

# **SMILE FOUNDATION, INDIA**

**An Evaluation of the Action for Children Programme**

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## **ABBREVIATIONS**

AfC	Action for Children
BPL	Below Poverty Line
CfC	Change for Children
CRM	Cause-Related Marketing
CSR	Corporate Social Responsibility
IRP	Indian Rupees
NGO	Non-Governmental Organisation
OBC	Other Backward Castes
PRG	Pay Roll Giving
PSA	Public Service Advertisements
SC	Scheduled Castes
SF	Smile Foundation
ST	Schedules Tribes
STeP	Smile Twin e-Learning Programme
SVP	Social Venture Philanthropy

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## 1. INTRODUCTION

The Action for Children (AfC) Programme is part of the larger Change for Children (CfC) programme. AfC is implemented by Wild Geese, Kidsrights and Net4kids and is supported under the co-financing programme of the Dutch Ministry of Foreign Affairs. The aims of AfC are as follows:

- Strengthening of local fundraising for child poverty alleviation in Brazil, South Africa and India through one nationally operating non-governmental organisation (NGO) per country;
- Encouraging about hundred local initiatives per country per year through NGOs. These initiatives raise funds for projects for children at the target group level and provide public support for development projects in their own countries;
- Involving new actors in the three countries concerned through these NGOs, in particular children, young people and trade and industry;
- The optimal use of strong advocacy instruments by these NGOs for the benefit of children, through the old and new media in the three countries concerned.

The present programme runs from 2007-2010 and a proposal will be submitted in July 2010 to apply for AfC funding for the next period. In the first years of the programme, the AfC donated a relatively large subsidy component to support the activities and the organisational costs at the local level, but this will have to decrease over the years as the partners in each country and the local implementing NGOs are expected to raise funds to cover their own activities and organisational costs. After ten years the partner organisations in the AfC programme should be fully independent in terms of capacity and funding and be able to transfer their knowledge to other local NGOs. Part of the funding requirements is to carry out an evaluation study of AfC's operations every four years. The present study is dealing with the AfC programme in India carried out by Smile Foundation (SF) from its start in 2007 till May 2010.

### *Purpose of the evaluation*

The reason for this evaluation is twofold. Firstly, the CfC partners attach great importance to documentation and learning. Because AfC is a pilot project, it is essential to test and demonstrate its feasibility and make adjustments in the programme where necessary. Outcomes of the evaluation will be communicated to all the partners so that they can assess the strengths and weaknesses of their programmes and the collaborative arrangement. Secondly, this evaluation is part of the overall evaluation schedule of CfC in order to be accountable to the Dutch Ministry of Foreign Affairs.

### *Terms of reference*

The evaluation covers the standard questions of relevance, effectiveness, efficiency, outcomes, impact and sustainability. An overview of the key issues to be covered under those headings is attached in the terms of reference presented in Annexe 1.

### *Team*

The evaluation of the implementation of AfC in India by Smile Foundation (SF) is carried out by Prof. Georg Frerks from Utrecht and Wageningen University, The Netherlands and the Indian co-evaluator Prof. Amitabh Kundu of the Jawaharlal Nehru University in New Delhi. For some details on the evaluators, see the section 'About the authors'.

### *Evaluation visit*

The evaluation was carried out from the 12 May till 19 May, 2010. The programme of the mission comprised visits to the office of SF, presentation by SF staff members, discussions and interviews of the staff, visits to three AfC projects in and around Delhi and interviews with

the persons managing two partner NGOs located in Lucknow in Uttar Pradesh and Subarnapur in Orissa respectively. Besides, three corporate partners were interviewed. SF provided all necessary documents for scrutiny by the evaluators with the full spirit of cooperation (see Annexe 2). A detailed programme of the visit is attached as Annexe 3.

