests of their constituents, households. In total 1095 VECs in the same number of villages have been created, including 107 new VECs in the 2012 – 2014 period. Several examples have been confirmed that VECs are capable of defending the interests of their constituents beyond that of managing water supply infrastructure. Unfortunately Gram Vikas has not kept documents that show the performance of all VECs it trained. Major actors and factors that explain the outcomes achieved (at least the examples given) consist of training received from Gram Vikas, the relations VECs members possibly have with Panchayat members or their position in the Panchayat and; more subsidies becoming available from government schemes and programmes, requiring a more proactive role of VECs.

Relevance
Interviews with staff of Gram Vikas, with external resource person, with the liaison officer of ICCO, as well as contextual information helped to assess the relevance of Gram Vikas's interventions in terms of; its Theory of Change (ToC) for Civil Society (SC) as designed during the baseline study; the context in which CSA is operating; the CS policies of ICCO.

With regards to the baseline ToC, the interventions and outcomes achieved are relevant because Gram Vikas has continued working in line with its MANTRA model that informed the 2012 ToC.

With regards to the context in which Gram Vikas is operating, its interventions and outcomes in the water and sanitation sector are relevant, however information is missing that shows how these interventions influence the morbidity of water-borne diseases in the rural areas where the organisation is working. 48 % of Gram Vikas' target groups belongs to scheduled caste of tribe, which is higher than the average representation of these groups in Odisha state.

Gram Vikas's interventions align with ICCO's MFS II Food Security programme which aims to improve local food systems and to strengthen communities to claim their right to food. Therefore civil society strengthening by Gram Vikas is an important component of this programme, as well as the SPOs' focus on water and sanitation which directly relate to the nutritious quality of food and health issues.

Explaining factors
Internal factors that will explain Gram Vikas future orientations are the stepping down of the executive director and founder of Gram Vikas in June 2014, and the office moving to the capital of Odisha. The former director was a well-known person and for 35 years was strongly associated with Gram Vikas and its reputation. The new office in Bhubaneswar is expecting to make collaboration with other organisations easier.

A major external factor which has impacted Gram Vikas' work was the cyclone Phailin, which struck Odisha in October 2013. Gram Vikas therefore shifted its focus from the water and sanitation sector to that of the rehabilitation and reconstruction sector with a government programme funded by the World Bank.

Relations between ICCO and Gram Vikas have been functional and did not influence upon the findings of this evaluation.

The following chapter briefly describes the political context, the civil society context and the relevant background with regards to the governance issues Gram Vikas is working on. Chapter three provides background information on Gram Vikas, the relation of its MFS II interventions with the CIVICUS framework and specific information on the contract with ICCO. An evaluation methodology has been developed for the evaluation of the Civil Society component which can be found in appendix 2; however, deviations from this methodology, the choices made with regards to the selection of the outcomes for contribution analysis, as well as difficulties encountered during data collection are to be found in chapter 4. The answers to each of the evaluation questions are being presented in chapter 5, followed by a discussion on the general project design in relation to CS development; an assessment of what elements of the project design may possibly work in other contexts or be implemented by other organisations in chapter 6. Conclusions are presented in chapter 7.

2 Context

This paragraph briefly describes the context Gram Vikas is working in.

2.1 Political context

Politically, there has not been a major overhaul in the state's context in the past two years. The 2014 General Elections had the state continuing to show a preference for the regional party, Biju Janta Dal (BJD), which has been in power since 2000. The Chief Minister of Odisha's BJD party, won 20 out of 21 Lok Sabha seats in the elections. With this they have ensured that the right wing Bharatiya Janata Party (BJP) which gained power at the Centre in the national elections of 2014 has limited influence in the state. In order to extend gratitude towards the female population that voted in high numbers during this election[1], the government has introduced a new policy called the Odisha State Policy for Girls and Women 2014. Under this new policy, "the stamp duty for registration of a house or land purchased in the name of a woman or gift deeds of immovable property would be lower than that of men".[2]

Odisha is one of India's poorest states, with 63.2 per cent people living below the poverty line.[3] High prevalence of poverty is considered to be mainly a rural phenomenon—the state's level of rural poverty being the country's worst at 60.8 per cent—but it also has regional variations. The rise of Left extremism or Naxalism[4] in India is sharply linked to the poverty and the lack of development in the regions where it became prominent. With the evolution of the movement, most of the Naxals have come to adopt the Maoist ideology; the Maoists are banned in India. In Odisha, however, they exercise control in the western districts of Nuapada, Bargah, Sambalpur, Bolangir and Kalahandi. Here, the state's presence is at a minimum, and the Maoists run their own courts, "Jan Adalats", and levy taxes on traders.[5] In the 2005-2014 period, across India, there have been 6606 casualties related to Maoist activities.[6]

2.2 Civil Society context

This section describes the civil society context in India which is not SPO specific. The socioeconomic, socio-political, and sociocultural context can have marked consequences for civil society, perhaps more significantly at the lower levels of social development. The information used is in line with the information used by CIVICUS.[7]

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[1] *Refer,* http://www.thehindu.com/news/national/other-states/more-women-voters-in-odisha/article5950473.ece

[2] *Refer,* http://indianexpress.com/article/india/politics/naveens-thank-you-note-orissa-set-to-clear-new-policy-for-women/

[3] *Refer,* http://planningcommission.nic.in/reports/genrep/rep_pov.pdf

[4] The Naxalite movement traces its origins from the Naxalbari uprising in 1967, the Maoist struggle in India is an outcome of this uprising. Naxalism was borne out of the marginalisation of the forest dwellers in Naxalbari village in West Bengal. It picked up support in the surrounding areas with the common cause of fighting marginalisation, lack of development and poverty faced by rural India. With the adoption of the Maoist ideology the movement became violent.

[5] *Refer,* http://blogs.reuters.com/india/2013/05/29/who-are-indias-maoists-and-why-they-are-in-the-news/

[6] *Refer,* http://www.satp.org/satporgtp/countries/india/maoist/data_sheets/fatalitiesnaxal05-11.htm

[7] Mati J.M., Silva F., Anderson T., April 2010, *Assessing and Strengthening Civil Society Worldwide; An updated programme description of the CIVICUS Civil Society Index: Phase 2008 to 2010.,* CIVICUS

2.2.1 Socioeconomic context (corruption, inequality and macro-economic health)

Social Watch assessed India's progress being made against the Millennium Development Goals (MDG) and concludes that the country fails to meet goals set with regards to; poverty and hunger (MDG 1); gender equality (MDG 3); infant mortality (MDG 4); maternal mortality (MDG 5) and; environmental sustainability MDG 7). Three fundamental factors explain these appalling shortfalls, which are:

- Although social sector expenditures (rural development, education, health, family welfare, women and child development and water and sanitation increased in absolute terms between 1999 – 2000 and 2012-2013, in percentages of total public expenditures there was a general decline.
- The administration costs of centrally sponsored schemes such as the Mahatma Gandhi National Rural Employment (MANREGA) schemes have been increasing between 2006-2007 and 2011-2012 and only 66 % of the budget has been used for wage employment. Apart from this, misappropriation of funds explains the weak impact of such schemes.
- The government is promoting 'non-inclusive growth' and has sought to provide basic social services through subsidized institutions that all have problems of inefficiency, corruption, and so on. The formal, organized sector, which is the main source of quality employment, employs only 12% to 13% of the country's workforce and this is declining. The remaining 87% are relegated to the agriculture and informal sectors with low and uncertain earnings.

As a consequence, in the rural areas more than a quarter million farmers committed suicide in the last several years because they could not earn a living anymore in the agricultural sector[8].

An additional indicator for the social and economic context in India is the Social and Economic Rights Fulfilment Index (SERF Index)[9]. The SERF Index provides a means of determining the extent to which countries are meeting their obligations to fulfil five of the substantive human rights enumerated in The International Covenant of Economic, Social, and Cultural Rights (ICESCR): the right to food, the right to adequate shelter, the right to healthcare, the right to education, and the right to decent work.

Table 1

Social and Economic Rights Fulfilment Index (SERF) for India

India	2011	2012	2013
Core Country Right to Food Index Value	32.70	32.74	33.05
Core Country Right to Health Index Value	74.74	74.16	74.75
Core Country Right to Education Index Value	82.64	84.23	85.57
Core Country Right to Housing Index Value	62.55	62.60	66.48
Core Country Right to Work Index Value	27.57	27.69	32.71
Core Country SERF Index Value	**56.06**	**56.28**	**58.51**

Source: Social Watch's SERF index for 2011-2013

In 2011 and 2012 India was achieving a little over 56% of protecting its social and economic rights, feasible given its resources (table 1). Whereas relatively no changes occurred between 2011 and 2012, a slight improvement occurred in 2013, except for the right to food index (33.05) and the right to housing (27.57).

The Corruption Perception Index (CPI) ranks people's perception of corruption within the public sector of their respective countries.[10] A low score indicates that a country is perceived as highly corrupt. India's score was 3.6 out of 10 in 2012, which is 0.1 point lower than the average for all countries (3.7) and it occupies the 76th place on the CPI rank list with a total of 174 countries. In India, 24.8% of citizens surveyed believe that the government is effective in the fight against corruption. On the Bribery Perception Index India scores 7.5 out of 10, which is 2.6% lower than the average. Of the people who participated in the survey, 54% reported having paid a bribe in 2011. Since 2002, India's perception index in slightly improving from just below a score of 3 (0 is very corrupt and 10 is not

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[8] Bhaskara Rao Gorantla, Research Director and Ajay Kumar Ranjan, Research Officer, National Social Watch, India
[9] http://www.socialwatch.org/sites/default/files/SERF2012_eng.pdf
[10] http://country-corruption.findthebest.com/l/98/India

corrupt at all) in 2002 to 3.6 in 2012. Most corrupt institutions in 2012 are political parties, the police, legislature, public officials, public officials in the education sector, NGOs.

The Index of Economic Freedom measures economic freedom of 186 countries based on trade freedom, business freedom, investment freedom and property rights. The score is based on 10 freedoms in 4 pillars: rule of law, limited government, regulatory efficiency, and open markets. India's economic freedom score in 2012 is 55.7, making its economy the 120th freest in the 2014 index[11]. India is ranked 25th out of 41 countries in the Asia-Pacific region, and its overall score is below the regional and world averages (see figure 3). In the past 20 years, India has advanced its economic freedom score by nearly 11 points out of 100 points. It has achieved very large improvements in half of the ten economic freedoms, most notably in trade freedom. This has improved by over 65 points. As seen in figure 3, India's score continued to increase steadily over the past four years. However, it is still perceived as a 'mostly unfree' country. The main reason for this, as stated in the Index report, is the institutional shortcomings in the country. The state owned enterprises and wasteful subsidy programs result in chronically high budget deficits.
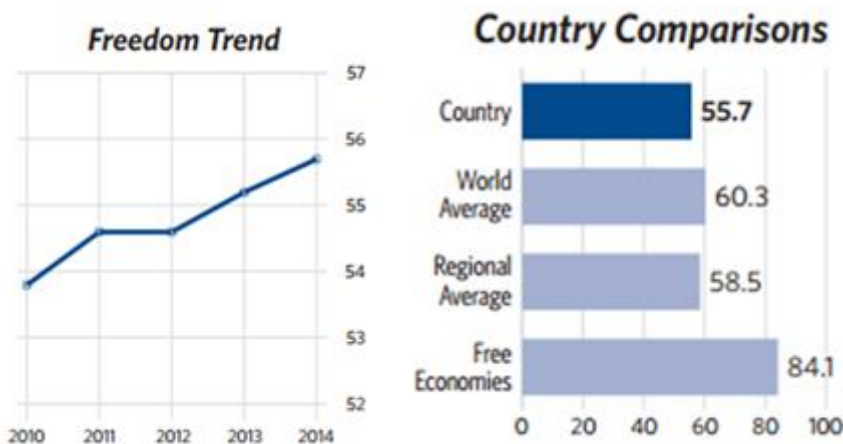
Figure 1: Freedom trend of India over time, and compared to other countries.

The Fragile States Index of FFP[12] is an index which is derived from 12 different indicators. These are social indicators, economic indicators and political and military indicators. From these, we can see trends in the overall development of a country.

Table 2 shows India's five of the twelve most problematic indicators of the past five years, as well as the average score for the twelve indicators: Low scores indicate a good situation and high scores indicate a bad situation.

Table 2

India's Fragile States Index scores of the critical indicators on a scale of 1 (good situation) to 10 (bad situation)

Year	Demographic Pressure	Group Grievance	Uneven Economic Development	Security Apparatus	Public Services	Average score 12 indicators
2014	7.7	7.8	7.8	7.0	7.9	76.9
2013	7.5	8.2	8.1	6.7	7.8	77.5
2012	7.3	7.9	8.4	6.9	7.5	78.0
2011	8.0	8.2	8.5	7.2	7.8	79.3
2010	8.1	7.8	8.7	7.2	7.6	79.2

Source: FFP Fragile States Index for 2010-2014[13]

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[11] http://www.heritage.org/index/pdf/2014/countries/india.pdf
[12] http://ffp.statesindex.org/2014-india
[13] Idem

The FSI shows that India is improving its status over the past five years, but is doing so at a very slow pace. Demographic pressure, uneven economic development and the security apparatus have improved slightly since 2010, which can be seen by the decline of the scores. However, group grievance has not improved and public service has even declined (the index got higher). Out of the 178 countries in this index, India does not succeed to become more than mediocre. However, the figure 2below shows that the development of India did have a steep improvement since 2006, but has been declining since 2011.

2.2.2 Socio-political context

Freedom House evaluates the state of freedom in 195 countries on an annual basis. Each country is assigned two numerical ratings – from 1 to 7 – for political rights and civil liberties. In this rating 1 represents the most freedom and 7 the least freedom. The two ratings are based on 25 more detailed indicators. [14]

Table 3

India's Freedom indexes over time

Year	Freedom status	Political rights score	Civil liberties score
2011	Free	2	3
2012	Free	2	3
2013	Free	2	3
2014	Free	2	3

Source: Freedom House Freedom indexes for 2011-2014[15]

Table 3 shows that scores have not changed over the past four years. India is considered a free country with an overall 'Freedom Status' of 2.5 (out of 7).

2.2.3 Socio – cultural context

The World Values Survey is a global network of social scientists who study changing values and their impact on social and political life[16]. They survey different values which can give an indication of the social status of a country. People in India indicate that they are generally quite happy. In the wave of 2010-2014 a total of 38.2% of the people questioned stated that they were very happy. In comparison, in the period of 2005-2009 this number was significantly lower with 28.9%. When asked about general satisfaction with their lives respondents give different answers. The respondents were asked to rate their satisfaction from 1 to 10, 1 being completely dissatisfied and 10 being completely satisfied. In 2010-2014 a total of 16.4% indicated that they were quite dissatisfied (rating 2) and 11.9% indicated they were completely dissatisfied (rating 1). Whereas 17.7% stated that they were satisfied (rating 8). This situation is very different from the 2005-2009 results where 41% indicted to be moderately satisfied and 15.8% was satisfied. This indicates that during the past five years people have shifted from being neutral about their life satisfaction, to being either dissatisfied or satisfied.

Another index to look at for social-cultural context is the Global Peace Index. This index attempts to measure the positions of nations' peacefulness, and is developed by the Institute for Economics and Peace. The position of a country is based on 22 indicators which can be divided into three main factors. The main factors on which this index is based are 1) militarisation, 2) society and security, and 3) domestic and international conflict. The maximum score is 5, which indicates that this factor is a problem for the peacefulness of the country. The higher the score, the lower country ranks in the total Index. The current position of India is 143 out of 162 countries[17]. The table below shows the development of India as of 2010.

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[14] https://freedomhouse.org/report/freedom-world/2014/india-0#.VGCiRvlwtcQ
[15] Idem
[16] http://www.worldvaluessurvey.org/WVSContents.jsp
[17] http://www.visionofhumanity.org/#page/indexes/global-peace-index/2014/IND/OVER

Table 4

India's Global Peace Index scores over time: scores from 1 (good) to 5 (bad)

Year	Militarisation	Society & Security	Domestic & International Conflict	Country Rank
2010	2.5	2.3	3.4	132 (of 148)
2011	2.4	2.4	3.4	142 (of 153)
2012	2.4	2.4	3.2	144 (of 158)
2013	2.4	2.4	3.0	141 (of 162)
2014	2.4	2.4	3.0	143 (of 162)

Source: Vision of Humanity Global Peace index from 2010-2014[18]

2.2.4 The Foreign Contribution Regulation Act 2010[19]

NGOs are perceived as very important in India, as they contribute a lot in the development of the country[20]. NGOs often work with marginalized groups and try to raise their awareness on their rights vis-à-vis the state. Most local NGOs are funded by international organizations. In order to keep this funding under control, India's government installed the 'Foreign Contribution Regulation Act' in 1976.

In March 2011 an amendment of the original Foreign Contribution Regulation Act passed both Houses of Parliament. Compared to the 1976 Act, major changes comprise a list of persons and organisations that cannot receive foreign contributions anymore. These are; election candidates; correspondents, columnists, journalists; judge, government servant or employee of an entity controlled or owned by the government; members of any legislature; political party or its office bearers; organizations of a political nature as may be specified; associations engaged in the production or broadcast of audio news.

In the first place this Act seems to have no consequences for the Dutch NGOs and their Southern Partners, however a leaked report of India's International Bureau tells a different story, suggesting that protests against development projects had caused a loss of India's GDP with 2-3%. These protests were allegedly fuelled by foreign-funded NGOs, mentioning Greenpeace, Cordaid, Hivos, Oxfam, Amnesty and ActionAid21. The main allegation against these NGOs is that they are funding organizations which are working in politically sensitive sectors such as the mining sector and the agricultural sector with regards to Genetically Modified Food production. Foreign contributions to support SPOs that work on human rights issues, governance and sensitive sectors like mining, forestry and agriculture are increasingly being monitored.

2.3 Civil Society context issues with regards to the MDG

The civil society in Odisha continues to face much of the same issues that it did at the time of the baseline. Adding to the challenges that come with poor social and human indicators, Odisha has long been the site of a battle over land grab, Naxalism and natural disasters, the harshest of which struck the state a year after the baseline in the form of Super Cyclone Phailin.

According to Census 2011, 83.31 per cent of Odisha's population is rural, where land is an important commodity, providing not only housing but also sustenance to the people. The issue of land grabbing in Odisha has garnered attention due to its often exploitative and insensitive nature. Odisha is a resource rich state of India, offering iron-ore, bauxite, coal and manganese in abundance. The state industrialisation drive has been hampered due to protests by the tribal population on whose land it hopes to set up industries. A long drawn battle has been going on against the proposed POSCO steel plant in Paradip and Vedanta Groups bauxite plant in the Niyamgiri hills. Recently in January of 2014, the Union Environment Ministry rejected the bid for corporate Vedanta's bauxite plant whereas it has

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[18] http://www.visionofhumanity.org/#page/indexes/global-peace-index/2014/IND/OVER
[19] http://www.fcraforngos.org/
[20] Status of grass root level NGOs in Rajasthan
[21] http://indianexpress.com/article/india/india-others/only-11-of-22-ngos-in-ib-report-are-fcra-compliant-none-filed-13-14-statement/

renewed the environmental clearance for POSCO steel plant. The rejection for Vedanta came following the decision of the 12 village councils of Dongriya Kondh tribes that lived in the region against the plant.[22] The anti-POSCO protests are still on, these over the years have also been violent, where just last year in 2013, four activists working against the plants construction were murdered by "hired musclemen" of POSCO in collaboration with local policemen.[23]

Odisha is part of the "red corridor" in India, considered the hub of Naxalite activities. In 2013, there were 22 civilian deaths due to Naxal-related activities and in 2014 so far there have been 30 civilian deaths.[24] Although, there has been a lull in Naxal activities compared to the 2011-2012 period, they still occupy a strong position in the state.

Odisha which is prone to natural calamities like floods and cyclones was hit by cyclone Hudhud on 18th October 2014. Dealing with regular natural disasters, hampers much of the other work, as time and effort is then spent in dealing with the problems in the aftermath of a disaster. Phailin, a Very Severe Cyclonic Storm (VSCS), hit Odisha on the 12th of October 2013 with a wind speed touching almost 220 kmph. The intensity of the cyclone placed it inside category 5 of the Saffir-Simpson Hurricane Wind Scale (SSHWS). [25]The cyclone affected the lives of about 13.2 million people, causing 44 casualties, destroying 256,600 homes and resulting in damages worth INR 89,020 million (equivalent US$ 1,450 million) in its wake.[26] The strong winds and heavy torrential rains were responsible for the maximum amount of structural and physical damage. Due to the efforts of the Odisha government large-scale evacuation of people had taken place in the days leading up to the cyclones entry into the state, thus, avoiding major loss of life. During and after the cyclone, numerous NGOs came together to rehabilitate and provide relief to victims of the disaster. ActionAid formed a consortium of NGOs like ADRA, Oxfam, Christian Aid and Plan, this was along with another consortium formed by the NGO Save the Children to help the government in the post-Phailin period in providing relief work, rebuilding infrastructure and rehabilitation.[27]

Sanitation becomes a major issue after any natural calamity. Due to the already existing problem of large incidences of open defecation in the state, the possibility of disease becomes even higher in the aftermath of a disaster. The work for the civil society the disaster struck state therefore has been exacerbated, where initially the resources could have been used for permanent solutions they have now been diverted towards immediate solutions to return a sense of normalcy quickly.[28]

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[22] *Refer,* http://www.thehindu.com/todays-paper/posco-cleared-vedanta-loses-bid/article5564705.ece
[23] *Refer,* http://kafila.org/2013/03/10/protest-against-killing-of-anti-posco-activists-and-forcible-land-grabbing-in-odisha/
[24] *Refer,* http://www.satp.org/satporgtp/countries/india/maoist/data_sheets/anl_cas_oris.asp
[25] There are five categories on the SSHWS scale, fifth being the highest category on the scale. Any cyclone inside this category is capable of causing catastrophic damage.
[26] *Refer,* http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2014/01/10/000461832_20140110162742/Rendered/PDF/838860WP0P14880Box0382116B00PUBLIC0.pdf
[27] *Refer,* http://www.orissadiary.com/CurrentNews.asp?id=50721
[28] *Refer,* http://www.who.int/hac/events/drm_fact_sheet_wash.pdf

3 Gram Vikas and its contribution to civil society/policy changes

3.1 Background of Gram Vikas

Gram Vikas' founders came to Orissa in the early 1970s as student volunteers with the Young Students' Movement for Development (YSMD), Chennai, to serve victims of a devastating cyclone. Their extensive activism and relief work motivated them to form Gram Vikas, which was registered under the Indian Societies Registration Act of 1860 in 1979. The organisation is active in 4 States: Odisha where the head office is located, as well as most of the interventions (see map below), Madhya Pradesh (Chhatarpur), Jharkhand (Sareikela Kharsuan) and Andra Pradesh (Srikakulam).

Gram Vikas' vision it to have an equitable and sustainable society where people live in peace with dignity. Its mission statement is to promote processes which are sustainable, socially and gender inclusive to enable critical masses of poor and marginalized rural people or communities to achieve a dignified quality of life.

This mission is realized through the programme MANTRA - Movement and Action Network for the Transformation of Rural Areas. It was initiated in 1993 with water and sanitation as an entry point. Over the last 15 years the programme has demonstrated scalability and has covered over 787 villages and over 48,000 families as on 31st March 2010; 988 villages and 57,793 families have access to water and sanitation facilities as of March 2012. By March 2014, 62,900 households were covered by its programme.

The core values in the MANTRA programme are:

- Inclusion: All households take part in the development process and must benefit equally. Participation of all households of a village is a non-negotiable condition of the programme.
- Social Equity: Representation of all sections of the community in decision-making processes across caste, economic status and other barriers to ensure that a level playing field is created.
- Gender Equity: Equal representation and participation of men and women in community level decision-making and control.
- Sustainability: Development processes have built-in institutional and financial mechanisms for sustainability, and are necessarily based on sound environmental values.
- Cost sharing: Poor people can and will pay for beneficial development services but there are some social costs which society at large must meet.

MANTRA unites communities to overcome barriers of social exclusion. Water and sanitation, as an entry point intervention in new settlements, is not only a vehicle for improved health, but also a way of transforming hierarchical caste and gender based exclusion into equitable development.

The overall objective is to ensure access to safe and hygienic sanitation and protected piped water supply to the rural communities. This will have a direct bearing on the health of the population and in turn on their quality of life.

The MANTRA programme is based on 100 per cent coverage of all families in a village and has cost sharing, equity and sustainability aspects as its core approach. The programme is planned to cover an additional 30,000 families within the next three years (2010 – 2013).

3.2 MFS II interventions related to Civil Society

This evaluation looks at the third phase of the MANTRA programme, which focuses on safe water and sanitation facilities in Odisha. Gram Vikas is working on constructing sanitation facilities in 30 villages, targeting 1800 households in total as a means to ensure safe water supply for the entire village. Village Executive Committees (VECs) are being established that receive training to manage the project themselves. This evaluation looks in particular at two of the four objectives of the project financed by ICCO, namely the formation of socially inclusive, gender equitable and capable village development institutions and empowerment of these institutions. These objectives are directly related to the Civicus dimensions 'civic engagement' and 'level of organisation'.

3.3 Basic information

Table 5
Basic information.

Criterion	Basic information
Name of SPO	Gram Vikas
Consortium	ICCO Alliance
CFA	ICCO
Start date of cooperation	Since 1984 through EZE (Evangelic Centre for Development Aid) and with ICCO as lead agency since 1992
MDG/theme	MDG 1 Governance
MFS II project name	MANTRA phase 3 – Access to safe water and sanitation facilities in Odisha
Contract period	2011-2014
Total budget ICCO	€ 249,243, which represents 25 % of total project costs
Other donors if applicable	Community contribution and government contribution (total of €737,500)
Estimation of % of budget for Civil Society[29]	0,76 %

Source: contract intake form, project documents

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[29] Costs that relate to civil society development or policy influence are those costs that possibly contribute to the development of the CIVICUS dimensions, excluding coordination and office costs; staff costs and financial reserves.

4 Data collection and analytical approach

4.1 Adjustments made in the methodology of the evaluation

The documents which were used for the initial input-output-outcome analysis were not sufficient as the 2013-2014 annual report was missing. Moreover, the available reports did not mention exact numbers for the VECs and SHGs which were planned to be formed. This made it difficult to measure the outcomes in terms of planned outcomes and actual achievements.

4.2 Difficulties encountered during data collection

The Gram Vikas evaluation challenged the evaluators on many counts, language being the first among them. Though one among the evaluators spoke Odiya, there were numerous interviews to be conducted with people who spoke only this language. Not just time, but nuances might also have been lost in translation; this was even more so during telephonic interviews with those who could not understand either Hindi or English.

Secondly, identifying external resource persons who would comment on GV's work proved remarkably difficult. Those who were interviewed during the baseline seemed to have lost touch with GVs' work. A new set of interviewees had to be found. But even most among them were unable to provide feedback on the entirety of GV's work, knowing only parts of it.

Thirdly, identifying rival or alternative explanations was a challenge. Neither GV nor any of the external resource people interviewed would provide these. One reason for this seemed to be that very few NGOs in Odisha work on sanitation, those who do are very local and small and can barely match GV's resources and experience. In fact, relevant policy changes in sanitation are generally attributed to GV's advocacy efforts. Naturally therefore none would question GV if it were claiming that certain outcomes in this sector were the consequence of its work. Another explanation for the lack of rival pathways to GV's claimed outcomes is linked to Phailin, the Very Severe Cyclonic Storm (VSCS)[30] cyclone, which devastated Odisha in October 2013. Property and infrastructure were damaged on a humungous scale in the state's coastal areas. Obviously then, the primary and urgent concern of most actors in the state's development sector became reconstruction and rehabilitation. Preoccupied such, not many seemed to have kept track of GV's progress. Unsurprisingly, most external resource persons had information about GV's recent collaboration with OSDMA (Odisha State Disaster Management Agency) for reconstruction work in cyclone hit areas. But these same people could only offer a general impression on GV's other activities.

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[30] The intensity of the cyclone placed it inside category 5 of the Saffir-Simpson Hurricane Wind Scale (SSHWS). There are five categories on the SSHWS scale, fifth being the highest category on the scale. Any cyclone inside this category is capable of causing catastrophic damage.

5   Results

5.1 Results obtained in relation to intervention logic

The project which this evaluation focuses on is the third phase of the MANTRA programme. A lot of the work for this programme was done before the baseline, and the new phase basically builds on the previous work. Most of the preparations for the sanitation facilities were done before 2012 and in the 2012-2014 time-span these facilities had to be finished.

The 3rd phase MANTRA programme focuses on four specific objectives. The first is the establishment of sanitation facilities for 1800 villages in 30 villages in Odisha. In total 5036 households in 102 villages have benefitted from these facilities in the 2012 – 2014 period of which 56 villages are said to have been supported by ICCO (number of households covered unknown). Also, Gram Vikas planned to train 75 youth as skilled masons in order to guarantee sustainability of the programme. The annual reports are available until 2012 and at that time 101 household toilets were completed and 406 were in progress. Also, they had held masonry training with 21 youth participants.

Linked to the first objective is the objective of providing access to safe water supply for the 30 selected villages in Odisha. This should result in a decrease of waterborne diseases, improvement of health status of the villagers and a reduction of time women need to spend on fetching water for their families. However, the annual reports indicated that the water supply was not yet secured, which resulted in this objective not being reached.

In order to strengthen the impact of the programme Gram Vikas aimed to form Self Help Groups (SHGs) and Village Executive Committees (VEC). These institutions should become financially independent of Gram Vikas and capable of doing the maintenance of the sanitation units themselves. At the end of 2012 Gram Vikas had formed 20 female SHGs. A corpus fund was set up for all families involved in the programme. Also, 20 VECs of the 30 planned were formed that held 106 meetings in two years' time. The VECs were in the process of getting registered in 2013.

No information is available with regards to the constitution of the corpus fund: the amount planned is 1,800,000 Rs.

5.2 Changes in civil society in the 2012-2014 period

5.2.1   Civic Engagement

Civic engagement describes the formal and informal activities and participation undertaken by individuals to advance shared interests at different levels. Participation within civil society is multi-faceted and encompasses socially-based and politically-based forms of engagement.

In the past two years, Gram Vikas has contributed to changes in civic engagement: Gram Vikas ensures 100 percent village coverage with its water and sanitation programme. Gram Vikas mainly works in villages with a higher concentration of poor and marginalised communities, particularly Dalits[31] and Adivasis.[32] About 48 per cent of its target groups belong to tribal communities.

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[31] The word Dalit means broken, oppressed and downtrodden. The word is nowadays adopted by the depressed classes who were previously under the caste system termed as untouchables. Dalits are considered "outcastes" falling out of the traditional Varna or caste system. They have been associated with those belonging to castes that have traditionally done menial and "polluting" jobs. As such, they have faced rampant discrimination in Indian society. Dalits form 16.6% of Indian population. *Refer,* http://www.ncdhr.org.in/dalits-untouchability/

Since the beginning of the third programme in 2011, 4003 new households got access to water and sanitation facilities. By March 2014, 62,900 households in 1,095 villages had access to these facilities compared to 48,000 households in 787 villages across 21 districts of Odisha by March 2010. The initial target aimed for 100,000 households by 2015, which will however not be reached[33]. With ICCO support, Gram Vikas started working in 20 villages of 30 villages planned. In those 20 villages a 'village body' is in place, comprising all head women and head men of the households to discuss water and sanitation issues and to ensure that every family commits to the construction of those facilities at household level. All families also contribute Rs.1000 to a corpus fund that is deposited in the bank and interests are being used to extend financial assistance to new families in the future. In each of these 17 villages a Village Executive Committee (VEC) is in place for the implementation and monitoring of the water and sanitation works. The VEC has 12 members, 6 women and 6 men, as well as a representation of castes and tribes. The organisation further continued the support to 20 female SHGs with ICCO funding. Gram Vikas' model of taking community contribution and maintenance of toilets is said to foster a sense of ownership and responsibility of these communities, which is not always found with other NGOs.

In the past two years Gram Vikas has expanded its scope of action: the October 2013 Cyclone Phailin hit the Odisha state very hard and the organisation engaged with rehabilitation and reconstruction works as of that moment, explaining why they (temporally) discontinued their water and sanitation programme. Apart from that organisation engaged in a wide range of government programmes, varying from school sanitation and hygiene education programmes; supporting families to obtain access to the national health insurance scheme; organising health camps; supporting girls on reproductive health issues and; implementing livelihoods programmes for tribal people. National Rural Health Mission (NRHM)[34].

Increasingly, Gram Vikas engages with local political entities such facilitating meetings of the 'Palli Sabhas', formed under the Odisha Gram Panchayat Act, which has the mandate to provide advice to the annual meeting of the Gram Panchayat. Apart from this it helps the VECs to engage with local members of legislative assemblies to lobby for financial sources for their own villages, including those needed for water and sanitation.

Score baseline 2012 on an absolute scale from 0-3:   **3**
Score end line 2014, relative change on a scale of -2 → +2   **0**

5.2.2   Level of Organisation

This dimension assesses the organisational development, complexity and sophistication of civil society, by looking at the relationships among the actors within the civil society arena.

In 2012 many respondents pointed out that Gram Vikas was not capable of networking with other organisations, and therefore did not expand the scope of its interventions beyond Odisha state. The past two years show that Gram Vikas worked hard at overcoming this shortcoming, by shifting its headquarters from its isolated campus in Behrampur to the capital Bhubaneshwar and by recruiting staff for the management of new collaborations.

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[32] Adivasis, or the original inhabitants, is the collective name used to describe people belonging to various tribes in India. They are found throughout India but are mainly concentrated in central and north-eastern states. The Adivasis vary greatly and are not one homogenous group, they speak different languages, have different culture and ethnicity. Often classified under "Scheduled Tribes" status, but this again differs from state to state. *Refer,* http://www.faqs.org/minorities/South-Asia/Adivasis-of-India.html

[33] No exact figures are available as regards to the number of households and villages covered under the ICCO finananced programme which aimed for 1800 households in 30 villages.

[34] National Rural Health Mission (NRHM) was launched in April 2005. The main goal of NRHM is to provide health care to the rural population, especially the disadvantaged groups, including, women and children. It integrates ongoing vertical health care programmes to address the issue of sanitation, safe drinking water and nutrition. *Refer,* http://pib.nic.in/archieve/flagship/faq_nrhm.pdf

Since the baseline Gram Vikas has expanded its collaboration with NGOs working in Jharkhand, West Bengal, Nagaland and Madhya Pradesh. These NGOs address a wide range of issues and not exclusively the water and sanitation sector.

In Odisha state, Gram Vikas also signed a four year partnership agreement with another NGO in another district with a clear division of tasks with Gram Vikas providing technical support and the other being in charge of mobilising communities on water and sanitation. The organisation is still part of the Orissa Development Action Forum, addressing drought and sustainable development and which is now assisting Gram Vikas with the training of SHG. However interactions with the FAN (Freshwater Action Network) that addresses water and sanitation policies seem to have become less intensive since the 2012 baseline study.

Gram Vikas also engaged with NGOs in Gambia and Tanzania to implement its MANTRA model.

When the SPO realised that its 30 year partnership with ICCO would come to an end in March 2014, it was successful in expanding its financial resources, by not only cooperating with a number of government schemes, but also by attracting new donors, including foundations (Bill & Melinda Gates Foundation for example), and foreign NGOs. Gram Vikas in the meanwhile increased its financial reserves to ensure the functioning of its governing body and the board and it continues to have a provision for raising funds through donations: Whereas Gram Vikas reported deterioration of its resource base in 2012, during the 2014 end line assessment, programme officers report a healthier financial situation, but the executive leadership is still less positive about its resource base.

Since the baseline assessment the Village Executive Committees have become more effective in supporting families to access various government schemes, ensuring a better implementation of government projects and filing Rights to Information. VECs are, according to Gram Vikas the best defendants of interests of marginalised people. Apart from these, many other NGOs were mentioned of defending the interests of these people, and the fact that the Orissa Tribal Empowerment and Livelihood Programme (public sector) which is working with many NGOs, puts these NGOs into competition with each other and therefore improves their services to marginalised groups in society.

Score baseline 2012 on an absolute scale from 0-3:   **2**
Score end line 2014, relative change on a scale of -2 → +2   **1**

5.2.3   Practice of Values

Practice of Values refers to the internal practice of values within the civil society arena. Important values that CIVICUS looks at such as transparency, democratic decision making, taking into account diversity that are deemed crucial to gauge not only progressiveness but also the extent to which civil society's practices are coherent with their ideals.

No changes occurred with regards to this dimension since the baseline. Gram Vikas has been known as a transparent organisation that distributes quarterly reports along the organisation. At the time of the end line evaluation the executive leadership indicated an improvement of the organisation's transparency and downward accountability. However, the staff and management at field level questioned this and some indicated that reporting had become a problem because of high staff turnover. Gram Vikas continued to send reports to donor agencies but the evaluators did not find evidence of these reports being shared within the organisation. Financial auditing is done by keeping an archive on the website of Gram Vikas.

The governing board of Gram Vikas consists of development practitioners, academia and professionals from the field of management and law. Two of the eight members two are women. The Governing board is elected by the General Body members, which has also eight members of which two are women. This situation remains the same as during the baseline.

Score baseline 2012 on an absolute scale from 0-3:   **3**
Score end line 2014, relative change on a scale of -2 → +2   **0**

5.2.4   Perception of Impact

Perception of Impact assesses the perceived impact of civil society actors on politics and society as a whole as the consequences of collective action. In this, the perception of both civil society actors (internal) as actors outside civil society (outsiders) is taken into account. Specific sub dimensions for this evaluation are the extent to which the SPO has contributed to engage more people in social or political activities, has contributed to strengthening CSOs and their networks, has influenced public and private sector policies.

Since the baseline study, Gram Vikas has obtained a positive impact for its beneficiaries and for the organisations it helped to create. It has also been able to influence public policies and practices. No changes occurred with regards to the private sector or the collaboration between Gram Vikas and the public sector organisations.

Civil society arena
After the super cyclone Phailin that hit Odisha in October 2013, local people's concerns have increased considerably; apart from chronic concerns as water and sanitation, health, education, food security, caste and gender discrimination, communal violence, lack of transportation and communication facilities and accessing government schemes, other concerns were added such as disaster resistant shelter, agricultural and horticultural production, access to more and different seeds (not hybrid), access to government's welfare schemes and electricity supply.

GV caters to all these concerns through awareness building and social mobilisation around sanitation, water, livelihood improvement, health care and facilitating interface with government departments and elected representatives.

Community demand and in particular that of tribal people for proper water and sanitation systems has increased over the past two years, because community members are themselves promoting these systems and because neighbouring villages have witnessed the positive effects of these systems (no figures available). As a result the health situation of people, especially of women and children, has improved, because; households improved their hygiene practices; women can invest time in their children's education and other livelihoods activities instead of fetching water from remote sources, and; families started their kitchen gardens due to the availability of water, which improves their nutritional intake (no figures available).

As has been mentioned above, Gram Vikas has exported its MANTRA development model, starting with water and sanitation, in other states of India and in Africa.

The organisation further directly introduces alternative renewable energy applications grid energy is not available and is the socio-technical support agency to the Odisha State Disaster Management Authority (OSDMA) for the construction of social housing (with toilets) and for the promotion of micro life insurance to rural populations, reaching 1671 individuals since the beginning of the programme in 2010.

Apart from the water and sanitation sector, Gram Vikas continued to increase people's access to government schemes and to government schools (the SPO still has four village-based residential schools, but reduced the number of day schools to one, thereby ensuring that children get access to good quality education at the government schools).[35] Youth have received vocational training in order to finalise the water and sanitation in their village or to maintain these systems as well as to assist the Odisha Disaster Recovery Project.

An important number of new and already existing VECs have received training by Gram Vikas since 2012, which increasingly become effective in their villages. Apart from the mobilisation of community corpus funds (Rs 1,000 per family connected to the water and sanitation system), the VECs have proven to be capable of filing RTI (Right to Information) applications which helped to obtain the electrification in many tribal villages; improved village infrastructure (roads) and connectivity; land being allotted to tribal persons under the Forest Rights Act (FRA). Other examples are known where

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[35] No figures available about people getting access to government schemes

VECs addressed corrupt practices of government officials; where public funds were released; where communities now monitor teacher attendance at school and the mid-day meal quality. VECs increasingly are being consulted by families living in their village.

Public sector collaboration and influence
The relations Gram Vikas has with the government are three-fold: they support government schemes and programmes; they receive grants to expand their MANTRA programme and they influence the government policies in place at state and national level. Changes occurred in particular with regards to policy influencing.

In the first they are supporting government schemes and programmes with their implementation such as the state government's disaster management agency for the construction of 22000 houses; programmes on health, nutrition, water and sanitation sector, targeting school children, adolescent girls, ill people and ensuring access to the micro health insurance scheme; supporting agricultural and horticultural programmes for tribal people and other agricultural programmes; ensuring that villages get access to the states rural electrification project and; making youth aware of the biodiversity, wildlife and environment in which they grow up.

In the second place at one national plant and one development council provide Gram Vikas with subsidies to expand its MANTRA programme, and some six other plants have invited Gram Vikas to collaborate with them on the MANTRA programme as an element of their social corporate responsibility mandate.

In the third place, elements of the MANTRA programme, partly because its executive director is the Chairman of the Working Group on Rural Drinking Water and Sanitation for India's Twelfth Five Year Plan (2012-17), have gained recognition in the national policy on sanitation, the Nirmal Bharat Abhiyan (NBA). One element is the principle of reaching 100 percent water and sanitation coverage in villages as a means to ensure social inclusion of all tribes and casts, for which the NBA has subsidies in place as well as the Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA). In relation to the first element, water and sanitation are now considered as a package under NBA, implying that water is not only made available for toilets but also for kitchens. The 100 percent coverage has also been facilitated under the Orissa Tribal Empowerment and Livelihood Programme (OTELP). Another element that became the government's policy is the use of sanitary dug well (open wells) instead of deep bore or tube wells as a means to reduce the contamination risks of ground water.

Gram Vikas however observes failures in the implementation of the NBA and the MGNREGA schemes, because the procedures for implementation are not clear and because subsidies from both schemes do not come easily available for communities.

Private sector collaboration and influence
Gram Vikas is very selective in engaging with private sector companies, given the fact that Odisha has been the site of conflicts between tribal populations and corporates for quite some time now[36]. The organisation still interacts with TATA steel on the implementation of water and sanitation programmes and has initiated discussions with two new companies. The introduction of the new Corporate Social Responsibility (CSR) Act that rules every company, private or public, with a net worth of Rs 500 crore or a turnover of Rs 1,000 crore or net profit of Rs 50 million, is required to spend at least 2 per cent of its average net profit from preceding three financial years on corporate social responsibility.

Score baseline 2012 on an absolute scale from 0-3:   **3**
Score end line 2014, relative change on a scale of -2 → +2   **1**

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[36] Protests against land acquisition for industries have been taking place across India. In Orissa, the site of protests are over the POSCO steel plant in Jagatsinghpur and the Vedanta's Bauxite Mine in Niyamgiri. In January this year the government gave environment clearance for the POSCO project but Vedanta didn't get its clearance after India's first environmental referendum in 2013, where the Dongria Kondh tribe rejected Vedanta mining in their area. *Refer,* http://www.thehindu.com/news/national/posco-cleared-vedanta-loses-bid-for-niyamgiri-project/article5561906.ece

5.2.5   Civil Society Context

The social, political and economic environment in which civil society operates affects its room for manoeuvre. The civil society context has been described in chapter 3. In this section we describe how CSA is coping with that context.

Gram Vikas' room for manoeuvre increased slightly since the baseline study. In the first place the 2013 Companies Act and the 2014 Companies Corporate Social Responsibility Policy Rules 2014 now require every company, private or public—with a net worth of Rs 500 crore or a turnover of Rs 1,000 crore or net profit of Rs 5 crore—to spend at least 2 per cent of its average net profit from preceding three financial years on social projects. These regulations led to the expansion of Gram Vikas' collaboration with both public and private sector companies.

Due to the Super Cyclone Phailin, Gram Vikas engaged in rehabilitation and reconstruction works that in turn partially derailed its water and sanitation work. However its own villages have shown to be capable to rebuild their partially or fully destroyed houses and water and sanitation systems in collaboration with OSDMA and the World Bank.

Increasingly communities that received 100 percent water and sanitation systems are changing their behaviour and start demanding and promoting clean practices. This was seen as a consequence of the ripple effect created by GV's efforts over the years.

Score baseline 2012 on an absolute scale from 0-3:   2
Score end line 2014, relative change on a scale of -2 → +2: 1

5.3 To what degree are the changes attributable to the Southern partner

5.3.1   Strategic Orientation Civic engagement

In this paragraph two outcomes are being explained, as well as the role of Gram Vikas in realising these outcomes. The first outcome concerns the outreach of the MANTRA programme, to which ICCO contributed in the past years, and the second is about parents claiming subsidies for their children studying at the residential schools of Gram Vikas.