*Set up of the report*

The present report is organised as follows. Chapter 2 gives relevant background information on Smile Foundation, its programmes and approach. Chapter 3 comprises a brief section on the Indian context in which SF is operating. This section is limited to a discussion on the policy environment focussing on the role of the state in the select social sectors wherein SF is operating.. Chapter 4 analyses the data and provides a thematic discussion of the main findings according to the major issues mentioned in the terms of reference. Chapter 4 presents the conclusions. Annexe 1 provides the terms of reference. Annexe 2 enumerates the documents consulted and used for this study. Annexe 3 gives the programme carried out by the evaluation mission.



## 2. SMILE FOUNDATION

### *Origin and aims*

Smile Foundation was set up in 2002 by a group of young and successful professionals in the fields of finance, management and law. They realised the value of education in their personal careers and recognised its importance in social and economic upliftment of all people in the country, particularly the poor. The basic motivation in starting the Foundation was to contribute to the development process in the country through education, health and other related programmes, focussing on the children of marginalised and deprived sections of the population .

SF is a national level development organisation and covering children, youth and women under its various programmes. At present it works in 21 Indian states and reaches directly about 100,000 beneficiaries through a total number of 130 projects. The subjects covered by SF are education, healthcare, livelihood, girl child empowerment, and advocacy. Its central motto is 'empowerment through education'. It believes that education is both an end in itself as well as the means to a better life and society. While addressing the problems of healthcare, poverty, population control, unemployment or human rights, it is evident that education provides nearly always a proper entry point and constitutes the core of the strategy of intervention.

### *Social venture philanthropy*

In the implementation of its programme, SF adopts a number of principles and approaches based on experiences in the corporate sector. Its working model is coined as Social Venture Philanthropy (SVP) and is an application of the 'Venture Capital' model from the corporate sector. Under the SVP model, SF identifies, handholds and builds capacities of grassroots NGOs in order to achieve sustainability, scalability, accountability and leadership. The SVP model adopts an empowerment, not a subsidy approach. It is focused on the future and on civic driven change. SF adopts a partnership approach in which all three partners i.e. the financier, SF and the respective NGO share the responsibility. It does not operate on a grant-giving mode, but bases on reimbursements of expenses for the activities carried out. A final feature is that SF does not work on the basis of individual short term projects but tries to tie them together within a comprehensive and future-oriented perspective. The individual local actions undertaken, thus, become instruments in giving shape to the larger perspective. Understandably, local actions constitute the core of SF's operations and the AfC programme.

### *Local actions*

The objectives of local actions are to build capacity of local NGOs working for the cause of children to raise funds locally; to make the projects self-sustainable to the extent possible; and to sensitize the privileged to support the cause. In order to carry out and sustain local actions successfully a series of steps is undertaken by SF and its partners, as summarised in box 1.

#### Box 1: Steps in organising local action for AfC Programme

- Identification of organisation working for the cause of children .
- Introduction to the concept of local action
- Hand holding / capacity building on fundraising and communication.
- Identification and selection of the specific event under local action in consultation with SF
- Submission of local action application to SF
- Conduct of local action

- Fund raising / collection
- Submission of funds to SF
- Matching of funds by SF
- Disbursement of the funds on quarterly basis
- Management and monitoring of the project

The partners are motivated to conduct local action on a continuous basis and increase their fundraising over the years. For conducting the different steps mentioned above, SF has developed a process of management and monitoring the educational projects that cover the AfC programme. It also designed a set of formats and guidelines to be used for the proposal/project description, desk appraisal, field appraisal, field evaluation, Memorandum of Understanding, and beneficiary profile.

#### *Management principles*

In its operations and management, SF applies principles of good governance. This implies that its policies and decisions are made through a four-tier system, namely departments and divisions, executive committee, advisory body, and board of trustees. SF Delhi is the head office with 45 staff, while there are regional offices in Mumbai, Bangalore, Hyderabad, Kolkata, Chennai and Goa. The head office has six divisions, namely the Programme, Communication, Resources, Facilitation, Governance and School Advocacy Divisions. The programme division has six sub-divisions for the different programmes (see below) and an official for alliances in charge of contacts with external donors, including the AfC partners. Individual staff members are attached to different divisions and sub-divisions, often to more than one, to create synergies.