Outcome one – outreach of the MANTRA programme
Gram Vikas (GV) initiated its flagship MANTRA programme in 2004 with focus on comprehensive habitat development and governance that uses the common concerns of clean water and community sanitation to unite and empower communities and promote better health. Its first target was set in 2010, covering 100,000 households with water and sanitation facilities. This target was rescheduled to 2015, but by March 2014 Gram Vikas had covered 62,900 households in total, covering about 5036 new households from 107 new villages between 2012 and 2014.

Factors that explain these outcomes consist of the following:
- ICCO supported water and facilitation systems for 56 of the 107 new villages in the 2012 – 2014 period in Odisha;
- Under the umbrella of the Odisha Tribal Empowerment and Livelihoods Programme (OTELP), Gram Vikas has covered 70 new villages in two districts between 2012 and 2013;
- External respondents state that Gram Vikas' MANTRA approach creates user groups to maintain the resources and ensures indirect follow-up after the project has finished. This approach comprises the mobilisation of people, informing and orienting them to be a part of the initiative, followed by supervision of construction works by the project;
- Other NGOs that are working under OTELP in adjacent localities have replicated elements of Gram Vikas' water and sanitation model, and Gram Vikas signed a memorandum of understanding with one NGO to provide technical support with the construction of water and sanitation facilities;

- The MANTRA model and its recognition by the district administrations helps Gram Vikas to implement the programme on a large scale: The model has established a reputation, and GV has decided to expand its coverage outside Odisha by collaborating with partners who can assist the programme's implementation in other states;
- Increasingly subsidies become available to construct individual household latrines. Subsidies are not only available for Below Poverty Level households but also Above Poverty Level households, making it easier to ensure a 100 percent water and sanitation coverage per village. These subsidies became available in 2013 under the NBA.

The reputation that Gram Vikas' MANTRA model has gained over the past 15 years with the support of ICCO, followed by financial support coming through government programmes and subsidies, as well as other NGOs collaborating with Gram Vikas to copy the model entirely or elements from it, all explain the increased outreach. The outcome has been achieved through the MANTRA model being development by Gram Vikas and a network that Gram Vikas has forged for itself.

Some narrative evidence has been collected that villages increasingly start to demand water and sanitation facilities as a result of the promotion of these facilities by community members in villages where Gram Vikas has intervened. However the analysis of the data available in the annual reports of Gram Vikas show that more villages and households *per year* were covered *before* March 2011 than in the four years *after* March 2011. These figures either indicate that Gram Vikas did not avail of the funding necessary to introduce the water and sanitation package in demanding villages, or that such demand does not exist[37].

Outcome two-subsidies become available for students attending Gram Vikas' residential schools.
Students from students from two out of GV's four residential schools now get BPL rice in line with the government scheme that rules students hailing from BPL households as eligible for rice at subsidised rates. Before 2013, the students would receive Rs. 500 as stipend that covered their food expenditure, soap, oil and medical expenditure. But they were not getting rice at subsidised rates even when they were eligible for it. Gram Vikas informed parents of this lacuna, and encouraged them to approach village and block level officials and file applications to avail their entitlements. The parents followed up with the help of the organisation. Because of continuous efforts, starting from year 2013, two out of four residential schools have started obtaining rice at subsidised rate. Additionally, the stipend amount has been raised from Rs. 500 to Rs. 650 per student. Gram Vikas also facilitates the process of accessing the money by the students, directly in their accounts. Evidence was provided that this outcome has been achieved and that Gram Vikas has been involved in reaching the outcome.

The outcome can therefore been explained as a collaborative effort of parents and Gram Vikas, with Gram Vikas as the initiator and the coordinator of the interventions.

5.3.2 Strategic Orientation Intermediate organisations

In this paragraph, one outcome achieved is being explained, including the role of Gram Vikas.

Outcome – VECs are capable of defending the interests of their constituents
The present coverage of GV (GV) under its flagship MANTRA constitutes 1095 villages. Accordingly, the total number of VECs formed till date is 1095. The coverage expanded to include another 107 villages between 2012 and 2014 and the corresponding increase in the number of VECs is 107 during this period. There are 12 members in a VEC, and women and men constitute 50 per cent membership each, caste find proportional representation in VECs.

Examples have been provided in paragraph 5.2.2 that Village Executive Committees have become more effective in supporting families to access various government schemes, ensuring a better implementation of government projects and filing Rights to Information. Other examples of proactive involvement of VECs in community welfare were narrated as anecdotes by VEC members. One such instance is that of the Tarba village Panchayat in Gajapati district where GV's MANTRA has managed to cover 90 per cent households. Villagers in Tarba earn their income from their cashew plantation. But

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[37] Annual reports available at the website of Gram Vikas.

the past few years have seen a descent in yields. As a result, the VEC members and villagers collectively decided to diversify and undertake rubber plantation to support their income. The VEC, it was assumed, would take a lead in this, as it did, by obtaining subsidies on the inputs required for rubber cultivation from ITDA (Integrated Tribal Development Agency).

Some VEC members have also been contesting in Panchayat elections. A girl, Shashi Malik, from Tamana village in Ganjam district (one of the first villages where GV began its work in 1978) now is now a sarpanch and a VEC member. Surat Subarao of Rayagaha block, Gajapati district has progressed from being an executive member of the VEC to becoming a sarpanch (an elected village representative). A tribal woman from Digposi village who is a sarpanch continues to be a VEC member and has played an instrumental role in ensuring 100 per cent water-sanitation coverage for villages under her Panchayat. Apart from this, there have been instances where the VEC members have actively filed RTI applications to uncover corruption.

A variety of documents have been provided by GV to substantiate this outcome. Copies of certificates issued by government offices for the registration of a VEC under different Panchayat Samitis as well as copy of VEC by-laws (in the Odiya script) show that such VECs are functioning in the target areas. Copy of a sanction letter issued by GV to a VEC member for the implementation of water and sanitation programme on an incentive basis shows the active engagement of such VECs and their responsibility thereof for the 100 per cent coverage under water and sanitation programme in a particular village. Unfortunately Gram Vikas has not kept documents that show the performance of the VECs to defend the rights of their constituents.

With regards to the role of Gram Vikas in explaining these outcomes, different answers where obtained:
- A woman sarpanch confirmed Gram Vikas' role, stating that working as a VEC member enabled her to create a positive image for herself in the village which later helped her in win the Panchayat election. She also credited the capacity building trainings and exposure given by GV for her success. She provided copies of RTI applications filed by VEC members in her village to check malpractices and corruption in government departments. Apart from this, VEC members agreed that trainings and exposure they got from Gram Vikas has enabled them to feel more confident in terms of dealing with government departments and officials and take on leadership roles;
- A government official from the ST & SC Development department agreed that VEC members are capable of managing resources like water supply infrastructure created by the community with the help of GV, but not much beyond that. A resource person from one of the partner organisations said that the VECs were empowered in handling the water and sanitation infrastructure created by GV, but were still learning to sustain it;
- An academic knowledgeable about GV's work said that the VEC members are indeed capable of leadership in their community and have been successful in implementing changes such as prohibition of liquor. However, he also mentioned that the reason behind increased capacities of VEC members may not only be explained by the trainings and exposure provided by GV, but could have stemmed from other factors, like their relations with Panchayat members or VEC members also having roles in their Panchayats;
- GV staffers credit GV as being the main actor capacitating VECs in the MANTRA villages. Apart from this, the changed pattern of financial assistance from the government has meant a more proactive role for VECs in terms of liaising, negotiating or actual implementing the programme and this is also a factor, according to Gram Vikas, that has contributed towards the outcome.

According to the evaluators, all of the above mentioned actors—a combination of them—are responsible for the achievement of this outcome.

5.4 What is the relevance of these changes?

5.4.1   Relevance of the changes in relation to the Theory of Change of 2012

The Theory of Change (ToC) prepared in 2012 covers the same activities as Gram Vikas has been working on for the past two years. According to that ToC the following needs to be in place to achieve a sustainable and equitable development: strong local level institutions such as the village bodies and VECs to obtain a 100 % coverage of water and sanitation facilities per village; access to information, by reinforcing people's capacities to make use of the Right to Information Act, the Forest Rights Act, the National Rural Employment Act and the services of other government programmes; the fulfilment of basic needs which in the first place requires interventions by Gram Vikas to raise people's awareness; secured livelihoods through (more equitable) market linkages, agricultural-horticultural and agroforestry development that protect existing soil fertility and that local people can keep a control on; inclusive development processes that take into account castes, tribes and women; making people capable to claim their rights to services delivered by pro people schemes and policies and through lobby and advocacy by Gram Vikas itself, and; networking by Gram Vikas to expand its MANTRA model in and outside Odisha.

In the past two years, Gram Vikas has made progress on all above elements that need to be in place for the achievement of sustainable and equitable development. The realisation of their ToC has been hampered by the Cyclone Phailin in October 2013, urging Gram Vikas to enter into reconstruction and rehabilitation activities.

5.4.2   Relevance of the changes in relation to the context in which the SPO is operating

Odisha is one of India's poorest states, with 63.2 per cent people living below the poverty line[38] and poverty is a rural phenomenon. Approximately 86 % of the 37 million people of Odisha live in rural areas. According to studies conducted in the early 1990s, over 80% of the cases of morbidity and mortality in rural Odisha could be traced to poor quality of drinking water, which was largely a consequence of poor sanitation, especially inadequate disposal of human waste. A 2004 study revealed that less than 1 % of the population had access to safe and protected water supply.

Gram Vikas states that it has had a positive impact on the quality of life, reducing the incidence of water-borne diseases, such as skin conditions and diarrhoea with 85 % in villages that are 100 % covered with water and sanitation facilities[39]. However consistent monitoring of water-borne diseases is missing, as well as the monitoring of the water quality and behavioural changes at household level. More information on these data would help to further assess the impact of Gram Vikas' interventions on health.

In the past 1,5 years Odisha state was hit by the Phailin Cyclone which might have led to the contamination of drinking water in flood affected areas[40] as well as by drought in May 2014, in particular in areas where the maintenance of water and sanitation systems is not being ensured [41]. No information is available as to what extent the VECs in Gram Vikas' intervention zones are maintaining their systems and are capable of facing floods and droughts.

Although Gram Vikas' interventions with regards to water and sanitation are very relevant, more information is needed to ensure that these lead indeed to a decrease in water-borne diseases, to improved hygiene practices at household level, as well as to the maintenance of these systems.

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[38] *Refer,* http://planningcommission.nic.in/reports/genrep/rep_pov.pdf

[39] Gram Vikas and FANSA (date unknown) Improving WASH through social inclusion in Odisha, Improving accountability to ensure equitable and sustainable WASH services for the poor and marginalised, Lessons from the governance and transparency programme. Available at
http://www.freshwateraction.net/sites/freshwateraction.net/files/GRAM%20VIKAS%20GTF%20case%20study.pdf

[40] http://www.downtoearth.org.in/content/phailin-fallout-people-face-acute-drinking-water-shortage

[41] http://www.business-standard.com/article/current-affairs/shortage-of-drinking-water-raises-concern-of-water-borne-diseases-in-odisha-114050600859_1.html

Gram Vikas' MANTRA model is very relevant to combat social exclusion taking place in villages: its model ensures that all families of a village obtain access to water and sanitation infrastructures. Apart from this the organisation ensures that 48 % of these families belong to scheduled tribes or castes. At state level 22% of the population has a tribal background and 17% are Dalits or scheduled castes.

5.4.3 Relevance of the changes in relation to the policies of the ICCO alliance and ICCO

ICCO's MFS II programme has three core strategies: policy influencing, civil society and poverty alleviation. These three strategies are integrated into each programme of ICCO. Gram Vikas falls into the Food Security Program. This programme aims to create civil society by strengthening and improving local sustainable food systems and communities to claim their right to food. It is about how civil society – Gram Vikas and target groups – is strengthened and capacitated through addressing their own issues, whether it is economic justice, WASH or other livelihood issues. ICCO emphasises in particular the strategies needed to address issues of target groups and to mobilise community members.

The justification of Gram Vikas being part of this Food Security programme is twofold. One reason is their work being based in Odisha, where many problems around food security are eminent. As ICCO was already working on projects in this area with regards to food security it was logical to place Gram Vikas in the same portfolio. Further, Gram Vikas uses water and sanitation as a direct link to health and hygiene. Water is a very important part of food security and is directly linked with health and hygiene. This is the second reason for Gram Vikas to have been placed in the food security programme. The work of Gram Vikas is very well aligned with the policy of the ICCO coalition.

5.5 Explaining factors

5.5.1 Internal factors

Gram Vikas faced two important changes since the baseline assessment; the first consisted of its founder and executive director stepping down after 35 years in June 2014, the second consists of Gram Vikas moving to the capital of Odisha, also in June 2014.

GV's Governing Board had, in fact, initiated a search process to recruit the new executive director in 2013, and Shubhasis Pattnaik was recruited as the new executive director (ED) with effect from May 2014. Pattnaik is an engineer and MBA and has 12 years of experience at senior positions in Infosys. The choice of a GV head from outside the development sector and from the corporate world, is expected to, amongst other things, provide inputs such that the organisation is better able to meet the increasingly professional demands of the donors, multilaterals, bureaucracy etc. At the time of the end line, Pattnaik had already recruited a new Human Resource (HR) Head. The head office shift, meanwhile, was made to enable better coordination with state government and other stake-holders, as also to attract professionals who usually don't want to work and live in the isolated Mohuda campus. Madiath wants to promote a Centre for Excellence in Academics and Sports for tribal children at the Mohuda campus.

The ramifications of both changes will unfold over time. While positive intent underlies both moves, they are fraught with the danger of changing the very character of GV. The former executive director and Gram Vikas have been synonymous till date, and this has always been the organisation's advantage given his credentials, contacts and influence. He is, for instance, currently serving as the Chairman of the Working Group on Rural Drinking Water and Sanitation for India's Twelfth Five Year Plan (2012-17). An Odisha-based development professional interviewed by the evaluators corroborated that Gram Vikas has always been centred around the former executive director's personality, and done well for this given his reputation in civil society. While his stepping down means an image change, whether the new Gram Vikas can cope without him is still to be seen. On the other hand, if the former director's considerable influence over the organisation continues despite the

change in stewardship then it might be interpreted as merely cosmetic. The change in staffing strategy is also bound to raise questions regarding the widening disparity between the relatively smaller remunerations for the field workers and the compensation packages being offered to personnel being hired from the corporate world. Also, the growing overheads that will be the consequence of running an office in the capital as compared to running one in a district. However these issues are resolved, it is clear that Gram Vikas in the past two years has been introspecting and evolving internally to keep up with the times.

5.5.2 External Factors

The period between the baseline and the end line in Odisha was marked by Super Cyclone Phailin hitting the state and its neighbour Andhra Pradesh (AP) in October 2013. Over thirteen million people were affected, millions evacuated, properties ruined and damaged. Gram Vikas remained not just undeterred by this external circumstance, but embraced it as an opportunity to use its knowledge and skills to assist the state in dealing with it. The organisation started working on social housing in collaboration with Odisha State Disaster Management Agency (OSDMA) and the World Bank. And at the field level, it collaborated with government line departments on repair and rehabilitation work in affected villages, as also assisted villagers avail compensations that were delayed or denied.

These past two years also saw Gram Vikas recognise that donors increasingly do not want to invest in institutional costs such as rents, staff salaries, etc, preferring to focus on project funding. This has made the organisation decide on diversifying its funding sources such that they are not reliant on any one funder for their establishment costs. GV's staffing strategy has also been revisited; fresh recruitments are being made with a view to have in-house access to documentation skills that are now becoming an important part of donor demand.

5.5.3 Relations CFA-SPO

The cooperation between Gram Vikas and ICCO started before the baseline, and has been a good relationship. The evaluation team does not see evidence for this relationship to explain the changes made by Gram Vikas.

6 Discussion

6.1 Design of the intervention

This section discusses whether the project is well designed and suitable for the environment in which it was implemented.

The evaluation team believes that the greatest strength of Gram Vikas' work is their MANTRA model - Movement and Action Network for the Transformation of Rural Areas – that starts with the water and sanitation sector. Its unique approach to cover entire villages rather than individual households (100 percent coverage rule) is the key factor of their success. This ensures social inclusion of marginalised categories in society and should lead to an accelerated reduction of water borne diseases. Starting with water and sanitation as a full package, including access to water for toiletry, consumption and production, helps to both secure food, nutrition and health issues. Although some testimonies are available with regards to the performance of the 1095 VECs, no data are collected on a structural basis that explain the extent to which the VECs are capable of defending the interests of their constituents at large, and of maintaining the water and sanitation infrastructure. These data are important to understand the extent to which the MANTRA model has materialised.

6.2 Replication of the intervention

Gram Vikas' model is at the moment expanding to other states in India and even to other countries in Africa. It is beyond the mandate of this evaluation team to assess the extent to which the model is replicable in these locations where other NGOs are in charge, although it would provide many insights.

In order to be able to replicate this intervention, at first sight the following competencies need to be available:
• Strong leadership, with a clear development vision (MANTRA model), capacity to relate with a wide range of actors and to network with these;
• Capacity to organise people at village level into democratic structures that are capable of claiming their rights as a means to improve their livelihoods and that are capable of maintaining water and sanitation infrastructure;
• Technical expertise with regards to the construction of water and sanitation facilities.
• Capacities to collect data with regards to the water quality, the performance of village structures such as the VECs, the prevalence of water-borne diseases and behavioural changes with regards to water and sanitation;
• An organisation that is being trusted by its target groups and that understands the root causes of inequality.

With regards to the institutional environment in which such an organisation would operate:
• Good working relations with state government, district administration and lower administrative levels;
• A government that prioritises water and sanitation as a key entry point for development; adheres to the 100 % coverage principle and has subsidies in place to cater for these interventions.

7   Conclusions

Changes in the civil society arena of the SPO
In the 2012 – 2014 period the two most important changes that took place in the civil society arena of Gram Vikas are related to the Civicus dimensions 'level of organisation' and 'perception of impact'.

With regards to 'level of organisation' the evaluators observe that Gram Vikas considerably improved its networking capacity within the Odisha state, in other states of India and in two African countries. The SPO engaged with NGOs working in Jharkhand, West Bengal, Nagaland and Madhya Pradesh on a wide range of issues. In Odisha state it signed a partnership agreement with another NGO, addressing the water and sanitation sector and it received assistance to train SHGs from members of the Orissa Development Action Forum of which it is still a member. In the same period the organisation expanded its financial resource base, by means of supporting the government with the implementation of government schemes and programmes, as well as by means of receiving funding from public and private companies to expand its water and sanitation programme MANTRA. The main reasons that explain its increased engagement with other actors is the office move from a remote village to the capital of Odisha.

With regards to 'perception of impact', Gram Vikas has been able to connect 4003 new households to water and sanitation systems, achieving a total of 62,900 households in 1,095 villages since the beginning of the programme. About 48 per cent of its target groups belong to tribal communities. Due to the October 2013 Cyclone Phailin, Gram Vikas will not be able to reach its 100,000 households target by 2015, starting in 2000. In the past two years, communities' demand for water and sanitation systems covering the entire village at once (100 percent coverage) has increased, because they experience the impact upon people's health, nutritional intake and time employment, because water is easily accessible for both consumption and production activities. Apart from the water and sanitation programme, Gram Vikas continued to increase people's access to government schemes and services. The Village Executive Committees increasingly help families to obtain access to these schemes and address corrupt practices of government officials that prevent their villages of accessing these schemes.

Gram Vikas expanded its collaboration with the public sector by supporting the implementation of a wide range of government schemes and programmes and by receiving grants for the implementation of their MANTRA programme. Apart from this they have been able to influence national water and sanitation policies that now recognise the need to implement the full package, comprising water availability for sanitary, consumptive and productive purposes for entire villages rather than individual households.

These findings were obtained through an analysis of documents, a workshop and follow-up interviews with the SPO, and interviews with external resources persons working in civil society organisations that receive support from the SPO; other civil society organisations with whom the SPO is collaborating; public or private sector agents and; external resource persons capable of overlooking the MDG or theme on which the SPO is concentrating.

Contribution analysis
Based upon an analysis of the projects and programmes financed by the Dutch CFAs, four orientations strategic for civil society development were identified: Ensuring that more people from more diverse backgrounds are engaging in civil society activities; ensuring that the organisations that receive support from the SPO are capable of playing their role in civil society – intermediate organisations; strengthening the relations with other organisations in civil society to undertake joint activities, and; influencing policies and practices of public or private sector organisations. For India the focus is on enhancing civic engagement and strengthening intermediate organisations.

Based upon an estimation of the percentage of the MFS II project budget related to interventions that are relevant for civil society, those SPOs whose absolute budgets for civil society were most important were selected for in-depth process tracing on two outcomes related to the above mentioned strategic orientations. The evaluation team conducted a quick assessment on contribution for the other SPOs.

Gram Vikas was amongst those SPOs not selected for in-depth-process tracing and the evaluators looked at two outcomes achieved that relate to 'civic engagement' and one outcome achieved that relates to the performance of intermediate organisations.

With regards to civic engagement the first outcome assessed is that of the increased outreach of the water and sanitation model (MANTRA) that has been promoted by Gram Vikas for the last 15 years. Between 2012 and 2014, 5036 new households from 107 new villages were covered under this model and the total number of households that now have access to water (for consumption and production) and sanitation has attained 62,900 households by March 2014. The most important explaining factor for this are ICCO's support to Gram Vikas, not only for the last two years; Gram Vikas' collaboration with the Odisha Tribal Empowerment and Livelihoods Programme (OTELP); the capacity of user groups trained by Gram Vikas to maintain their infrastructure and resources; the replication of the entire or parts of the model by other NGOs working under the same OTELP programme; the positive reputation that the model has obtained; and subsidies increasingly becoming available that help to ensure a 100 percent water and sanitation coverage per village.

The evaluators also observe that the growth of the number of villages and households covered by water and sanitation facilities has slowed down since March 2011, which may be due to missing resources available with Gram Vikas or a decreased demand of such systems.

The second outcome consists of students of two of the four residential schools created by Gram Vikas having now access to Below Poverty Line rice in line with the government scheme for other schools as of 2013. This outcome is to be explained by Gram Vikas, informing the parents of these students about the scheme and supporting them to file applications to claim their rights.

With regards to 'strengthening intermediate organisations', the evaluators looked at the capacity of the village extension committees put in place by Gram Vikas to defend the interests of their constituents, households. In total 1095 VECs in the same number of villages have been created, including 107 new VECs in the 2012 – 2014 period. Several examples have been confirmed that VECs are capable of defending the interests of their constituents beyond that of managing water supply infrastructure. Unfortunately Gram Vikas has not kept documents that show the performance of all VECs it trained. Major actors and factors that explain the outcomes achieved (at least the examples given) consist of training received from Gram Vikas, the relations VECs members possibly have with Panchayat members or their position in the Panchayat and; more subsidies becoming available from government schemes and programmes, requiring a more proactive role of VECs.

Relevance
Interviews with staff of Gram Vikas, with external resource person, with the liaison officer of ICCO, as well as contextual information helped to assess the relevance of Gram Vikas's interventions in terms of; its Theory of Change (ToC) for Civil Society (SC) as designed during the baseline study; the context in which CSA is operating; the CS policies of ICCO.

With regards to the baseline ToC, the interventions and outcomes achieved are relevant because Gram Vikas has continued working in line with its MANTRA model that informed the 2012 ToC.

With regards to the context in which Gram Vikas is operating, its interventions and outcomes in the water and sanitation sector are relevant, however information is missing that shows how these interventions influence the morbidity of water-borne diseases in the rural areas where the organisation is working. 48 % of Gram Vikas' target groups belongs to scheduled caste of tribe, which is higher than the average representation of these groups in Odisha state.

Gram Vikas's interventions align with ICCO's MFS II Food Security programme which aims to improve local food systems and to strengthen communities to claim their right to food. Therefore civil society strengthening by Gram Vikas is an important component of this programme, as well as the SPOs' focus on water and sanitation which directly relate to the nutritious quality of food and health issues.

Explaining factors

Internal factors that will explain Gram Vikas future orientations are the stepping down of the executive director and founder of Gram Vikas in June 2014, and the office moving to the capital of Odisha. The former director was a well-known person and for 35 years was strongly associated with Gram Vikas and its reputation. The new office in Bhubaneswar is expecting to make collaboration with other organisations easier.

A major external factor which has impacted Gram Vikas' work was the cyclone Phailin, which struck Odisha in October 2013. Gram Vikas therefore shifted its focus from the water and sanitation sector to that of the rehabilitation and reconstruction sector with a government programme funded by the World Bank.

Relations between ICCO and Gram Vikas have been functional and did not influence upon the findings of this evaluation.

Design

Gram Vikas' model is already being copied in other states of India and in African countries. An analysis of the implementation of its model in these locations would increase the understanding of the extent to which the model is replicable. Important conditions for success are the 100 percent coverage of villages with water and sanitation facilities that Gram Vikas works with as a means to ensure social inclusion of all groups in society.

Table 6
Summary of findings.

When looking at the MFS II interventions of this SPO to strengthen civil society and/or policy influencing, how much do you agree with the following statements?	Score
The CS interventions were well designed	
The CS interventions were implemented as designed	
The CS interventions reached their objectives	
The observed outcomes are attributable to the CS interventions	
The observed CS outcomes are relevant to the beneficiaries of the SPO	

Score between 1 to 10, with 1 being "not at all" and 10 being "completely".

References and resource persons

Documents by SPO

Title	Year
Project No 71-02-05-084	
Narrative report 2012-13	2013
Narrative report 2011-12	2012
Finance report 2012-13	2013
Audit report ICCO 2012-13	2013
Annual Project Update 2011-12	2012
Annual Project Update Gram Vikas 12-13	2013
Proposal on water and sanitation ICCO 2011-2014	2011
Annual Project Update 2013-14	2014

Documents by CFA

Title	Year
ICCO Alliance Progress Report 2012 – Narrative part	2013
ICCO beleidsbrochure (proef4)	2014
ICCO Progress Report 2013 Final 1 May Part 1 Narrative	2014
ICCO Progress Report 2013 Final 1 May Part 2 Annexes	2014
MIC's 2011-2 Prefinal pp Version02-05Final ReportPoliticalSpace(def)	2014

Other documents

Author	Year of publication	Title	Publisher
Social Watch	2012	Social and Economic Rights Fulfillment Index (SERF) – A new human rights approach	Social Watch
Heritage	2014	Economic Freedom of India	Heritage.org
Government of India Planning Commission	2009	Report of the Expert Group to Review the Methodology for Estimation of Poverty	Government of India
World Bank	2013	India Cyclone Phailin in Odisha – Rapid Damage and Needs Assessment Report	World Bank
Global Platform	2011	Disaster Risk Management for Health Fact Sheet – Water, Sanitation and Hygiene	Global Platform

Webpages

Author	Title	Webpage link	Date
Find the Best	India Corruption Information	http://country-corruption.findthebest.com/l/98/India	August 2014
Fund for Peace (FFP)	Country data and trends for India 2014	http://ffp.statesindex.org/2014-india	August 2014
Freedom House	Freedom Scores India	https://freedomhouse.org/report/freedom-world/2014/india-0#.VGCiRvlwtcQ	August 2014
World Values Survey	India Information	http://www.worldvaluessurvey.org/WVSContents.jsp	November 2014
Vision of Humanity	Global Peace Index for India	http://www.visionofhumanity.org/#page/indexes/global-peace-index/2014/IND/OVER	November 2014
The Hindu Times	More women voters in Odisha	http://www.thehindu.com/news/national/other-states/more-women-voters-in-odisha/article5950473.ece	November 2014
The Indian Express	Naveen's thank-you note: Orissa set to clear new policy for women	http://indianexpress.com/article/india/politics/naveens-thank-you-note-orissa-set-to-clear-new-policy-for-women/	November 2014
Reuters	Who are India's Maoists and why are they in the news	http://blogs.reuters.com/india/2013/05/29/who-are-indias-maoists-and-why-they-are-in-the-news	November 2014

SATP.org	Facilities in left-Wing Extremism – India Year Wise Breakup	ttp://www.satp.org/satporgtp/countries/india/maoist/data_sheets/fatalitiesnaxal05-11.htm	November 2014
The Times of India	Lens on Foreign Funds to NGOs Featuring on IB-Report	http://timesofindia.indiatimes.com/india/Lens-on-foreign-funds-to-NGOs-featuring-on-IB-report/articleshow/37801293.cms	September 2014
The Hindu	Posco cleared, Vedanta loses bid	http://www.thehindu.com/todays-paper/posco-cleared-vedanta-loses-bid/article5564705.ece	November 2014
Kafila	Protest Against Killing of Anti-POSCO Activitsts and Forcible Land Grabbing in Odisha	http://kafila.org/2013/03/10/protest-against-killing-of-anti-posco-activists-and-forcible-land-grabbing-in-odisha/	November 2014
Orissa Diary	Convergence meeting held with Odisha Govt officials on livelihood restoration of Phailin Survivors	http://www.orissadiary.com/CurrentNews.asp?id=50721	November 2014
Government of Tamil Nadu	Schemes: Centrally Sponsored Schemes: Nirmal Bharat Abiyan (NBA)	http://www.tnrd.gov.in/schemes/cen_nba_13.html	November 2014
Mgnrega.co.in	MGNAREGA	ttp://www.mgnrega.co.in/	November 2014
Otelp.org	Odisha Tribal Empowerment & Livelihoods Programme	http://www.otelp.org/about.asp	November 2014
Government of Orissa	Centre for Community Development	http://www.orissa.gov.in/stsc/otelp/partnership_FNGO_ccd.htm	November 2014
Government of Orissa	Jana Kalyan Pratisthan, Gajapati	http://www.orissa.gov.in/stsc/otelp/partnership_FNGO_janakalyan.htm	November 2014
Pradan.net	Professional Assistance for Development Action	http://www.pradan.net/index.php?option=com_content&task=view&id=17&Itemid=3	November 2014
Samarth	About Samarth	http://samarthmp.in/vision/	November 2014
Bitharidisha	About us	http://www.bitharidisha.org/about.htm	November 2014
India Mapped	Details of People in Need Foundation – An NGO in Kohima, Nagaland	http://www.indiamapped.com/ngo-in-nagaland/kohima/people-in-need-foundation-21447/	November 2014
One Drop	Who we are	http://www.onedrop.org/en/DiscoverOneDrop_Canada/WhoWeAre.aspx	November 2014
FAN	Improving Wash through social inclusion in Odisha	http://www.freshwateraction.net/sites/freshwateraction.net/files/GRAM%20VIKAS%20GTF%20case%20study.pdf	unknown
Down to Earth	Phailin fallout people face acute drinking water shortage	http://www.downtoearth.org.in/content/phailin-fallout-people-face-acute-drinking-water-shortage	October 2013
Business standard	Shortage of drinking water raises concern of water borne diseases in Odisha	http://www.business-standard.com/article/current-affairs/shortage-of-drinking-water-raises-concern-of-water-borne-diseases-in-odisha-114050600859_1.html	May 2014

Resource persons consulted

For confidentiality reasons, the names and details of the persons were removed.

Organisation	Function in organisation	Relation with SPO
Gram Vikas	Executive director	Executive leadership
Gram Vikas	Programme Manager Mantra	Executive leadership
Gram Vikas	Programme Manager NRM	Executive leadership
Gram Vikas	Supervisor	Field Staff
Gram Vikas	Supervisor	Field Staff
Gram Vikas	Supervisor	Field Staff
Gram Vikas	Supervisor	Field Staff
Gram Vikas	Superviros	Field Staff
Gram Vikas	Supervisor	Field Staff
Gram Vikas	Supervisor	Field Staff
Gram Vikas	Project Coördinator	Programme Manager
Gram Vikas	Junior Programme Coördinator	Programme Manager
Gram Vikas	Programme Coordinator	Programme Manager
Gram Vikas	Junior Coordinator	Programme Manager
Gram Vikas	Programme Coordinator	Programme Manager
Gram Vikas	Junior Project Coordinator	Programme Manager
-	Sarpanch of Digposi Village Panchayat	Wife of VEC member, herself ex VEC member
OTELP	Assistant Agricultural Engineer	Is cooperating with Gram Vikas
PRADAN	State Programme Director	Is cooperating with Gram Vikas
XIMB		Is an academician who knows about the development sector in Odisha
	VEC member Karankia village, Kyonjhar district	Receives support to work with households
	VEC member and president Rauli Bandha VEC, Ganjam district	Receives support to work with households
	SHG member, Karanjiya village	Receives support to work with households
	VEC member, Jhalakani village, Kyonjhar district	Receives support to work with households
ICCO	Holds portfolio of Food Security Programme	Contact person from ICCO

Appendix 1   CIVICUS and Civil Society Index Framework

CIVICUS, the World Alliance for Citizen Participation is an international alliance of members and partners which constitutes an influential network of organisations at the local, national, regional and international levels, and spans the spectrum of civil society. It has worked for nearly two decades to strengthen citizen action and civil society throughout the world. CIVICUS has a vision of a global community of active, engaged citizens committed to the creation of a more just and equitable world. This is based on the belief that the health of societies exists in direct proportion to the degree of balance between the state, the private sector and civil society.

One of the areas that CIVICUS works in is the Civil Society Index (CSI). Since 2000, CIVICUS has measured the state of civil society in 76 countries. In 2008, it considerably changed its CSI.

1.1   Guiding principles for measuring civil society

Action orientation: the principal aim of the CSI is to generate information that is of practical use to civil society practitioners and other primary stakeholders. Therefore, its framework had to identify aspects of civil society that can be changed, as well as generate knowledge relevant to action-oriented goals.

CSI implementation must be participatory by design: The CSI does not stop at the generation of knowledge alone. Rather, it also actively seeks to link knowledge-generation on civil society, with reflection and action by civil society stakeholders. The CSI has therefore continued to involve its beneficiaries, as well as various other actors, in this particular case, civil society stakeholders, in all stages of the process, from the design and implementation, through to the deliberation and dissemination stages.

This participatory cycle is relevant in that such a mechanism can foster the self-awareness of civil society actors as being part of something larger, namely, civil society itself. As a purely educational gain, it broadens the horizon of CSO representatives through a process of reflecting upon, and engaging with, civil society issues which may go beyond the more narrow foci of their respective organisations. A strong collective self-awareness among civil society actors can also function as an important catalyst for joint advocacy activities to defend civic space when under threat or to advance the common interests of civil society vis-à-vis external forces. These basic civil society issues, on which there is often more commonality than difference among such actors, are at the core of the CSI assessment.

CSI is change oriented: The participatory nature that lies at the core of the CSI methodology is an important step in the attempt to link research with action, creating a diffused sense of awareness and ownerships. However, the theory of change that the CSI is based on goes one step further, coupling this participatory principle with the creation of evidence in the form of a comparable and contextually valid assessment of the state of civil society. It is this evidence, once shared and disseminated, that ultimately constitutes a resource for action.

CSI is putting local partners in the driver's seat: CSI is to continue being a collaborative effort between a broad range of stakeholders, with most importance placed on the relationship between CIVICUS and its national partners.

1.2   Defining Civil Society

The 2008 CIVICUS redesign team modified the civil society definition as follows:

The arena, outside of the family, the state, and the market – which is created by individual and collective actions, organisations and institutions to advance shared interests.

Arena: In this definition the arena refers to the importance of civil society's role in creating public spaces where diverse societal values and interests interact (Fowler 1996). CSI uses the term 'arena' to describe the particular realm or space in a society where people come together to debate, discuss, associate and seek to influence broader society. CIVICUS strongly believes that this arena is distinct from other arenas in society, such as the market, state or family.

Civil society is hence defined as a political term, rather than in economic terms that resemble more the 'non-profit sector'.

Besides the spaces created by civil society, CIVICUS defines particular spaces for the family, the state and the market.

Individual and collective action, organisations and institutions: Implicit in a political understanding of civil society is the notion of agency; that civil society actors have the ability to influence decisions that affect the lives of ordinary people. The CSI embraces a broad range of actions taken by both individuals and groups. Many of these actions take place within the context of non-coercive organisations or institutions ranging from small informal groups to large professionally run associations.

Advance shared interests: The term 'interests' should be interpreted very broadly, encompassing the promotion of values, needs, identities, norms and other aspirations.

They encompass the personal and public, and can be pursued by small informal groups, large membership organisations or formal associations. The emphasis rests however on the element of 'sharing' that interest within the public sphere.

1.3   Civil Society Index- Analytical Framework

The 2008 Civil Society Index distinguishes 5 dimensions of which 4 (civic engagement, level of organisation, practice of values and perception of impact), can be represented in the form of a diamond and the fifth one (external environment) as a circle that influences upon the shape of the diamond.

Civic Engagement, or 'active citizenship', is a crucial defining factor of civil society. It is the hub of civil society and therefore is one of the core components of the CSI's definition. Civic engagement describes the formal and informal activities and participation undertaken by individuals to advance shared interests at different levels. Participation within civil society is multi-faceted and encompasses socially-based and politically-based forms of engagement.

Level of Organisation. This dimension assesses the organisational development, complexity and sophistication of civil society, by looking at the relationships among the actors within the civil society arena. Key sub dimensions are:

- Internal governance of Civil Society Organisations;
- Support infrastructure, that is about the existence of supporting federations or umbrella bodies;
- Self-regulation, which is about for instance the existence of shared codes of conducts amongst Civil Society Organisations and other existing self-regulatory mechanisms;
- Peer-to-peer communication and cooperation: networking, information sharing and alliance building to assess the extent of linkages and productive relations among civil society actors;
- Human resources, that is about the sustainability and adequacy of human resources available for CSOs in order to achieve their objectives:
  - Financial and technological resources available at CSOs to achieve their objectives;

- International linkages, such as CSO's membership in international networks and participation in global events.

Practice of Values. This dimension assesses the internal practice of values within the civil society arena. CIVICUS identified some key values that are deemed crucial to gauge not only progressiveness but also the extent to which civil society's practices are coherent with their ideals. These are:

- Democratic decision-making governance: how decisions are made within CSOs and by whom;
- Labour regulations: includes the existence of policies regarding equal opportunities, staff membership in labour unions, training in labour rights for new staff and a publicly available statement on labour standards;
- Code of conduct and transparency: measures whether a code of conduct exists and is available publicly. It also measures whether the CSO's financial information is available to the public.
- Environmental standards: examines the extent to which CSOs adopt policies upholding environmental standards of operation;
- Perception of values within civil society: looks at how CSOs perceive the practice of values, such as non-violence. This includes the existence or absence of forces within civil society that use violence, aggression, hostility, brutality and/or fighting, tolerance, democracy, transparency, trustworthiness and tolerance in the civil society within which they operate.

Perception of Impact. This is about the perceived impact of civil society actors on politics and society as a whole as the consequences of collective action. In this, the perception of both civil society actors (internal) as actors outside civil society (outsiders) is taken into account. Specific sub dimensions are:

- Responsiveness in terms of civil society's impact on the most important social concerns within the country. "Responsive" types of civil society are effectively taking up and voicing societal concerns.
- Social impact measures civil society's impact on society in general. An essential role of civil society is its contribution to meet pressing societal needs;
- Policy impact: covers civil society's impact on policy in general. It also looks at the impact of CSO activism on selected policy issues;
- Impact on attitudes: includes trust, public spiritedness and tolerance. The sub dimensions reflect a set of universally accepted social and political norms. These are drawn, for example, from sources such as the Universal Declaration of Human Rights, as well as CIVICUS' own core values. This dimension measures the extent to which these values are practised within civil society, compared to the extent to which they are practised in society at large.

Context Dimension: *External Environment*. It is crucial to give consideration to the social, political and economic environments in which it exists, as the environment both directly and indirectly affects civil society. Some features of the environment may enable the growth of civil society. Conversely, other features of the environment hamper the development of civil society. Three elements of the external environment are captured by the CSI:

- Socio-economic context: The Social Watch's basic capabilities index and measures of corruption, inequality and macro-economic health are used portray the socioeconomic context that can have marked consequences for civil society, and perhaps most significantly at the lower levels of social development;
- Socio-political context: This is assessed using five indicators. Three of these are adapted from the Freedom House indices of political and civil rights and freedoms, including political rights and
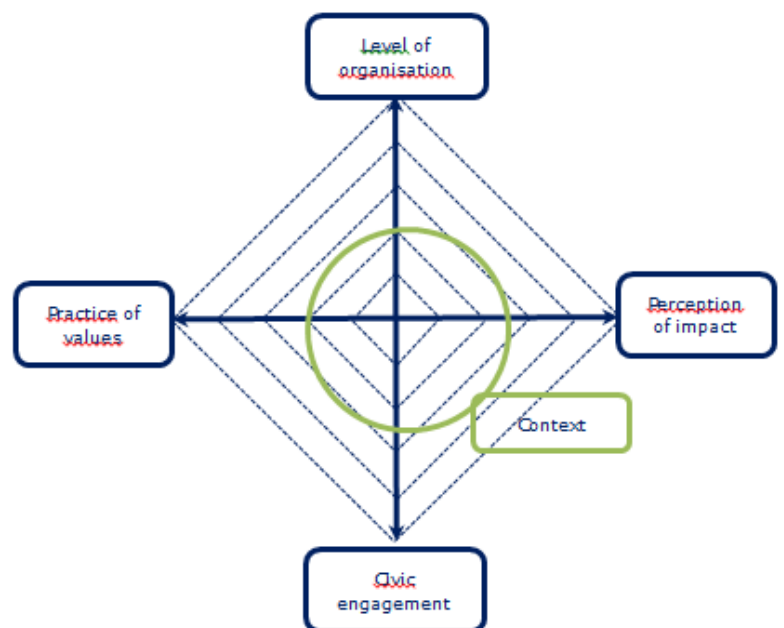
freedoms, personal rights and freedoms within the law and associational and organisational rights and freedoms. Information about CSO experience with the country's legal framework and state effectiveness round out the picture of the socio-political context;

- Socio-cultural context: utilises interpersonal trust, which examines the level of trust hat ordinary people feel for other ordinary people, as a broad measure of the social psychological climate for association and cooperation. Even though everyone experiences relationships of varying trust and distrust with different people, this measure provides a simple indication of the prevalence of a world view that can support and strengthen civil society. Similarly, the extent of tolerance and public spiritedness also offers indication of the context in which civil society unfolds.

Appendix 2   Methodology Civil Society

This appendix describes the evaluation methodology that was developed to evaluate the efforts of Dutch NGOs and their Southern Partner Organisations (SPO) to strengthen Civil Society in India, Ethiopia and Indonesia. The first paragraph introduces the terms of reference for the evaluation and the second discusses design issues, including sampling procedures and changes in the terms of reference that occurred between the 2012 and 2014 assessment. The third paragraph presents the methodologies developed to answer each of the evaluation questions.

2.1   Introduction

2.1.1   Terms of reference for the evaluation

The Netherlands has a long tradition of public support for civil bi-lateral development cooperation, going back to the 1960s. The Co-Financing System ('MFS) is its most recent expression. MFS II is the 2011-2015 grant programme which meant to achieve sustainable reduction in poverty. A total of 20 consortia of Dutch Co Financing Agencies have been awarded €1.9 billion in MFS II grants by the Dutch Ministry of Foreign Affairs (MoFA).

One component of the MFS II programme addresses the extent to which the Southern Partners of the Dutch Consortia are contributing towards strengthening civil society and this evaluation assesses this contribution for Southern Partner countries in Indonesia, India and Ethiopia. The evaluation comprised a baseline study, carried out in 2012, followed by an end line study in 2014.

The entire MFS II evaluation comprises assessments in eight countries where apart from a civil society component, also assessments towards achieving MDGs and strengthening the capacity of the southern partner organisations by the CFAs. A synthesis team is in place to aggregate findings of all eight countries. This team convened three synthesis team meetings, one in 2012, one in 2013 and one in 2014. All three meetings aimed at harmonising evaluation methodologies for each component across countries. CDI has been playing a leading role in harmonising its Civil Society and Organisational Capacity assessment with the other organisations in charge for those components in the other countries.

This appendix describes the methodology that has been developed for the evaluation of the efforts to strengthen civil society priority result area. We will first explain the purpose and scope of this evaluation and then present the overall evaluation design. We will conclude with describing methodological adaptations, limitations and implications.

2.1.2   Civil Society assessment – purpose and scope

The overall purpose of the joint MFS II evaluations is to account for results of MFS II-funded or –co-funded development interventions implemented by Dutch CFAs and/or their Southern partners and to contribute to the improvement of future development interventions.

The civil society evaluation is organised around 5 key questions:
• What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country?
• To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?
• What is the relevance of these changes?
• Were the development interventions of the MFS II consortia efficient?

- What factors explain the findings drawn from the questions above?