There is no special unit for the AfC funded activities. It is linked to the existing structures, though there is a five-member core team headed by Mr. Santanu Mishra, Trustee SF, while involving personnel from the different relevant divisions and sub-divisions (see for details below under Action for Children).

The management, monitoring and accountability are governed by a four-tier audit system, namely project audit, statutory audit, internal audit, and external impact evaluation. Optimum use of relevant technology is integrated with the whole system so as to ensure impartial monitoring and optimisation of resources. Finally, a certified Company Secretary certifies compliance with 'Standards of Good Governance'

There is a special National Fundraising Team that focuses its efforts on fundraising through a variety of innovative methods. It encourages product innovation and promotes SF among business houses. Methods used include the organisation of events (with corporate support), corporate donations, pay roll giving (PRG), volunteering and cause-related marketing (CRM). Corporates may give unrestricted funding (among others to be used for SF organisational costs) or donate for the fund to cover the premiums.

#### *Overview of SF programmes*

Below we present a brief and general overview of the programmes that SF is presently carrying out.

#### Mission Education

Through the Mission Education programme, SF provides basic education and healthcare to underprivileged children. At present, 49 Mission Education projects are functional across 20 states and 27 cities of India. More than 30,000 children living in urban slums and remote villages are directly benefiting from these. The beneficiary groups of the projects funded by local actions include a variety of underprivileged children such as street and run-away children, children of commercial sex workers, children with a disability, children affected with HIV/AIDS, rag pickers, orphans, children of families below the poverty line (BPL children),

victims of abuse and trafficking. Activities focus mainly on formal and informal education, life-skills education, advocacy and awareness building, vocational studies and training for enhancing employability, and health care services (health check-ups at the educational centres). AfC provides support to the Mission Education programme.

#### Smile Twin e-Learning Programme (STeP)

Through Smile Twin e-Learning Programme, underprivileged youth are given training in key employability skills like English proficiency, computer operations, personality development etc. primarily to help them get a job in the growing retail and service sector. 3248 trained and about 1750 STeP students have now been employed in companies like Café Coffee Day, Westside Stores, ICICI, HDFC, Reliance Retail, Big Bazaar, Spencers, Chroma etc. At present, 56 STeP centres are operational in 18 Indian states and 41 cities. Smile plans to reach out to 50,000 youth in the next five years.

#### Smile on Wheels

Smile on Wheels aims at providing mobile healthcare in a preventive and comprehensive manner to address the issues of accessibility, affordability and mobility and to improve health seeking behaviour. The target beneficiaries include the most underprivileged and deserving population in urban slums and a few villages in city peripheries. Until now, 250,000 needy people across 11 Indian states have benefited from it. Smile on Wheels provides services to the target group on the basis of an individual registration against a small fee for every visit, while treatment and medicines are provided at costs below the market prices that are generally deemed unaffordable for the beneficiary group. There is, thus, a meaningful contribution towards cost recovery, coming from the target group itself. The fact that people go to these mobile dispensaries, despite the services not being free, shows that the beneficiaries value the services.

#### Swabhiman

This programme aims to empower girl children from low socio-economic strata, enabling them to live with dignity, improve health seeking behaviour and function as change agents. The programme's objectives are to teach self-defense techniques and generating awareness on reproductive and sexual health issues covering Safe Motherhood, Child Health, Family Planning, RTI/STI, HIV/AIDS. It further aims to sensitise adolescent girls on gender issues, and provide life-skills education, including communication and negotiation skills. It further aims at providing reproductive and child health services through mobile health clinic for currently married women, adolescents and children. Swabhiman's present coverage is 10 communities totalling a population of about 150,000.