Furthermore, the evaluation methodology for efforts to strengthen civil society should:
- Describe how a representative sample of Southern partner organisations of the Dutch CFAs in the country will be taken
- Focus on five priority result areas that correspond with dimensions of the Civil Society Index (CSI) developed by CIVICUS (see paragraph 6.4 - Call for proposal). For each of those dimensions the call for proposal formulated key evaluation questions.
- Should compare results with available reference data (i.e. a CSI report or other relevant data from the country in question).

The results of this evaluation are to be used by the Dutch Ministry of Foreign Affairs, the Dutch Consortia and their partner organisations. The evaluation methodology has to be participatory in the sense that Dutch Consortia and their partner organisation would be asked to give their own perception on a range of indicators of the adjusted CIVICUS analytical framework in 2012 and in 2014.

2.2   Designing the methodology

2.2.1   Evaluation principles and standards

The overall approach selected is a participatory, theory-based evaluation through a before and after comparison. This paragraph briefly describes these principles and how these have been translated into data collection principles. It also describes how a 'representative sample' of Southern Partner Organisations was selected and how the initial terms of references were adjusted with the consent of the commissioner of the evaluation, given the nature of the evaluation component and the resources available for the evaluation.

Recognition of complexity
The issues at stake and the interventions in civil society and policy influence are complex in nature, meaning that cause and effect relations can sometimes only be understood in retrospect and cannot be repeated. The evaluation methods should therefore focus on recurring patterns of practice, using different perspectives to understand changes and to acknowledge that the evaluation means to draw conclusions about complex adaptive systems (Kurtz and Snowden, 2003)[42].

Changes in the values of the Civil Society Indicators in the 2012-2014 period are then the result of conflict management processes, interactive learning events, new incentives (carrots and sticks) that mobilise or demobilise civil society, rather than the result of a change process that can be predicted from A to Z (a linear or logical framework approach)[43].

A theory-based evaluation
Theory-based evaluation has the advantage of situating the evaluation findings in an analysis that includes both what happened over the life of the project as well as the how and why of what happened (Rogers 2004). It demonstrates its capacity to help understand why a program works or fails to work, going further than knowing only outcomes by trying to systematically enter the black box (Weiss 2004).

Theory-based evaluations can provide a framework to judge effectiveness in context of high levels of complexity, uncertainty, and changeability when traditional (impact) evaluation methods are not suitable: the use of control groups for the civil society evaluation is problematic since comparable organizations with comparable networks and operating in a similar external environment would be quite difficult to identify and statistical techniques of matching cannot be used because of a small n.

Because SPO's theories of change regarding their efforts to build civil society or to influence policies may alter during the 2012-2014 period, it requires us to develop a deep understanding of the change process

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[42] C. F. Kurtz, D. J. Snowden, The new dynamics of strategy: Sense-making in a complex and complicated world, in IBM Systems Journal vol 42, no 3, 2003)

[43] Caluwe de, L & Vermaak H. (2003) "Learning to Change. A Guide for Organization Change Agents" Sage Publications.

and the dynamics that affect civil society and policies. It is important to understand what has led to specific (non-) changes and (un)-expected changes. These external factors and actors, as well as the SPO's agency need to be taken into account for the attribution question. Linear input-activities-outputs-outcomes-impact chains do not suffice for complex issues where change is both the result of SPOs' interventions as those by other actors and/or factors.

Therefore, the most reasonable counterfactual that can be used for this evaluation is that of considering alternative causal explanations of change (White and Philips, 2012). Therefore the SPOs' Theory of Change constructed in 2012 is also related to a Model of Change constructed in 2014 that tries to find the ultimate explanations of what happened in reality, including other actors and factors that might possibly explain the outcomes achieved.

Triangulation of methods and sources of information
For purposes of triangulation to improve the robustness, validity or credibility of the findings of the evaluation we used different types of data collection and analysis methods as well as different sources of information. The CIVICUS analytical framework was adjusted for this evaluation in terms of providing standard impact outcome indicators to be taken into account. Data collection methods used consisted of workshops with the SPO, interviews with key resource persons, focus group discussions, social network analysis (during the baseline), consultation of project documents; MFS II consortia documents and other documents relevant to assess general trends in civil society

Participatory evaluation
The evaluation is participatory in that both baseline and end line started with a workshop with SPO staff, decision makers and where possible board members. The baseline workshop helped SPOs to construct their own theory of change with regards to civil society. . Detailed guidelines and tools have been developed by CDI for both baseline and follow-up, and these have been piloted in each of the countries CDI is involved in. Country based evaluators have had a critical input in reviewing and adapting these detailed guidelines and tools. This enhanced a rigorous data collection process. Additionally, the process of data analysis has been participatory where both CDI and in-country teams took part in the process and cross-check each other's inputs for improved quality. Rigorous analysis of the qualitative data was done with the assistance of the NVivo software program.

Using the evaluation standards as a starting point
As much as possible within the boundaries of this accountability driven evaluation, the evaluation teams tried to respect the following internationally agreed upon standards for program evaluation (Yarbrough et al, 2011). These are, in order of priority: Utility; Feasibility; Propriety; Accuracy; Accountability. However, given the entire set-up of the evaluation, the evaluation team cannot fully ensure the extent to which the evaluation is utile for the SPO and their CFAs; and cannot ensure that the evaluation findings are used in a proper way and not for political reasons

2.2.2   Sample selection

The terms of reference for this evaluation stipulate that the evaluators draw a sample of southern partner organisations to include in the assessment. Given the fact that the first evaluation questions intends to draw conclusions for the MDGs or the themes (governance or fragile states) for each countries a sample was drawn for the two or three most frequent MDGs or themes that the SPOs are working in.

The Dutch MFS II consortia were asked to provide information for each SPO regarding the MDG/theme it is working on, if it has an explicit agenda in the area of civil society strengthening and/or policy influence. The database then give an insight into the most important MDG/themes covered by the partner organisations, how many of these have an explicit agenda regarding civil society strengthening and/or policy influence. For Indonesia, 5 partner organisations were randomly selected for respectively MDG 7 (natural resources) and 5 for the governance theme. For India 5 SPOs were selected for MDG 1(economic or agricultural development) and 5 others for the theme governance. The sample in Ethiopia consists of 3 SPOs working on MDG 4,5 and 6 (Health); 3 SPOs for MDG 2 (education) and 3 SPOs for MDG 1 (economic or agricultural development).

2.2.3   Changes in the original terms of reference

Two major changes have been introduced during this evaluation and accepted by the commissioner of the MFS II evaluation. These changes were agreed upon during the 2013 and the 2014 synthesis team meetings.

The efficiency evaluation question:

During the June 2013 synthesis meeting the following decision was made with regards to measuring how efficient MFS II interventions for organisational capacity and civil society are:

[...] it was stressed that it is difficult to disentangle budgets for capacity development and civil society strengthening. SPOs usually don't keep track of these activities separately; they are included in general project budgets. Therefore, teams agreed to assess efficiency of CD [capacity development] and CS activities in terms of the outcomes and/or outputs of the MDG projects. This implies no efficiency assessment will be held for those SPOs without a sampled MDG project. Moreover, the efficiency assessment of MDG projects needs to take into account CD and CS budgets (in case these are specified separately). Teams will evaluate efficiency in terms of outcomes if possible. If project outcomes are unlikely to be observed already in 2014, efficiency will be judged in terms of outputs or intermediate results (e-mail quotation from Gerton Rongen at February 6, 2014).

Attribution/contribution evaluation question

During the June 2013 NWO-WOTRO workshop strategies were discussed to fit the amount of evaluation work to be done with the available resources. Therefore,
1. The number of SPOs that will undergo a full-fledged analysis to answer the attribution question, were to be reduced to 50 percent of all SPOs. Therefore the evaluation team used the following selection criteria:
   * An estimation of the annual amount of MFS II funding allocated to interventions that have a more or less direct relation with the civil society component. This implies the following steps to be followed for the inventory:
   * Covering all MDGs/themes in the original sample
   * Covering a variety of Dutch alliances and CFAs
2. The focus of the attribution question will be on two impact outcome areas, those most commonly present in the SPO sample for each country. The evaluation team distinguishes four different impact outcome areas:
   * The extent to which the SPO, with MFS II funding, engages more and diverse categories of society in the 2011-2014 period (Civicus dimensions "Civic engagement" and "perception of impact")
   * The extent to which the SPOs supports its intermediate organisations to make a valuable contribution to civil society in the 2011 -2014 period (Civicus dimension "Level of organisation" and "perception of impact")
   * The extent to which the SPO itself engages with other civil society organisations to make a valuable contribution to civil society in the 2011-2014 period (Civicus dimension "level of organisation")
   * The extent to which the SPO contributes to changing public and private sector policies and practices in the 2011-2014 period (Civicus dimension "perception of impact")
3. The CS dimension 'Practice of Values' has been excluded, because this dimension is similar to issues dealt with for the organisational capacity assessment.

The aforementioned analysis drew the following conclusions:

Table 7

SPOs to be included for full-fledged process tracinganalysis.

Country	SPO in the in-depth analysis	Strategic CS orientation to include
Indonesia	Elsam, WARSI, CRI, NTFP-EP, LPPSLH	1. Strengthening intermediate organisations AND influencing policies and practices 2. If only one of the two above mentioned is applicable, then select another appropriate impact outcome area to look at.
India	NNET, CWM, CECOEDECON, Reds Tumkur, CSA	1. Enhancing civic engagement AND strengthening intermediate organisations 2. If only one of the two above mentioned is applicable then select another appropriate impact outcome area to look at.
Ethiopia	OSSA, EKHC, CCGG&SO, JeCCDO and ADAA	1. Strengthening the capacities of intermediate organisations AND SPO's engagement in the wider CS arena 2. If only one of the two above mentioned is applicable then select another appropriate impact outcome area to look at.

Source: Consultation of project documents

2.3 Answering the evaluation questions

2.3.1 Evaluation question 1 - Changes in civil society for the relevant MDGs/topics

Evaluation question 1: *What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country*?

Indicators and tools used
In line with the CIVICUS Civil Society Index, a scoring tool was developed in 2012 which comprises 17 indicators. The selection was inspired by those suggested in the terms of reference of the commissioner. Each indicator was, also in line with the CIVICUS index accompanied by an open evaluation question to be used for data collection in 2012 and 2014. In 2012 the scoring tool contained four statements describing the level of achievements of the indicator and scores ranged from 0 to 3 (low score - high score).

A comparison of the scores obtained in 2012 informed the evaluation team that there was a positive bias towards high scores, mostly between 2 and 3. Therefore during the 2014 assessment, it was decided to measure relative changes for each indicator in the 2012 – 2014 period, as well as the reasons for changes or no changes and assigning a score reflecting the change between -2 (considerable deterioration of the indicator value since 2012) and +2 (considerable improvement).

In 2012 and based upon the Theory of Change constructed with the SPO, a set of *standard indicators* were identified that would ensure a relation between the standard CIVICUS indicators and the interventions of the SPO. However, these indicators were not anymore included in the 2014 assessment because of the resources available and because the methodology fine-tuned for the attribution question in 2013, made measurement of these indicators redundant.

Also in 2012, as a means to measure the 'level of organisation' dimension a *social network analysis tool* was introduced. However this tool received very little response and was discontinued during the end line study.

Key questions to be answered for this evaluation question
In 2012, SPO staff and leaders, as well as outside resource persons were asked to provide answers to 17 questions, one per standard indicator of the scoring tool developed by CDI.
In 2012, the SPO staff and leaders were given the description of each indicator as it was in 2012 and had to answer the following questions:

1. How has the situation of this indicator changed compared to its description of the 2012 situation? Did it deteriorate considerably or did it improve considerably (-2 → +2)
2. What exactly has changed since 2012 for the civil society indicator that you are looking at? Be as specific as possible in your description.
3. What interventions, actors and other factors explain this change compared to the situation in 2012? Please tick and describe what happened and to what change this led. It is possible to tick and describe more than one choice.
   - Intervention by SPO, NOT financed by any of your Dutch partners …………….
   - Intervention SPO, financed by your Dutch partner organisation ………(In case you receive funding from two Dutch partners, please specify which partner is meant here)
   - Other actor NOT the SPO, please specify…….
   - Other factor, NOT actor related, please specify……
   - A combination of actors and factors, INCLUDING the SPO, but NOT with Dutch funding, please specify…
   - A combination of actors and factors, INCLUDING the SPO, but WITH Dutch funding, please specify…
   - Don't know
4. Generally speaking, which two of the five CIVICUS dimensions (civic engagement, level of organisation, practice of values, perception of impact, environment) changed considerably between 2012 – 2014? For each of these changes, please describe:
   - Nature of the change
   - Key interventions, actors and factors (MFS II or non-MFS II related) that explain each change (entirely or partially).

Sources for data collection
During the baseline and the end line and for purposes of triangulation, several methods were used to collect data on each (standard) indicator:

- Self-assessment per category of staff within the SPO: where possible, three subgroups were made to assess the scores: field staff/programme staff, executive leadership and representatives of the board,, general assembly, and internal auditing groups if applicable completed with separate interviews;
- Interviews with external resource persons. These consisted of three categories: key actors that are knowledgeable about the MDG/theme the SPO is working on and who know the civil society arena around these topics; civil society organisations that are being affected by the programme through support or CSOs with which the SPO is collaborating on equal footing, and; representatives of public or private sector organisations with which the SPO is interacting
- Consultation and analysis of reports that relate to each of the five CIVICUS dimensions.
- Project documents, financial and narrative progress reports, as well as correspondence between the SPO and the CFA.
- Social network analysis (SNA), which was discontinued in the end line study.

During the follow-up, emphasis was put on interviewing the same staff and external persons who were involved during the baseline for purpose of continuity.

2.3.2 Evaluation question 2 – "Attribution" of changes in civil society to interventions of SPOs.

Evaluation question 2: *To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?*

Adapting the evaluation question and introduction to the methodology chosen
In line with the observation of Stern et al. (2012) that the evaluation question, the programme attributes, and the evaluation approaches all provide important elements to conclude on the evaluation design to select, the teams in charge of evaluating the civil society component concluded that given the attributes of the programmes it was impossible to answer the *attribution* question as formulated in the

Terms of References of the evaluation and mentioned above. Therefore, the evaluation teams worked towards answering the extent *to which the programme contributed towards realising the outcomes.*

For this endeavour explaining outcome process-tracing[44] was used. The objective of the process tracing methodology for MFS II, in particular for the civil society component is to:

- Identify what interventions, actors and factors explain selected impact outcomes for process tracing.
- Assess how the SPO with MFS II funding contributed to the changes in the selected impact outcomes and how important this contribution is given other actors and factors that possibly influence the attainment of the outcome. Ruling out rival explanations, which are other interventions, actors or factors that are not related to MFS II funding.

Methodology – getting prepared
As described before a limited number of SPOs were selected for process tracing and for each country strategic orientations were identified as a means to prevent a bias occurring towards only positive impact outcomes and as a means to support the in-country evaluation teams with the selection of outcomes to focus on a much as was possible, based upon the project documents available at CDI. These documents were used to track realised outputs and outcomes against planned outputs and outcomes. During the workshop (see evaluation question on changes in civil society) and follow-up interviews with the SPO, two impact outcomes were selected for process tracing.

Steps in process tracing
1. Construct the theoretical model of change – by in-country evaluation team
After the two impact outcomes have been selected and information has been obtained about what has actually been achieved, the in-country evaluation team constructs a visual that shows all pathways that might possibly explain the outcomes. The inventory of those possible pathways is done with the SPO, but also with external resource persons and documents consulted. This culminated in a Model of Change. A MoC of good quality includes: The causal pathways that relate interventions/parts by any actor, including the SPO to the realised impact outcome; assumptions that clarify relations between different parts in the pathway, and; case specific and/or context specific factors or risks that might influence the causal pathway, such as for instance specific attributes of the actor or socio-cultural-economic context. The Models of Change were discussed with the SPO and validated.

2. Identify information needs to confirm or reject causal pathways as well as information sources needed.
This step aims to critically reflect upon what information is needed that helps to confirm one of causal pathways and at that at same time helps to reject the other possible explanations. Reality warns that this type of evidence will hardly be available for complex development efforts. The evaluators were asked to behave as detectives of Crime Scene Investigation, ensuring that the focus of the evaluation was not only on checking if parts/interventions had taken place accordingly, but more specifically on identifying information needs that confirm or reject the relations between the parts/interventions. The key question to be answered was: "What information do we need in order to confirm or reject that one part leads to another part or, that X causes Y?". Four types of evidence were used, where appropriate:[45]

- *Pattern evidence* relates to predictions of statistical patterns in the evidence. This may consist of trends analysis and correlations.
- *Sequence evidence* deals with the temporal and spatial chronology of events predicted by a hypothesised causal mechanism. For example, a test of the hypothesis could involve expectations of the timing of events where we might predict that if the hypothesis is valid, we should see that the event B took place after event A. However, if we found that event B took place before event A, the test

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[44] Explaining outcome process tracing attempts to craft a minimally sufficient explanation of a puzzling outcome in a specific historical case. Here the aim is not to build or test more general theories but to craft a (minimally) sufficient explanation of the outcome of the case where the ambitions are more case centric than theory oriented. The aim of process tracing is not to verify if an intended process of interventions took place as planned in a particular situation, but that it aims at increasing our understanding about what works under what conditions and why (Beach & Pedersen, 2013).
[45] Beach and Pederson, 2013

would suggest that our confidence in the validity of this part of the mechanism should be reduced (disconfirmation/ falsification).

- *Trace evidence* is evidence whose mere existence provides proof that a part of a hypothesised mechanism exists. For example, the existence of meeting minutes, if authentic, provides strong proof that the meeting took place.
- *Account evidence* deals with the content of empirical material, such as meeting minutes that detail what was discussed or an oral account of what took place in the meeting.

3. Collect information necessary to confirm or reject causal pathways

Based upon the inventory of information needs the evaluation teams make their data collection plan after which data collection takes place.

4. Analyse the data collected and assessment of their quality.

This step consists of compiling all information collected in favour or against a causal pathway in a table or in a list per pathway. For all information used, the sources of information are mentioned and an assessment of the strength of the evidence takes place, making a distinction between strong, weak and moderate evidence. For this we use the traffic light system: **green letters mean strong evidence**, **red letters mean weak evidence** and **orange letter mean moderate evidence:** The following table provides the format used to assess these issues.

Table 8

Organisation of information collected per causal pathway and assessing their quality

Causal pathway	Information that confirms (parts of) this pathway		Information that rejects (parts of) this pathway	
Pathway 1	**Information 1**	Source of information	**Information 1**	Source of information
Part 1.1	**Information 2**	Source of information	**Information 2**	Source of information
Part 1.2	**Information 3**	Source of information	**Information 3**	Source of information
Etc	etc	etc	etc	etc
Pathway 2	**Information 1**	Source of information	**Information 1**	Source of information
Part 2.1	**Information 2**	Source of information	**Information 2**	Source of information
Part 2.2	**Information 3**	Source of information	**Information 3**	Source of information
Etc.	etc	etc	etc	etc
Pathway 3				

Sources: Dieuwke Klaver

5. Assessing the nature of the relations between parts in the model of change

The classification of all information collected is being followed by the identification of the pathways that most likely explain the impact outcome achieved. For this the evaluators assess the nature of the relations between different parts in the MoC. Based upon Mayne (2012) and Stern et al (2012) the following relations between parts in the MoC are mapped and the symbols inserted into the original MoC.

Table 9
Nature of the relation between parts in the Model of Change

Nature of the relation between parts and other parts or outcome	
The part is the only causal explanation for the outcome. No other interventions or factors explain it. (necessary and sufficient)	
The part does not explain the outcome at all: other subcomponents explain the outcomes.	
The part explains the outcome but other parts explain the outcome as well: there are multiple pathways (sufficient but not necessary)	
The part is a condition for the outcome but won't make it happen without other factors (necessary but not sufficient)	
The part explains the outcome, but requires the help of other parts to explain the outcome in a sufficient and necessary way (not a sufficient cause, but necessary) → it is part of a causal package	

Sources: Mayne, 2012; Stern et al, 2012

6. Write down the contribution and assess the role of the SPO and MFS II funding

This final step consists of answering the following questions, as a final assessment of the contribution question:

- The first question to be answered is: What explains the impact outcome?
- The second question is: What is the role of the SPO in this explanation?
- The third question, if applicable is: what is the role of MFS II finding in this explanation?

Sources for data collection

Information necessary to answer this evaluation question is to be collected from:

- Interviews with resource persons inside and outside the SPO
- Project documents and documentation made available by other informants
- Websites that possibly confirm that an outcome is achieved and that the SPO is associated with this outcome
- Meeting minutes of meetings between officials
- Time lines to trace the historical relations between events
- Policy documents
- etc

2.3.3 Evaluation question 3 – Relevance of the changes

Evaluation question 3: *What is the relevance of these changes?*

The following questions are to be answered in order to assess the relevance of the changes in Civil Society.

- How do the MFS II interventions and civil society outcomes align with the Theory of Change developed during the baseline in 2012? What were reasons for changing or not changing interventions and strategies?
- What is the civil society policy of the Dutch alliance that collaborates with the SPO? And how do the MFS II interventions and civil society outcomes align with the civil society policy of the Dutch alliance that collaborates with the SPO?
- How relevant are the changes achieved in relation to the context in which the SPO is operating?
- What is the further significance of these changes for building a vibrant civil society for the particular MDG/ theme in the particular context?

Sources for data collection

For this question the following sources are to be consulted:

- Review of the information collected during interviews with the SPO and outside resource persons

- The 2012 Theory of Change
- Interview with the CFA liaison officer of the SPO;
- Review of reports, i.e: the civil society policy document of the Dutch Alliance that was submitted for MFS II funding, relevant documents describing civil society for the MDG/ theme the SPO is working on in a given context.

2.3.4 Evaluation question 4, previously 5 - Factors explaining the findings

Evaluation question 4: *What factors explain the findings drawn from the questions above?*

To answer this question we look into information available that:

- Highlight changes in the organisational capacity of the SPO
- Highlight changes in the relations between the SPO and the CFA
- Highlight changes in the context in which the SPO is operating and how this might affect positively or negatively its organisational capacity.

Sources for data collection
Sources of information to be consulted are:

- Project documents
- Communications between the CFA and the SPO
- Information already collected during the previous evaluation questions.

2.4 Analysis of findings

A qualitative software programme NVivo 10 (2010) was used to assist in organizing and making sense of all data collected. Although the software cannot take over the task of qualitative data analysis, it does 1) improve transparency by creating a record of all steps taken, 2) organize the data and allow the evaluator to conduct a systematic analysis, 3) assist in identifying important themes that might otherwise be missed, and 4) reduce the danger of bias due to human cognitive limitations, compared to "intuitive data processing" (Sadler 1981). The qualitative data in the evaluation consisted of transcripts from semi-structured interviews, focus group discussions workshops, field notes from observation, and a range of documents available at the SPO or secondary information used to collect reference data and to obtain a better understanding of the context in which the CS component evolves.

To analyse this diverse collection of data, several analytical strategies are envisioned, specifically content analysis, discourse analysis, and thematic analysis. Although each of these strategies can be understood as a different lens through which to view the data, all will require a carefully developed and executed coding plan.

Data have been coded according to: standard civil society indicator; outcome included for in-depth contribution analysis; relevance, and; explaining factors.

This qualitative analysis will be supported by a limited amount of quantitative data largely arising from the score assigned by the evaluation team to each performance indicator described in the civil society scoring tool. Other quantitative data in this study are drawn information provided in background literature and organisational documents as well as the Social Network Analysis method.

2.5 Limitations to the methodology

2.5.1 General limitations with regards to the MFS II evaluation

The MFS II programme and CIVICUS
Although the MFS II programme stated that all proposals need to contribute to civil society strengthening in the South[46], mention was made of the use of the CIVICUS framework for monitoring purposes. The fact that civil society was to be integrated as one of the priority result areas next to that of organisational capacity and MDGs became only clear when the MoFA communicated its mandatory monitoring protocol. In consequence, civil society strengthening in the MFS II programmes submitted to the ministry is mainstreamed into different sub programmes, but not addressed as a separate entity.

This late introduction of the Civil Society component also implies that project documents and progress reports to not make a distinction in MDG or theme components vs those of civil society strengthening, leaving the interpretation of what is a civil society intervention our outcome and what not to the interpretation of the evaluation team.

At the same time the evaluation team observes that SPOs and CFAs have started to incorporate the organisational capacity tool that is being used in the monitoring protocol in their own organisational assessment procedures. None of the SPOs is familiar with the CIVICUS framework and how it fits into their interventions.

Differences between CIVICUS and MFS II evaluation
CIVICUS developed a Civil Society Index that distinguishes 5 dimensions and for each of these a set of indicators has been developed. Based upon a variety of data collection methods, a validation team composed of civil society leaders provides the scores for the civil society index.

Major differences between the way the Civil Society Index is been used by CIVICUS and for this MFS II evaluation is the following:
1. CIVICUS defines its unit of analysis is terms of the civil society arena at national and/or subnational level and does not start from individual NGOs. The MFS II evaluation put the SPO in the middle of the civil society arena and then looked at organisations that receive support; organisations with which the SPO is collaborating. The civil society arena boundaries for the MFS II evaluation are the public or private sector organisations that the SPO relates to or whose policies and practices it aims to influence
2. The CIVICUS assessments are conducted by civil society members itself whereas the MFS II evaluation is by nature an external evaluation conducted by external researchers. CIVICUS assumes that its assessments, by organising them as a joint learning exercise, will introduce change that is however not planned. With the MFS II evaluation the focus was on the extent to which the interventions of the SPO impacted upon the civil society indicators.
3. CIVICUS has never used its civil society index as a tool to measure change over a number of years. Each assessment is a stand-alone exercise and no efforts are being made to compare indicators over time or to attribute changes in indicators to a number of organisations or external trends.

Dimensions and indicator choice
The CIVICUS dimensions in themselves are partially overlapping; the dimension 'perception of impact' for instance contains elements that relate to 'civic engagement' and to 'level of organisation'. Similar overlap is occurring in the civil society scoring tool developed for this evaluation and which was highly oriented by a list of evaluation questions set by the commissioner of the evaluation.

Apart from the overlap, we observe that some of the standard indicators used for the civil society evaluation were not meaningful for the SPOs under evaluation. This applies for instance for the political engagement indicator "How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?"

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[46] Policy Framework Dutch Cofinancing System II 2011 - 2015

Measuring change over a two-year period

The MFS II programme started its implementation in 2011 and it will finish in 2015, whereas its evaluation started mid-2012 and will end in the beginning of 2014. The period between the baseline and the end line measurement hardly covers 2 years in some cases. Civil society building and policy influence are considered the type of interventions that requires up to 10 years to reap significant results, especially when taking into account attitudes and behaviour. Apart from the fact that the baseline was done when MFS II was already operational in the field for some 1,5 years, some SPO interventions were a continuation of programmes designed under the MFS I programme, hence illustrating that the MFS II period is not a clear boundary. Contracts with other SPOs ended already in 2012, and practically coincided with the baseline assessment being conducted at the moment the relationship with the CFA had practically ended.

Aggregation of findings

Although working with standard indicators and assigning them scores creates expectations of findings being compared and aggregated at national and international level, this may lend itself to a quick but inaccurate assessment of change. Crude comparison between programs on the basis of findings is problematic, and risks being politically abused. The evaluation team has to guard against these abuses by ensuring the necessary modesty in extrapolating findings and drawing conclusions.

Linking the civil society component to the other components of the MFS II evaluation

The Theory of Change in the terms of reference assumes that CFAs are strengthening the organisational capacity of their partners, which is evaluated in the organisational capacity components, which then leads to impact upon MDGs or upon civil society. Because the evaluation methodology designed for both the organisational capacity and the civil society evaluation require considerable time investments of the SPOs, a deliberate choice was made not to include SPOs under the organisational capacity component in that of Civil Society. This may possibly hamper conclusions regarding the assumption of capacitated SPOs being able to impact upon civil society. However, where information is available and where it is relevant, the civil society component will address organisational capacity issues.

No such limitations were made with regards to SPOs in the MDG sample, however, apart from Indonesia; none of the SPOs in the civil society sample is also in that of MDG.

2.5.2   Limitations during baseline with regards to the methodology

A very important principle upon which this evaluation methodology is based is that of triangulation, which implies that different stakeholders and documents are consulted to obtain information about the same indicator from different perspectives. Based upon these multiple perspectives, a final score can be given on the same indicator which is more valid and credible.

For India this has not always been possible:
- For each SPO a Survey Monkey questionnaire was developed to assess the intensity of the interaction between stakeholders in the network. Out of 233 actors that were invited to fill in this 5 minute questionnaire, only 79 actors effectively filled in the questionnaire = 34 %. The online Social Network Analysis aims at having both the opinion of the SPO on the intensity of the interaction with another actor, as well as the opinion of the other for triangulation. Important reasons for not filling in this form are that actors in the network are not technology savvy, or that they have difficulties in accessing internet.
- With regards to filling in offline interview forms or answering questions during interviews a number of civil society actors did not want to score themselves because they do not benefit from the interventions of the MFS II projects. Having the scores of their own organisations will help to assess the wider environment in which the SPO operates and possibly an impact of the SPO on other civil society organisations in 2014.
- With regards to public officials the evaluation team faced difficulties to have their opinions on a certain number of indicators such as perception of impact on policy influencing and relations between public

organisations and civil society. Public officials fear that they will be quoted in the assessment, which may have repercussions for their position.

India has many different ethnic groups which speak many different languages. Although the evaluation team speaks the most important languages, sometimes it was really difficult to have a deep insight into all the processes in civil society and in policy influencing. Due to these language barriers it has been difficult to map the processes – the ripple effects of efforts to build civil society and to influence policies.

2.5.3 Limitations during end line with regards to the methodology

Project documentation
The methodology assumed that project documents and progress reports would be helpful in linking project interventions to the CIVICUS framework and obtaining an overview of outputs-outcomes achieved versus planned. These overviews would then be used to orient the in-country evaluation teams for the quick or in-depth contribution analysis.

In practice the most recent progress reports were hardly available with the CFAs or were made available later in the process. These reports often were not helpful in accumulating outputs towards to the planned outputs and even outcomes. Hardly any information is available at outcome or impact level and no monitoring systems are available to do so. Key information missing and relevant for civil society impact (but also to track progress being made on effects of project interventions) is for instance a comprehensive overview of the organisational performance of organisations supported by the SPO.

For a number of SPOs the reality was different than the progress reports reflected which meant that constant fine-tuning with the in-country evaluation team was necessary and that CDI could not always provide them with the guidance needed for the selection of impact outcomes for contribution analysis.

Country specific limitations – India
The India team observes that triangulation of data was not always possible, given the resources available for the evaluation team. This was in particular valid for the first evaluation question regarding *changes.* Like during the baseline, government officials were not willing to take part in the evaluation because of the strict protocol they have to follow.

With regards to the first evaluation question on changes:
- During the end line scores (-2 until +2) were assigned to indicate relative changes. The in-country evaluation team observes that SPOs were inclined to interpret a score 0 as the organization not being performant on the issue, whereas in terms of the evaluation methodology it only states that no change took place which can be positive or negative in itself. This could lead to a bias towards having more positive changes.
- As already mentioned, there is overlap in answers being given for different indicators. They are not discriminatory enough, which is partly due to the CIVICUS framework and the indications given in the call for proposals.

With regards to the second evaluation question regarding attribution
- A critical step was the selection of the impact outcomes to look at for contribution analysis. Although strategic orientations for selection were given for each country as a measure to prevent bias taking place at SPO level, the ultimate selection of outcomes after the workshop and with the SPO focussed in most cases on impact outcomes to which the SPO claims to have positively contributed.
- The design of the model of change that visualizes all pathways that possibly explain the outcome achieved has also proven to be a difficult step. In this phase it is critical that the evaluation team works together to brainstorm on alternative pathways. A major challenge is that in-country teams at that moment of the evaluation have obtained a lot of information from the SPO, and not from other NGOs or resource persons, which possibly might strengthen their bias in favour of attributing change to the SPO.
- The focus of the assessment has been on the contribution of the SPO, rather than that of MFS II funding. Not in all cases MFS II contribution has been clearly earmarked for specific interventions or

results and some CFAs have preferred to give institutional support to their partners, making it even more difficult to assess contribution/attribution.

- The process tracing methodology was not a simple step to step straight forward methodology and has needed a lot of back and forth between CDI and IDF and even within the CDI team. Points that were challenging: defining the ultimate outcome (SMART enough) to be explained through process tracing, identifying relevant pathways and describing them properly, defining indicators to assess whether the impact outcome has been achieved or not (look for the adequate information when it exists), dare to conclude that some pathways are less relevant than others, not wanting to include all the SPO's interventions to one outcome.
- Defining the strength of evidence came out to be quite subjective, especially when it came to assessing interviewee's inputs. How to carefully assess interview findings of the SPO with those of other actors.
- Process –Tracing requires sufficient documentation/ pieces of evidence and these were often not available at the level of the SPOs and when they were available they were often contradicting each other (different reports including different figures on the same results).
- More time was needed to get the methodology about process tracing well under control. Because of time and budget constraints, learning was made on the job. Moreover because of delayed feed-back from CDI side, errors were repeated since time did not allow for a spreading of SPO workshops.
- Because of resource constraints, coding of data collected was done once and for most but in practice it was not relevant: you first need to have an idea about the changes before you can do a good process tracing and before you can answer evaluation questions regarding relevance and explaining factors.

With regards to the general evaluation procedure
- The workshop methodology was structured for literate English speaking people, which was not always the case. As a consequence, delays and possible misunderstanding happened due to translation and more time was needed to process the data.
- Many forms were filled in after the workshop/interviews and not between the workshop and the interviews as a means to inform the interview questions and the process tracing. The methodology and overall evaluation process would have benefited from allowing more time between the different parts, for example having more time between workshop and implementing process tracing to get properly prepared
- The report format provided by the synthesis team includes lots of repetitions (for example, elements of the context are found back into standard indicators 5.1) and would have gained in being better structured.
- The ToC developed during the baseline took SPO's staff time and dedication. The participants who had been involved during that process regretted that the end line workshop did not utilize the ToC more. In fact the ToC was used as a starting point to assess relevance issues, which was discussed during interviews rather than during the workshop.

With regards to collaboration between CDI and IDF
- The CDI team would have gained in being more consolidated (for example sending one type of feed-back to IDF) and having more dedicated time for the evaluation (feed-back did not arrive on time)

Civil Society Scoring tool - baseline

Civil Society Assessment tool – Standard Indicators

Dimension	Outcome domains		Question	Statements					What are factors (strengths, weaknesses) that explain the current situation?
				0	1	2	3	x	
Civic engagement	1	Needs of marginalised groups	How does your organisation take the needs of your beneficiaries/target groups, in particular marginalised groups into account in your planning, actions, activities, and/or strategies?	Are NOT taken into account	Are POORLY taken into account	Are PARTLY taken into account	Are FULLY taken into account	Question not relevant, because	
	2	Involvement of target groups	What is the level of participation of your beneficiaries/target groups, in particular marginalised groups in the analysis, planning and evaluation of your activities?	They are INFORMED about on-going and/or new activities that you will implement	They are CONSULTED by your organisation. You define the problems and provide the solutions.	They CARRY OUT activities and/or form groups upon your request. They provide resources (time, land, labour) in return for your assistance (material and/or immaterial)	They ANALYSE PROBLEMS AND FORMULATE IDEAS together with your organisation and/or take action independently from you.	Question not relevant, because	
	3	Political engagement	How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?	No participation	You are occasionally CONSULTED by these bodies	You are a member of these bodies. You attend meetings as a participant	You are a member of these bodies. You are chairing these bodies or sub groups	Question not relevant, because	

	#		Question						
organisation level of	5	Relations with other organisations	In the past 12 months what has been the most intensive interaction you had with other CSOs?	No interaction at all	Networking - Cooperation: Inform each other; roles somewhat defined; all decisions made independently	Coordination - Coalition: ideas and resources shared; roles defined and divided; all have a vote in decision making	Collaboration: organisations belong to one system; mutual trust; consensus on all decisions.	Question not relevant, because	
	5	Frequency of dialogue with closest CSO	In the past 12 months how many meetings did you have with the CSO that you have most intensive interaction with?	No interaction at all	Less thatn 2 times a year	Between 2 and 3 times a year	More than 4 times a year	Question not relevant, because	
	6	Defending the interests of marginalised groups:	Which CSO are most effective in defending the interests of your target groups? In the past 12 months, how did you relate to those CSOs?	No interaction at all	Networking - Cooperation: Inform each other; roles somewhat defined; all decisions made independently	Coordination - Coalition: ideas and resources shared; roles defined and divided; all have a vote in decision making	Collaboration: organisations belong to one system; mutual trust; consensus on all decisions.	Question not relevant, because	
	7	Composition current financial resource base	How does your organisation finance institutional costs such as workshops of the General Assembly (if applicable); attendans to workshops of other CSOs; costs for organisational growth and/or networking?	Depends on 1 indernational donor	Depends on few financial sources: one fund cover(s) more than 75% of all costs.	Depends on a variety of financial sources; one fund cover(s) more than 50% of all costs.	Depends on a variety of sources of equal importance. Wide network of domestic funds	Question not relevant, because	
Practice of Values	8	Downward accountability	To what extent can mandatory social organs (steering committee, general assembly, internal auditing group) ask your executive leaders to be accountable to them?	(financial) information is made available and decisions are taken openly	They fulfil their formal obligation to explain strategic decisions and actions	They react to requests of social organs to justify/explain actions and decisions made	Social organs use their power to sanction management in case of misconduct or abuse	Question not relevant, because	

	#	Indicator	Question	Option 1	Option 2	Option 3	Option 4	Not relevant	
	9	Composition of social organs	What % of members of your mandatory social organs belong to the marginalised target groups you are working with/for?	Between 0-10 % of all members of the social organs	Between 11-30 % of all members of the social organs	Between 31-65 % of all members of the social organs	More than 65% of all members of the social organs	Question not relevant, because	
	10	External financial auditing	How regularly is your organisation audited externally?	Never	Occasionally, upon request of funders	Periodically and regularly, because our external funder asks for it	Periodically and regularly, because it is part of our code of conduct	Question not relevant, because	
Perception of impact	11	Client satisfaction	What are the most important concerns of your target groups? How do your services take into account those important concerns?	Majority of target groups are NOT satisfied	Majority of target groups are POORLY satisfied	Majority of target groups are PARTLY satisfied	Majority of target groups are MOSTLY satisfied	Question not relevant, because	
	12	Civil society impact.	In the past 12 months, what impact did you have on building a strong civil society?	You have not undertaken any activities of this kind	You have undertaken activities of this kind but there is no discernible impact	You have undertaken activities of this kind but impact is limited	You have undertaken activities and examples of significant success can be detected.	Question not relevant, because	
	13	Relation with public sector organisations.	In the past 12 months, what interaction did you have with public sector organisations to realise your programme and organisations' objectives?	No direct interaction	You have been invited by public sector organisations for sharing of information	You have been invited by public sector organisations for regular consultations (but public sector decides)	Formal and regular meetings as a multi-stakeholder task force.	Question not relevant, because	
	14	Relation with private sector organisations	In the past 12 months, what interaction did you have with private sector organisations to realise your programme and organisations' perspective?	No direct interaction	You have been invited by private sector organisations for sharing of information	You have been invited by private sector organisations for regular consultations (but public sector decides)	Formal and regular meetings as a multi-stakeholder task force.	Question not relevant, because	

	15	Influence upon public policies, rules, regulations	How successful have you been in influencing public policies and practices in the past 2 years?	No activities developed in this area	Some activities developed but without discernible impact	Many activities developed in this area, but impact until so far has been limited	Many activities developed in this area and examples of success can be detected	Question not relevant, because	
	16	Influence upon private sector agencies' policies, rules, regulations.	How successful have you been in influencing private sector policies and practices in the past 2 years?	No activities developed in this area	Some activities developed but without discernible impact	Many activities developed in this area, but impact until so far has been limited	Many activities developed in this area and examples of success can be detected	Question not relevant, because	
context Environmental	**17**	Coping strategies	In the past 2 years, how did your organisation cope with these changes in the context that may have been positive or negative consequences for civil society.	No analysis of the space and role of civil society has been done.	You are collecting information of the space and role of civil society but not regularly analysing it.	You are monitoring the space and role of civil society and analysing the consequences of changes in the context for your own activities. Examples are available.	You are involved in joint action to make context more favourable. Examples are available.	Question not relevant, because	

Appendix 3 Civil Society Scores

This table presents the appreciation of the evaluation team regarding changes occurred for each indicator between 2012 and 2014 on a scale of -2 to + 2

- 2 = Considerable deterioration
- 1 = A slight deterioration
  0 = no change occurred, the situation is the same as in 2012
+1 = slight improvement
+2 = considerable improvement

Dimension		Indicators	Question	Change in the indicators in the 2012 – 2014 period
Civic engagement	1	Needs of marginalised groups	How does your organisation take the needs of your beneficiaries/target groups, in particular marginalised groups into account in your planning, actions, activities, and/or strategies?	+1
	2	Involvement of target groups	What is the level of participation of your beneficiaries/target groups, in particular marginalised groups in the analysis, planning and evaluation of your activities?	0
	3	Political engagement	How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?	0
Level of organisation	5	Relations with other organisations	In the past 12 months what has been the most intensive interaction you had with other CSOs?	+1
	5	Frequency of dialogue with closest CSO	In the past 12 months how many meetings did you have with the CSO that you have most intensive interaction with?	0
	6	Defending the interests of marginalised groups	Which CSO are most effective in defending the interests of your target groups? In the past 12 months, how did you relate to those CSOs?	+1
	7	Composition current financial resource base	How does your organisation finance institutional costs such as workshops of the General Assembly (if applicable); attendance to workshops of other CSOs; costs for organisational growth and/or networking?	+1
Practice of Values	8	Downward accountability	To what extent can mandatory social organs (steering committee, general assembly, internal auditing group) ask your executive leaders to be accountable to them?	0
	9	Composition of social organs	What % of members of your mandatory social organs belong to the marginalised target groups you are working with/for?	0
	10	External financial auditing	How regularly is your organisation audited externally?	0

Perception of impact	11	Client satisfaction	What are the most important concerns of your target groups? How do your services take into account those important concerns?	+1
	12	Civil society impact.	In the past 12 months, what impact did you have on building a strong civil society?	+1
	13	Relation with public sector organisations.	In the past 12 months, what interaction did you have with public sector organisations to realise your programme and organisations' objectives?	0
	14	Relation with private sector organisations	In the past 12 months, what interaction did you have with private sector organisations to realise your programme and organisations' perspective?	0
	15	Influence upon public policies, rules, regulations	How successful have you been in influencing public policies and practices in the past 2 years?	+1
	16	Influence upon private sector agencies' policies, rules, regulations.	How successful have you been in influencing private sector policies and practices in the past 2 years?	0
CS context	17	Coping strategies	In the past 2 years, how did your organisation cope with these changes in the context that may have been positive or negative consequences for civil society.	+1

Appendix 4 Changes in civil society indicators between 2012 and 2014

4.1 Civic Engagement

4.1.1 Needs of marginalised groups SPO

Gram Vikas (GV) works with a continued focus on sanitation and holistic empowerment of villages with an aim for self-sustenance. GV ensures that it covers 100 per cent of all families in the villages where it works. Addressing the centuries-old problem of exclusion of the poor and the marginalised, such as women and the scheduled castes/tribes, from developmental processes is key in these programmes and it culminates into the establishment of "a general village body" that proportionally represents all categories. GV's project document with ICCO, in fact, states that it selects villages with higher concentration of poor and marginalised communities, particularly Dalits[47] and Adivasis[48]. About 48 per cent of its target groups belong to tribal communities.

According to its Annual Report 2013-2014, Gram Vikas' (GV) outreach expanded to cover over 62,900 households in 1,095 villages by March 2014, including 2,908 households in 55 villages in 2012-13 and 2,128 households in 52 villages in 2013-14. Given that the objective of GV's MANTRA programme is to cover 100,000 households by 2015, the GV personnel frankly admitted that covering the remaining 37,100 households within deadline is unachievable. This shortfall, however, must be understood in context; Odisha was struck by Cyclone Phailin[49] in October 2013, the second-strongest tropical cyclone to make landfall in India, next only to the 1999 Odisha Cyclone. Rehabilitation and reconstruction have since been the priorities, in turn derailing most development work in these states. But GV has risen to meet the needs of the occasion by expanding its scope of work to include social housing for disaster victims by collaborating with the state government's disaster management agency Odisha State Disaster Management Agency (OSDMA)[50]. GV has committed to habitation planning for 22000 houses in three districts and has trained 2000 masons for it.

Emphasising the increase in the number of households that had benefitted through GV's interventions, the field staff said that the period between 2012 and 2014 had seen GV focusing its work on women and children. Over 4,433 children received health and hygiene education training through the school sanitation and hygiene education programme; 5,093 families were supported in applying for the health smart cards under the Rashtriya Swasthya Bima Yojana (RSBY)[51]; 10,005 people were treated

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[47] The word Dalit means broken, oppressed and downtrodden. The word is nowadays adopted by the depressed classes who were previously under the caste system termed as untouchables. Dalits are considered "outcastes" falling out of the traditional Varna or caste system. They have been associated with those belonging to castes that have traditionally done menial and "polluting" jobs. As such, they have faced rampant discrimination in Indian society. Dalits form 16.6% of Indian population. *Refer,* http://www.ncdhr.org.in/dalits-untouchability/

[48] Adivasis, or the original inhabitants, is the collective name used to describe people belonging to various tribes in India. They are found throughout India but are mainly concentrated in central and north-eastern states. The Adivasis vary greatly and are not one homogenous group, they speak different languages, have different culture and ethnicity. Often classified under "Scheduled Tribes" status, but this again differs from state to state. *Refer,* http://www.faqs.org/minorities/South-Asia/Adivasis-of-India.html

[49] Phailin, graded a Very Severe Cyclonic Storm (VSCS), hit Orissa on the 12th of October 2013 with a wind speed touching almost 220 kmph. The intensity of the cyclone placed it inside category 5 of the Saffir-Simpson Hurricane Wind Scale (SSHWS). The cyclone affected the lives of about 13.2 million people, destroying 256,600 homes. The strong winds and heavy torrential rains were responsible for the maximum amount of structural and physical damage.

[50] Orissa State Disaster Management Authority (OSDMA) was set up by the Orissa government in 1999 as an autonomous authority to not only take up mitigation activities when a disaster takes place but also be involved in restoration, relief and reconstruction. *Refer,* http://www.osdma.org/ViewDetails.aspx?vchglinkid=GL000&vchplinkid=PL000&vchslinkid=SL000

[51] Rashtriya Swasthya Bima Yojana (RSBY) literally translated as National Health Insurance Programme. It was launched by the Ministry of Labour and Employment, its main purpose is to provide health insurance to Below Poverty Line (BPL) families. The scheme is mainly meant to cover the financial liabilities that BPL households suffer from in case of health

in the health camps organised under the National Rural Health Mission (NRHM)[52]. GV also took to implementing the government programme SABALA[53] that provides for training adolescent girls on reproductive health issues. In the past two years GV trained 1721 adolescent girls under SABALA, organised 16 exposure trips for 452 girls to learn about basic services like bank saving and benefit, post offices, police stations. The programme managers said that the past two years saw GV focusing on strengthening the 20 women's SHGs constituted by it earlier. GV conducted 19 SHG management trainings which included record keeping, financial training, literacy training. Also 12 income generation/vocational trainings were conducted in 2012-13, women were trained to identify business opportunities, micro plan for business development and undertake credit planning. Such trainings have helped women initiate new enterprises. Two SHGs in the Gajapati district have taken bank loans and invested in tractors and machinery for business, others have started nursery raising and kerosene dealerships, yet others are maintaining defunct SHGs micro-hydro units.

The leadership, meanwhile, said that GV's work with the state government's OTELP (Odisha Tribal Empowerment and Livelihoods Programme)[54] has enabled it to go beyond water and sanitation issues and diversify into work around agriculture and non-agriculture based livelihoods.

Score: +1

4.1.2   Involvement of target groups SPO

As at the time of the baseline, so also now, decentralisation and subsidiarity continue to be the core of GV's vision. MANTRA is a comprehensive habitat development and governance programme that uses concerns of clean water and total village sanitation as a tool to unite and empower communities. It ensures target group participation through the 100 per cent coverage and inclusion principle.

Social mapping, baseline surveys and meetings are conducted to identify target group concerns before interventions are implemented. To enable decision making at community level, General Bodies are constituted in each village with the head man and head woman from each household as the representative. Further, Village Executive Committees (VECs) are formed in every village with equitable participation of women and different caste groups in the community. The 12 member VECs—which are registered under the Societies Registration Act, 1860—are entrusted with the task of monitoring the implementation of the water and sanitation programme. And, corpus funds, with an average contribution of Rs.1000 per family, are generated in every village and upon completion, the amount is deposited in the bank and the interest utilised to extend financial assistance to new families in the future.

GV's Annual Project Update 2012-2013 cites intensive community mobilisation and motivation meetings during the reporting period in order to obtain consensus of all the households to implement the water and sanitation programme. This resulted in over 700 families agreeing on constructing individual sanitation blocks. Also in these meetings, needs assessment with respect to water and sanitation was conducted with the community and based on an understanding of the issues of health, water availability and hygiene, plans were formulated for each village.

An Odisha-based bureaucrat who has worked with sundry CSOs in the state said that GV's model of taking community contribution for construction and maintenance of toilets fosters a sense of ownership and responsibility, thus giving GV an extra edge over other NGOs.

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shocks. The scheme started functioning from 1st April 2008. Refer, http://india.gov.in/spotlight/rashtriya-swasthya-bima-yojana

[52] National Rural Health Mission (NRHM) was launched in April 2005. The main goal of NRHM is to provide health care to the rural population, especially the disadvantaged groups, including, women and children. It integrates ongoing vertical health care programmes to address the issue of sanitation, safe drinking water and nutrition. Refer, http://pib.nic.in/archieve/flagship/faq_nrhm.pdf

[53] SABALA is an adolescent girls integrated development programme, it comes under the Integrated Child Development Scheme (ICDS). The main aim of the scheme is to empower girls in the age group of 11-18 by providing them training on life management, nutrition, education, personal hygiene and skill development. Refer, http://www.thehindu.com/todays-paper/tp-national/tp-andhrapradesh/sabala-scheme-a-boon-for-tribal-girls/article2803265.ece

[54] Odisha Tribal Empowerment & Livelihoods Programme (OTELP) was introduced in the state of Odisha in 2004. The programme aims to empower the tribals, providing them with livelihood support and food security through watershed mode approach. The purpose is to improve their overall quality of life, ensure food security and increase their incomes. Refer, http://www.otelp.org/about.asp

Score: 0

4.1.3 Intensity of political engagement SPO

GV is apolitical. However, GV continues to work with PRIs (Panchayati Raj Institutions) towards the advancement of its work. The GV field staff often act as a facilitators in the monthly Palli Sabhas[55]. The past two years have, in fact, seen the organisation invest additional time and manpower in informing communities of the importance of participation in Palli Sabhas and encouraging engagement with local MLAs (Member of Legislative Assembly) across political parties to channel resources for the development needs of their villages. As a result, said the GV programme managers, certain VECs have been able to access MP (Member of Parliament) and MLA funds for water and sanitation programmes - though no concrete examples of this were provided to the evaluators. GV conducted a workshop for convergence of the employment guarantee scheme MGNREGA (Mahatma Gandhi National Rural Employment Guarantee Act)[56] with the sanitation programme NBA (Nirmal Bharat Abhiyan)[57] in 2014, ward members from various panchayats were called to participate in it.

A sarpanch from one of GV's intervention villages acknowledged GV as being her political-social trainer and support structure.

Score: 0

4.2   Level of Organisation

4.2.1   Relations with other organisations SPO

During the baseline evaluations, many respondents, both external as well as from within GV, had seen GV's inability to network successfully as a major reason for the organisation not having been able to expand the scope of its activities, if not influence, beyond Odisha where it began work about thirty years ago. The end line found that GV had worked hard at overcoming this shortcoming over the past two years. Indeed, the GV personnel, across hierarchies, felt that its relations with other organisations have improved since the baseline. To begin with, they said, this period saw GV shifting its headquarters from its isolated Mohuda campus in Behrampur to the capital Bhubaneshwar; this itself was done with an aim to become more connected with and accessible to others.

Between 2012 and 2014 GV started work with the NGOs PRADAN[58], Bithari Disha[59], People in Need Foundation[60] and SAMARTH[61] in Jharkhand, West Bengal, Nagaland and Madhya Pradesh respectively.

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[55] Palli Sabhas were formed under the Orissa Gram Panchayat Act, 1964, it's a provision that creates a meeting of all electorates of a revenue village, and these villages may comprise one ward or more than one wards. Palli Sabhas will give recommendations to the gram panchayat at its annual meeting in February on issues of development work to be taken up in the coming year. *Refer,* http://odisha.gov.in/e-magazine/Orissareview/2010/Feb-Mar/engpdf/13-16.pdf

[56] Mahatma Gandhi National Rural Guarantee Act (MGNREGA), 2005, is designed to provide a guaranteed job (non-skilled) to all adult members of a family living in a rural area for at least 100 days. *Refer,* http://www.mgnrega.co.in/

[57] The Nirmal Bharat Abhiyan (NBA) is a programme by the government to ensure sanitation facilities in rural areas, and in the long term to eradicate the practice of open defecation. The programme is demand driven and people-centred. Earlier, it was known as the Total Sanitation Campaign (TSC), 1999. *Refer,* http://www.tnrd.gov.in/schemes/cen_nba_13.html

[58] PRADAN is a voluntary organisation established in New Delhi in 1983. The main aim of the organisation is to remove "economic poverty by enhancing livelihood capabilities of the poor and giving them access to sustainable income earning opportunities". PRADAN has been at the forefront of "promoting and nurturing Self-Help Groups (SHGs) of poor women". *Refer,* http://www.pradan.net/index.php?option=com_content&task=view&id=17&Itemid=3

[59] Bithari Disha is a Kolkata based NGO formed in 2002. It was created under the NGO Voluntary Health Association of India (VHAI). It works on the issues of education, basic health care, water quality management and water, sanitation, and hygiene promotion. *Refer,* http://www.bitharidisha.org/about.htm

[60] People in Need Foundation is a Nagaland based organisation working to create awareness on arts and culture, women's empowerment, health issues like HIV/AIDS, nutrition and vocational training etc. The organisation has launched a community care centre in Nagaland's Dimapur, where it caters to those suffering from AIDS and other diseases. *Refer,* http://www.indiamapped.com/ngo-in-nagaland/kohima/people-in-need-foundation-21447/

[61] Samarth is an NGO based out of the state of Madhya Pradesh. Its main aim is the socio-economic empowerment of women through capacity/skill building, training, health education, mobilisation and organisation. *Refer,* http://samarthmp.in/vision/

The Watershed Organisation Trust (WOTR)[62], an organisation based in Ahmed Nagar in Maharashtra, has been training the GV field staff since 2013 under the OTELP project. Also under the OTELP, GV is now collaborating with Washington-based Landesa—Rural Development Institute[63] to help landless tribal families claim rights over homestead land. It may be noted here that some of GV's new collaborations with other NGOs might have been initiated due to its work with the state government, but have expanded in scope since. For instance, GV initially collaborated with PRADAN under OTELP to work in Kandhamal district of Odisha, but the two have since agreed to work for the period 2013 to 2017 in Jharkhand as partners independent of government. GV provides technical inputs and support to PRADAN's project villages as the latter mobilises public opinion on issues of water and sanitation. Such expansion has also found new funders for GV. The Skoll Foundation[64] has agreed to support GV's expansion in Madhya Pradesh and Nagaland—in collaboration with PRADAN. And the Bill and Melinda Gates Foundation[65] is supporting GV's plans for expansion in Jharkhand and Odisha; staff deployment for both locations is over. This, even as the Star Foundation[66] is supporting GV's expansion in West Bengal with Bithari Disha.

GV's work with Prayas[67], a Pune-based NGO working on issues of energy, health, learning and parenthood, saw it building power utilities in the tribal districts to expand coverage and respond to quality issues faced by rural consumers .This collaboration had ended in 2013, but given its success it has been renewed in 2014.

GV continues to be a part of ODAF (Orissa Development Action Forum), a collective of NGOs, constituted in 1988 to address drought in the state and evolved to address sustainable development issues. ODAF currently funds some of GV's SHG training workshops. GV is still a part of FAN (Freshwater Action Network)[68], however, the field staff said they had no idea about interactions with FAN since the baseline.

Starting 2013, GV has forged collaborations with Riders for Health (RIH)[69] in The Gambia and a faith-based organisation in Tanzania towards the expansion of MANTRA. Three persons from these countries visited GV's Mohuda campus for technical training, and two GV staff members are currently positioned in these countries to implement MANTRA. Two other international donors, One Drop Foundation[70] and Charity: Water[71] has partnered with GV since 2012; they have been funding GV to spread awareness

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[62] The Watershed Organisation Trust (WOTR) is an NGO founded in 1993 and currently functioning in six states—Maharashtra, Andhra Pradesh, Madhya Pradesh, Jharkhand, Rajasthan and Orissa. It works to support "a large-scale multi-actor, multi-level, multi-sectoral, community led watershed development program for poverty reduction called the **Indo-German Watershed Development Program (IGWDP)".** *Refer,* http://www.wotr.org/about

[63] Landesa started under the name of Rural Development Institute by Roy Prosterman, a University of Washington Professor, in 1981. In 2010, the name was changed to Landesa. The organisation works towards securing land rights for the "world's poorest poor". In India it works with local government and local organisations to help landless families obtain small plots of land. *Refer,* http://www.landesa.org/about-landesa/

[64] The Skoll Foundation was founded by Jeff Skoll, founder of eBay, in 1999. It is a foundation which supports "social entrepreneurship, driving large-scale change by investing in, connecting, and celebrating social entrepreneurs and other innovators dedicated to solving the world's most pressing problems". *Refer,* http://www.skollfoundation.org/staff/jeff-skoll/

[65] Bill & Melinda Gates Foundation, is one of the largest private foundations in the world established in 2000. In India, the foundation partners with state and central governments, non-profit institutions, academic institutions, community groups and the private sector. The foundation started off in India by working towards controlling the spread of HIV/AIDS but over the years it has expanded towards issues of maternal and child health, nutrition services, vaccines and immunisation, family planning, sanitation and agricultural development etc. *Refer,* http://www.gatesfoundation.org/What-We-Do/Global-Policy/Regional-Offices/Our-Work-in-India

[66] Star Foundation is an independent charity founded in 2001 by Al-Dabbagh Group based out of London. It supports organisations and ideas which are aiming to transform the lives of disadvantaged children. *Refer,* http://www.starsfoundation.org.uk/about

[67] Prayas meaning "focused effort", is an NGO based out of Pune, Maharashtra. The organisation has four core themes that it works on: energy, health, resources & livelihoods and learning & parenthood. *Refer,* http://www.prayaspune.org/

[68] Freshwater Action Network (FAN) is a network of people around that world working towards building better water & sanitation policies by helping the civil society gain decision-making powers. GV is a governance partner of the organisation. *Refer,* http://www.freshwateraction.net/content/governance-partners-india

[69] Riders for Health (RIH) is a non-profit organisation empowering rural communities in Africa through reliable transportation. It provides health-care to rural villages in Africa using motorcycles and motorcycle ambulances. It was an idea of Barry and Andrea Coleman that took root in the late 1980s. Barry was a journalist and Andrea a professional rider. *Refer,* http://www.riders.org/about-us/the-beginnings

[70] One Drop Foundation aims is to "ensure everyone has access to water". It is a non-profit organisation established in 2007 by Cirque du Soleil Founder Guy Laliberté. *Refer,* http://www.onedrop.org/en/DiscoverOneDrop_Canada/WhoWeAre.aspx

[71] Charity: Water was founded in 2006 by Scott Harrison. The aim of the non-profit organisation is to bring safe and clean drinking water to people in developing countries. *Refer,* http://www.charitywater.org/about/mission.php

towards setting up chlorinators in the organisation's project areas. Karl Kübel Stiftung[72], a German organisation, has renewed its funding to GV towards implementing watershed and livelihood implementation programmes; they had stopped funding in the pre-baseline years.

The executive leadership said that the expansion of GV's network is consequence of other NGOs having observed the success of GV's MANTRA programme with relation to its sustainability. It was pointed out that a senior person has, in fact, been recruited to work dedicatedly at managing new collaborations. An Odisha-based development professional said that that GV seemed to have finally accepted that it was perceived as a loner, centred around the personality of its founder Joe Madiath, and had now started working to correct this image.

Score: +1

4.2.2 Frequency of dialogue with closest civil society organisation SPO

The GV executive leadership had reported intermittent meetings with no more than two NGOs during the baseline. The past two years, according to the leadership, have had GV staffers keeping a much busier meeting schedule, especially so given its plans of expanding beyond Odisha. The leadership now has two meetings a month on an average with partner NGOs; additionally senior managers visit them on site to guide programme implementation. The field staff, however, had no information regarding these meetings with other NGOs. Neither did the programme managers; GV now has a separate resource mobilisation department, they said, which focuses on networking, and it is only this department that is in the know of all such meetings. No documented evidence of these meetings could be made available for the evaluators.

Score: 0

4.2.3 Defending the interests of marginalised groups SPO

GV maintained that the VECs continue to be the best defendants of the interests of the marginalised. The past two years, they recounted, has had the VECs increasingly assisting villagers avail government schemes, ensuring better implementation of government projects and filing RTIs (Right to Information)[73] effectively. For the rest, GV personnel listed the same CSOs in 2014 that they had in 2012: a) Vasundhara[74] for working on issues of forestry, forest rights, conservation, environmental governance, etc. b) The Odisha RTI coalition, called Utha Orissa, which is an alliance of CSOs to ensure that the RTI Act is activated for every citizen of Odisha, particularly among the most marginalised; c) Arghyam[75] that works with a range of stakeholders including the government to improve the water sector; it has helped in drafting the recommendations of the civil society for the Twelfth Finance Plan; d) Water Aid[76] for actively working on issues of water and sanitation and playing a key role in influencing policy at the country level; e) FAN (Freshwater Action Network) which has been active at the regional as well as national level to influence policy in the water and sanitation sector.

Some fresh additions were: a) The Washington-based Landesa—Rural Development Institute that works to secure land rights for the world's poorest rural people who live on less than two dollars a day, it partners with developing country governments to design and implement laws, policies, and

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[72] Karl Kübel Stiftung is a German charitable trust founded by Kar Kübel, former industrial entrepreneur. The organisation aims at improving family life to therefore, build a better society. Based on this promotes various self-help and parents initiatives. Refer, http://www.kkstiftung.de/30-1-About-us.html

[73] The Right to Information act (RTI), 2005, "mandates timely response to citizen requests for government information". It has been hailed as boon by many, and has come to serve as another tool in the hand of the citizens to ensure transparency in the government functioning. Refer, http://righttoinformation.gov.in/

[74] Vasundhara was formed in 1991, it started off as an organisation focusing on research on institutional and policy changes in community forest management, soon enough, it expanded its scope of work to networking on the issue as well. Refer, http://vasundharaodisha.org/overtheyear.asp

[75] Arghyam is a Bengaluru based foundation working through a personal endowment of Rohini Nilekani. It is a public charitable foundation which has made grants to organisations in 22 states across India since its inception in 2005. Those organisations are chosen which manage groundwater and sanitation projects in the country. Refer, http://arghyam.org/about-us/

[76] Water Aid is an international non-profit organisation aiming to improve the quality of life by providing access to safe water, hygiene and sanitation. Refer, http://www.wateraid.org/where-we-work/page/india

programmes concerning land that provide opportunity, further economic growth, and promote social justice; b) PRADAN; c) ODAF; d) Prayas; e) Surakhya[77]; f) Behrampur-based NGO Sacal[78] (Social Action for Community Alternative Learning).

The overall assessment of the GV personnel was that the numerous NGOs presently working under OTELP were competing to outperform each other, thus creating better environment for the target communities.

Score: +1

4.2.4   Composition financial resource base SPO

ICCO has been a GV funder since 1984; MANTRA began with support provided by ICCO. This funding ceased in March 2014. Uncertain as to whether it will be renewed again, GV's executive leadership reported deterioration in the organisation's financial situation since the baseline. A change in the overall international donor-aided funding scenario, the leadership observed, has affected institutional support that was provided by long standing partners like ICCO, Christian Aid, etc, with current donors more focused on their respective programmes than organisations as a whole. Also, said the leadership, the Indian government's enhanced scrutiny[79] over funding sources and expenditures of NGOs has added impediments to the organisation's sustainability and operations.

Having said which, GV's MANTRA model is based on the contribution from community for building and maintenance of every individual sanitation unit; village level corpus funds are collected with an average contribution of Rs.1000 per family. Also, expansion of GV's work on the MANTRA model beyond Odisha has earned it funders such as the Skoll Foundation, Star Foundation, Vitol Foundation[80] and the Bill and Melinda Gates Foundation. Donors such as Karl Kuber Stiftung, Practical Action[81], One Drop, Governance and Transparency Fund[82], Arghyam, NABARD (National Bank for Agriculture and Rural Development)[83] etc fund workshops, trainings, staff support, mobilisation, programme costs etc. This even as two ongoing government projects—OTELP and Odisha Disaster Recovery Project (ODRP)[84]—have been a major source of growth and revenue for GV these past two years. Also, GV has built a core or reserve fund over the years; this is used to support General Body and Governing Board meetings. Workshops, meanwhile, are mostly supported by the host organisations. The GV website continues to have a provision for raising funds through donations: http://www.gramvikas.org/donate. Quoting many of the revenue sources mentioned above, the programme managers, unlike the leadership, said that GV's financial health had in fact improved in the past two years.

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[77] Surakhya is a project launched in collaboration with UNICEF and Orissa Voluntary Health Association (OVHA), in 2011, towards reducing infant and child malnutrition in the state of Orissa. *Refer,* http://www.thehindu.com/todays-paper/tp-national/tp-otherstates/surakhya-launched/article2131138.ece

[78] https://www.facebook.com/sacal.ngo

[79] The Ministry of Home Affairs (MHA) acting on a recent Intelligence Bureau (IB) report, which claims that funding is being used to create hype over issues and is creating alienation in Jammu & Kashmir and the North-East states. The government is investigating NGOs on the basis of Foreign Contribution (Regulation) Act (FCRA), many sections of the civil society believe that this is an attempt by the government to muffle dissent. *Refer,* http://www.newindianexpress.com/nation/Mysterious-NGOs-Under-MHA-Radar/2014/05/25/article2243524.ece; http://articles.economictimes.indiatimes.com/2014-06-14/news/50581806_1_foreign-contribution-foreign-funding-ngos

[80] Vitol Foundation of the Vitol Group an energy and commodities company, works with 157 partner organisations in 65 countries. It works towards child development through building education, wash (water, sanitation and hygiene), and livelihoods. *Refer,* http://www.vitol.com/about-us/vitol-foundation/

[81] Practical Action was founded by economist and philosopher E.F. Schumacher more than 45 years ago in the UK. It works in more than 45 developing countries across the world. It uses technology to tackle poverty in these countries. It works on issues of markets, disaster risk reduction, climate change, energy access and food & agriculture. *Refer,* http://practicalaction.org/who-we-are

[82] The Governance & Transparency Fund (GTF) is a 130 million pound fund created by the government of UK in 2007. The aim of the fund was to help citizens hold their governments accountable by supporting the organisations that can empower them. In 2008, 38 organisations were chosen around the world, to which they provided support. *Refer,* https://www.gov.uk/governance-and-transparency-fund-gtf

[83] The National Bank for Agriculture and Rural Development (NABARD) was set up by the Reserve Bank of India (RBI) in 1982, for the upliftment of rural India by increasing the credit flow for improving agriculture and rural non-farm sector. *Refer,* https://www.nabard.org/english/mission.aspx

[84] The Odisha Disaster Recovery Project (ODRP) aims to "restore and improve housing and public services in targeted communities of Odisha, and increase the capacity of the state entities to respond promptly and effectively to an eligible crisis or emergency. In July, India signed a loan agreement with the World Bank which will provide assistance $153 million to ODRP. *Refer,* http://www.worldbank.org/projects/P148868?lang=en

Score: +1

4.3 Practice of Values

4.3.1 Downward accountability

During the baseline, the GV staffers had agreed that 100 per cent accountability existed in the organisation with quarterly reports being submitted to the Governing Board and strong internal governance and accountability norms in place. All this, they had said, was a part of their formal obligation and a value which the organisation has pursued since long. At the time of the end line, barring the executive leadership which reported considerable improvement in the organisation vis a vis downward accountability since the baseline, other staff at the managerial and field level said that there had been no change. The leadership substantiated its opinion by citing that efforts had been made to recruit more staff in the Administration and Finance departments to streamline reporting needs. While the programme managers said that though transparency and accountability continue to be ensured at every level in GV activities, high staff turnover in the past two years has made consistent and quality documentation, and thus reporting, a problem. Despite which, monthly reports are generated, and consolidated, and bi-monthly reports sent to donor agencies without missing deadlines. The evaluators, however, found no evidence of these reports being shared with the field staff or indeed the target community.

Score: 0

4.3.2 Composition of social organs SPO

As at the time of the baseline, so also now, GV has a Governing Board comprising development practitioners, academicians and professionals from the field of management and law. Currently, the Governing Board has eight members, including one woman. The Governing Board is elected from the General Body members, which also has eight members, including two women.

The GV leadership reiterated that members from their target group are not a part of Governing Body— and that as per the by-laws of Societies Registration Act, 1860 governing GV, it is not mandatory for them to have client representation in their board.

Score: 0

4.3.3 External financial auditing SPO

As during the baseline, so also now, India's statutory laws make it mandatory for GV to audit its financial records each year. GV has an audit report archive uploaded on its website.

Score: 0

4.4 Perception of Impact

4.4.1 Client satisfaction SPO

At the time of the baseline, GV staffers listed the following as the main concerns of their target groups: water and sanitation, health, education, food security, caste and gender discrimination, communal violence, lack of transportation and communication facilities and problems in availing government schemes. Being chronic, these concerns remain. And given that Super Cyclone Phailin hit Odisha in 2013, GV added the following to the present concerns of their target groups: need for disaster resistant shelter, livelihood training especially with regards to agriculture and horticulture, improved variety of seeds (not hybrid), proper implementation of government's welfare schemes and electricity supply. GV caters to all these concerns through awareness building and social mobilisation

around sanitation, water, livelihood improvement, health care and facilitating interface with government departments and elected representatives.

The GV staff said that community demand and contribution for proper water and sanitation systems have increased over the past two years; community members are promoting water and sanitation system in their villages by contributing more despite increasing costs of cement and other construction material required to build toilets. Neighbouring non-project villages who have been witness to the benefits reaped by GV's project villages have also started demanding quality construction of toilets by GV. Tribals of the project and non-project villages, who never used to give importance to sanitation, have now started demanding individual toilet units. Further, GV has entered into a number of partnerships and collaborations, nationally as well internationally, to expand the outreach of MANTRA and benefit communities beyond Odisha in states such as West Bengal, Madhya Pradesh, Jharkhand, Nagaland and the Gambia and Tanzania.

GV's work has also affected the health of its target communities, especially of women and children. Women now have privacy provided by the individual toilet and bath units. The availability of water facilitated by installation of water and sanitation systems has promoted health-friendly hygiene practices within the households such as hand-wash practice by children. Nutritional intake—and income—has increased because households have been encouraged by GV to start kitchen gardens due to availability of water. Such availability has also greatly reduced women's drudgery in fetching water, leaving them extra time to be devoted to their children's education and other livelihood activities.

The past two years have also seen GV continue creating awareness amongst the target group about entitlements under government schemes. Many, including VECs, have filed RTI applications, which resulted amongst others in a) the electrification in many tribal villages; b) better implementation of MGNREGA, PMGSY (Pradhan Mantri Gram Sadak Yojana)[85], which has in turn, improved village infrastructure and connectivity; c) land being allotted to tribal persons under the Forest Rights Act (FRA).[86] GV has followed up on many who have been allotted land under FRA with trainings on horticulture or agriculture.

GV has four (Konkia, Koinpur, Rudhapadar and Thuamul Rampur) village-based residential schools. During the baseline workshop, the executive leadership said that as of 2011, the organisation also had 11 day schools. Over the past two years, the number of residential schools has remained constant; however, the day schools have been reduced from 11 to 1. This has been done to promote government schools by encouraging their students to join them. Additionally, GV organised community level discussions on how government schools can be improved. To this effect, GV organises meetings with villagers and VEC members to influence the administration to improve the functioning of government schools. In some cases, this has meant better implementation of the mid-day meal and free uniform schemes. Also, with support from GV, parents succeeded in obtaining Below Poverty Line (BPL) rice for the children in two out of the four GV residential schools. Dropout rates in the GV schools have gone down during these two years. GV initiated the "Khel Vikas" (Sports Development) programme in 2012 that aims at promoting adoption of sports amongst the rural and tribal youth. Through this programme, sports like weightlifting, volleyball, athletics etc. were introduced to the tribal children. Benefitting from the programme, some of the children have won national level awards in weightlifting.

GV's continues to work on alternative renewable energy applications training where grid energy is not available. Solar, micro hydro, smokeless chulha and bio gas infrastructure is created by the organisation for the community for lighting and cooking. Large numbers of people rely on renewable sources of energy such as smokeless chulhas, solar energy etc in GV project villages.

With regards to disaster resistant housing, GV's experience in social housing in '90s and early 2000s led the government recognising GV as a partner in implementing the social housing project in collaboration with OSDMA (Odisha State Disaster Management Authority) and the World Bank post

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[85] The Pradhan Mantri Gram Sadak Yojana (PMGSY) is a flagship scheme introduced by the National Democratic Alliance (NDA) in 2000 to create all-weather roads connecting rural villages which are often inaccessible. *Refer,* http://pmgsy.nic.in/

[86] The Scheduled Tribes (Recognition of Forest Rights) Bill, 2005 seeks to recognise forest rights of forest dwelling Scheduled Tribes (FDSTs) who have been occupying the land before October 25, 1980. *Refer,* http://www.prsindia.org/uploads/media/1167469383/legis1167477829_legislative_brief_scheduled_tribes_bill.pdf

Phailin. The project aims at building 22000 houses (with toilets) in about 250 villages in Odisha's Ganjam, Puri and Khordha districts by 2016. GV is the socio-technical support agency to OSDMA for this project. Also, the disaster aftermath saw GV promoting micro life insurance, at a low premium, to rural populations; in 2013-14, 1587 households opted for micro-insurance, thus providing insurance coverage to a total of 1671 individuals since the beginning of the programme in 2010.

Score: +1

4.4.2   Civil society impact SPO

There has been both quantitative and qualitative enhancement of the CBOs established by GV— namely the VECs—since the baseline, as also the GV's target communities. GV registered 64 new VECs were under Societies Registration Act, 1860 in 2013-14; each VEC comprising equal representation of women and men. The community corpus fund collected by VECs added up Rs 50.36 lakhs between 2012 and 2014.

Towards the qualitative development of their roles, VEC members interviewed for the end line confirmed having received trainings by GV. In May 2013, 120 VEC members received three days of training in leadership development and skills that would enable them to inform and convince the community of the importance of sanitation and hygiene. In February 2014, 250 VEC members participated in a one day workshop to be trained to help their community's access MGNREGA funds for toilet building. The respondents gave examples to substantiate that working with GV has capacitated the VECs. A member said that his VEC had identified a MGNREGA official's corrupt practice of forging signatures to embezzle funds, confronted the official to no effect, so followed up the complaint with the district collector, who suspended the official. Another VEC member spoke of the VECs having evolved into bodies that villagers now increasingly approach for guidance and assistance. He cited an instance where, in 2013, after receiving complaints about state officials who were refusing to release money for toilet construction under MNREGA without bribes, VEC members from Karanjiya and Jhalkani villages organised a protest rally mobilising over 100 villagers in front of the block office at Harichandanpur in Keonjhar district. The administration came under pressure and released the funds.

GV's leadership believes that training civil society actors in the use of RTI is relevant and has widely done so over the past two years. For this, six leadership trainings were organised for 275 villagers in 2012-13. Further, 20 RTI applications were filed after the provision of four trainings to the villagers (including VECs) in the same year.

GV continues to train people in five livelihood skills: masonry, plumbing, stone dressing, bar bending and house painting or toilet painting. In some areas women themselves take up the task of completing the construction of toilets and bathrooms. GV brings in trained masons from neighbouring villages to train young men and women in their villages. Despite practical difficulties, the project has been able to set off a positive change in the attitude and behavioural practices of target communities. In 2012-13, there were 90 youth trained in masonry for the water and sanitation programme. Also, 2000 people have been given training in 2013-14 to become masons as a part of the Odisha Disaster Recovery Project (ODRP).

Over the years while its focus on quality education continued, GV also played a role in strengthening communities to ensure accountability and quality in the government education system. Many of GV's target communities now monitor teacher attendance and mid-day meal quality. Also, a joint initiative of parents and GV has helped facilitate a change in government practice, whereby students in GV run residential schools are now getting subsidised BPL rice from the government since 2013. The increase in demand for enrolment in GV run schools has also led to request for permission to increase school capacity from 7th grade to 8th grade in the middle level schools.

According to a government resource person, GV's practice of teaching and orienting villagers to the use and proper maintenance of toilets and holding its staff responsible for the spread of such values as well as its proper implementation has worked as an advantage for GV programme, where systems established by them are well maintained by the community, which is not the case with other NGOs.

Score: +1

4.4.3   Relation with public sector organisations SPO

GV has continued to interact with public sector organisations over the past two years. The Rourkela Steel Plant (RSP)[87] was supporting the financial costs of water and sanitation programme in some remote villages during the baseline, this collaboration is now in its second round in new locations in the Sundergarh district. Also, at the time of the baseline GV had been sanctioned to work in three blocks under OTELP, it is now working with OTELP in four blocks in the Kalahandi and Gajapati districts. The Western Odisha Development Council (WODC)[88] is supporting the ongoing MANTRA programme in Jharsuguda district for the past 12 months. GV has received invitations from OTPCL (Odisha Thermal Power Corporation Limited)[89], OPGC (Odisha Power Generation Corporation)[90], Bokaro Steel Plant Ltd.91, Bhilai Steel Plant92 and NALCO (National Aluminium Company Limited)93 for the implementation of MANTRA programme in villages peripheral to their workers' campuses and colonies. GV's Annual report 2012-13 states that there is a request from SAIL[94] to extend the pilot project that GV was collaborating with them on at the time of the baseline. GV continues to be supported by the National Bank for Agriculture and Rural Development (NABARD) towards implementing the government's WADI[95] project.

4.4.4   Relation with private sector agencies SPO

Like at the time of the baseline, GV continues to selectively engage with private sector companies to avoid conflict of interest issues, especially in tribal pockets given that Odisha has been the site of conflict between tribal populations and corporates for quite some time now[96].

GV's interactions with TATA steel[97] are still on; the collaboration is aimed at implementing water and sanitation programmes in villages. Further, GV has initiated discussions with Bharti Infratel Ltd[98] and

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[87] Rourkela Steel Plant was set up in 1955 as the first integrated steel plant in the public sector in the country with German collaboration. *Refer,* http://www.sail.co.in/rourkela-steel-plant/about-rourkela-steel-plant

[88] The Western Odisha Development Council (WODC), the council was formed on 3rd July 1999, for the development of Western Orissa and to correct the regional imbalance in the state. There has been lots of criticism levelled against the requirement of the council as not one "noteworthy project has been implemented" since its inception. *Refer,* http://www.newindianexpress.com/states/odisha/article353819.ece

[89] Odisha Thermal Power Corporation Limited (OTPCL), is a joint venture company of Odisha Hydro Power Corporation Ltd. and Odisha Mining Corporation Ltd. *Refer,* http://otpcl.com/web/AboutUs/AnnualReports.aspx

[90] Odisha Power Generation Corporation Limited (OPGC) was set up on November 14, 1984. It is the only thermal power generating company of the government of Orissa. Its main purpose is to "establish, operate and maintain thermal power generating stations". *Refer,* http://www.opgc.co.in/

[91] Bokaro Steel Plant is considered India's first indigenous steel plant. It is located in Bokaro in Jharkhand. It is Indias fourth integrated steel plant build with the help of the Soviet Union, the plant was founded in 1964. *Refer,* http://www.sail.co.in/bokaro-steel-plant/about-bokaro-steel-plant

[92] The Bhilai Steel Plant is located in Bhilai, Jharkhand. It is the first and sole provider of rails in the country. This plant was also set up with the help of the Soviet Union in 1955. *Refer,* http://www.sail.co.in/bhilai-steel-plant/about-bhilai-steel-plant

[93] National Aluminium Company Limited (NALCO), a government of India enterprise, was incorporated in 1981, is "Asia's largest integrated aluminium complex, encompassing bauxite mining, alumina refining, aluminium smelting and casting, power generation, rail and port operations". *Refer,* http://www.nalcoindia.com/

[94] Steel Authority of India Limited (SAIL) is India's largest steel producing company founded in 1954. SAIL is made up of five integrated steel plants, three special plants, and one subsidiary in different parts of the country. *Refer,* http://www.sail.co.in/

[95] WADI (fruit orchard) is a project under NABARD for upliftment of the tribals and poor. This is done through the promotion of horticulture and plantation in tribal dominated districts. *Refer,* http://www.gvtindia.org/wadi_nabard

[96] Protests against land acquisition for industries have been taking place across India. In Orissa, the site of protests are over the POSCO steel plant in Jagatsinghpur and the Vedanta's Bauxite Mine in Niyamgiri. In January this year the government gave environment clearance for the POSCO project but Vedanta didn't get its clearance after India's first environmental referendum in 2013, where the Dongria Kondh tribe rejected Vedanta mining in their area. *Refer,* http://www.thehindu.com/news/national/posco-cleared-vedanta-loses-bid-for-niyamgiri-project/article5561906.ece

[97] Tata Steel Limited is part of the Tata Group founded by Dorabji Tata in 1907. It is India's first integrated steel plant. *Refer,* http://www.tatasteel.com/corporate/tata-steel-group.asp

Welspun Group[99] for collaborations. The GV leadership said that the introduction of the new Corporate Social Responsibility (CSR) rule[100] has opened up new possibilities for GV.

Score: 0

4.4.5   Influence upon public policies, rules, regulations SPO

GV's website lists the following as its policy intervention issues: water and sanitation, rural housing, rural electricity, use of government wasteland for afforestation and mining and rehabilitation. GV continues to lobby with the state and central governments for change by demonstrating the effectiveness of its operations in its project area around these issues. It organises events for bureaucrats, politicians, experts and media so that they too become advocates of change.

With GV's executive director, Joe Madiath, serving as the Chairman of the Working Group on Rural Drinking Water and Sanitation for India's Twelfth Five Year Plan (2012-17), some significant elements of MANTRA have gained recognition in the national policy on sanitation, the Nirmal Bharat Abhiyan (NBA).

GV has been successful in advocating for social inclusion and thereby 100 per cent coverage for sanitation. The Total Sanitation campaign (later renamed NBA) had provided for subsidies to be given only to BPL households, whereas under NBA the subsidies are available to Above Poverty Line (APL) families too, with big farmers being an exception. The amount of subsidy to build individual Individual Household Latrines (IHHL) has been increased from Rs. 3200 to Rs. 4600 in 2013. Beginning 2013 an additional subsidy of Rs 4500 can also be availed to build such units under MGNREGA. Emulating the GV model, 'Water and Sanitation' are now considered as a package rather than independent issues under NBA. Provision of piped water facility has been made for villages with 100 per cent coverage; earlier, the government's provision of water was sufficient only for toilets, now, it has been increased it to support kitchens as well.

Similarly, 100 per cent coverage has been facilitated under the government's OTELP programme.

GV promotes the use of sanitary dug well (open wells) instead of deep bore or tube wells because they do not deplete the aquifer and reduce contamination risks. Protected sanitary dug wells, along with tube wells, are now accepted as the norm by the Odisha government.

GV's MANTRA programme has had a widespread impact in terms of promoting water and sanitation amongst a large number of rural households especially in tribal pockets. As a result, a number of public sector companies have been appreciative of GV's water supply work and have come forth to forge partnerships with GV under their corporate social responsibility mandate such as Rourkela, Bokaro and Bhillai steel plants, OTPCL, NALCO and SAIL.

The past two years have seen GV actively persuading communities to make use of the RTI; to that end they organise RTI workshops to assist communities in filing applications, liaising with government officials on the progress of RTI applications, organising trainings for community and disseminating collected information to the public. The initiative of GV towards proper implementation of RTI has led to electrification of some villages by the Odisha government.

GV supported the parents of children to further improved implementation of the government practice of giving rice at subsidised rates to students of GV run residential schools, where starting from year 2013, two such schools have started obtaining BPL rice for their students.

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[98] Bharti Infratel Limited is a provider of tower and related infrastructure. It is engaged in "building, acquiring, owning and operating these towers and providing access to these towers to wireless telecommunications service providers". *Refer,* http://www.bharti-infratel.com/cps-portal/web/overview.html

[99] Welspun Group founded in 1985 by BK Goenka is a multinational company. It has a dominant presence in 50 countries across the world. Its core industries are textiles, energy and steel. *Refer,* http://welspunindia.com/about-us.php#We_at_Welspun

[100] The Companies Act 2013 as well as Companies Corporate Social Responsibility Policy Rules 2014 rules that every company, private or public, with a net worth of Rs 500 crore or a turnover of Rs 1,000 crore or net profit of Rs 5 crore, is required to spend at least 2 per cent of its average net profit from preceding three financial years on corporate social responsibility. *Refer,* http://www.business-standard.com/article/companies/an-overview-of-csr-rules-under-companies-act-2013-114031000385_1.html

The past two years have seen GV assisting government in effective implementation of programmes such as: a) SABALA aimed at improving the nutritional and health status of adolescent girls; b) WADI under NABARD to promote development of horticultural gardens for individual households to help community secure additional, long term sources of income; around 600 farmers in Ganjam district have been supported through WADI in 2012-13, the GV staff provides financial-technical support and assists in the development of irrigation facilities through the techniques of gravity fed systems or by pumping water from open wells. They also provide periodic trainings to the farmers on planting and after care methods in village meetings; c) creating awareness about the rights and responsibilities with regards to electricity in tribal pockets of Odisha under the Rural Electrification project; d) the state government's Youth for Environment programme for the conservation of rich biodiversity and rich wildlife in and around the area of Similipal Tiger Reserve located in Mayurbhanj district; e) the Rashtriya Krishi Vikas Yojna[101] to support 1904 farmers to take up improved paddy cultivation practices in the Ganjam district.

Score: +1

4.4.6 Influence upon private sector agencies' policies, rules, regulations SPO

Like in 2012, the GV personnel reiterated that GV has not influenced any private policies and practices.

Score: 0

4.5 Civil Society context

4.5.1 Coping strategies

The single largest challenge that Odisha, and GV, had to face since the baseline was Super Cyclone Phailin hitting the state and its neighbour Andhra Pradesh (AP) in October 2013. Over thirteen million people were affected, with more than 550,000 people evacuated from the coastline in Odisha and Andhra Pradesh to safer places. Rehabilitation and reconstruction have since been the priorities, in turn derailing most development work in these states. GV's own target group, ready to construct toilets and bathrooms, are now looking to rebuild their partially or fully destroyed houses. But instead of letting this disturb the organisation's agenda, GV's leadership has found an opportunity in the Phailin aftermath to impact communities by working on social housing in collaboration with OSDMA and the World Bank. The field staff, meanwhile, spoke of working with the government line departments on repair and rehabilitation at the village level. Attending to destroyed toilets and water tanks, uprooted electricity lines made pumping water for the village supply tanks difficult, ravaged trees, ruined orchards. Also, assisting villagers avail government compensations that are delayed or denied due to corruption and administrative callousness.

The period between 2012 and 2014 has seen certain positive policy changes around water and sanitation. The subsidy for an individual toilet unit, under NBA, has been increased from Rs. 3200 to Rs. 4600. Plus, earlier only for BPL households, the subsidy has been extended to include Above Poverty Level households. Also, an additional subsidy of Rs. 4500 per household under MGNREGA for building a toilet has been announced. A significant lobbyist for and contributor to these policy changes, GV regrets their inefficient implementation. According to GV, lack of clear procedures has made routing funds from two different government streams—NBA and MGNREGA—a major hurdle for expansion. Because GV has worked hard at disseminating information on the enhanced subsidy at the local level, communities now want to wait to avail both the subsidies. But delay in fund allocation restricts flow of resources, making it difficult for GV to bank on this support to expand its programme.

Meanwhile, the recently introduced Companies Act 2013 as well as Companies Corporate Social Responsibility Policy Rules 2014 now require every company, private or public—with a net worth of Rs

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[101] The Rashtriya Krishi Vikas Yojana or National Agriculture Development Scheme was launched in 2007 as a part of the 11th five-year plan of the government. It aimed to achieve 4% annual growth in agriculture through development of agriculture and its allied sectors. *Refer,* http://rkvy.nic.in/#

500 crore or a turnover of Rs 1,000 crore or net profit of Rs 5 crore—to spend at least 2 per cent of its average net profit from preceding three financial years on social projects. The GV leadership observed that this has given fillip to investment by companies in social development projects—GV's own portfolio of such collaborations has expanded. It has also seen both public and private sector companies, altering their perception of development interventions, moving from a charity based approach to appreciating the fiscal and physical contribution from local community for programme ownership and sustainability.

During the baseline, GV personnel had identified behavioural changes in terms of using and maintaining water and sanitation infrastructure within communities as a major challenge. The end line had the same personnel noting a gradual change in behaviour of communities as they have now started demanding and promoting clean practices. This was seen as a consequence of the ripple effect created by GV's efforts over the years.

Score: +1

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