#### Outreach

Outreach refers to innovative programmes initiated and implemented by SF that are financially supported by corporate firms and institutions. So far the following programmes are implemented: Caterpillar Support provides infrastructure for education with remedial education benefiting over 7,000 children in two districts in Tamil Nadu. Jindal Steel Limited (a leading steel manufacturing company in India) supports a remedial education and non-formal education centre in Jajpur in Orissa. Over 6,000 children benefit out of this project. Proctor and Gamble, a major corporate in health care products, supports *Parivartan*, a project aimed at improving the menstrual health of women and adolescent girls in rural Rajasthan, benefiting a population of over 1.2 million. Save the Children India supports a mobile medical unit project in Delhi supporting a population of over 80,000.

#### Special Interventions

Special interventions concern: Health with Smile, reaching out to the needy children and women through stand-alone curative and preventive health camps across India; Individual Support Programme, supporting the most deserving and needy children on the grounds of critical healthcare, education and sustainability; and Disaster Management, relief and

rehabilitation for children and women during natural calamities like the Tsunami, Bihar floods, and earthquakes.

#### *Action for Children*

AfC started supporting SF from 2007 onwards. SF was selected from among 10 short-listed NGOs for its innovative capacity in project selection and its capacity to raise funds from the corporate sector. In the fall of 2007 three managers of SF received an intensive, one-month training by the Dutch AfC partners on fundraising and small projects selection. In the training, the participants also prepared an action plan for 2008 as well as a more detailed programme for the first quarter of 2008. The contract was signed at the end of 2007 and staff for the programme was hired. The strategy involved capacity building of SF by focusing on communication, brand building and fund raising, while NGO partners were assisted in fund raising, communication and governance. Advocacy, trust building and fund raising were done through mass media, physical activities involving the target audience and the use of technology. Concrete activities included campaigns, social networking and an attempt at putting all branding activities under one single campaign to have a better penetration. Fund raising was done for premiums for local action (by corporate partnerships and events) and meeting the organisational cost (by innovative events, merchandising, direct mailers, etc.). Local actions organised by SF independently or together with NGO partners and civic action groups helped resource mobilisation. Successful fund raising moreover required strengthening of monitoring and evaluation, adoption of principles of good governance and addressing the issue of trust and transparency that were achieved with a reasonable degree of success.

#### *Box 2: Staff involved in AfC*

Core Group Members: Mr. Santanu Mishra, Ms. Manju M, Mr. Swatantra Gupta, Mr. Pratap Ray, Ms. Priti Kalra

Communication and Advocacy: Mr. Santanu Mishra and Communication team (6 members)

National fund raising: Mr. Anurag Bhatnagar with 8 team members

Project Management and Monitoring: Ms. Deepshikha Sharma, Ms. Abhileena, Ms. Meena Batra and Mr. Pratap Ray along with 7 regional staff

Finance and Accounts: Mr. Pratap Ray with 5 team members

Implementation of activities on the ground began in April 2008. Wild Geese gave an on-the-job training to SF on fundraising with action groups. By mid 2008, the Dutch partners decided to revise the budgets and indicators. SF was expected to support 13 local actions for a total value of €32,500, and broadcast 1 'flight' and 2 documentaries. The targets for fund raising for projects and own functioning were put at 0% in the first year, but were to increase in subsequent years. SF organised 14 local action events and collected small donations, raising €28,034, ran six Public Service Advertisements (PSA) and produced one documentary. It also succeeded in linking with major corporate partners. It organised fundraising and capacity development workshops for its local partners and set up a unit on corporate social responsibility (CSR). In 2008, a South-South exchange between the partners in the three countries was envisaged but had to be postponed due to the slow start of the programme in Brazil and the delay in training the South-African partner.

In 2009 SF's AfC activities were consolidated and expanded further. SF's narrative report indicates that overall the quantitative and qualitative targets for 2009 were achieved. In terms of capacity building, three regional days were organised for SF's partners to share experiences and strengthen programme management and fundraising skills. There was also an internal workshop for sharpening SF's own programme and fundraising skills. The CSR Cell recruited 8 professionals both at the central office and in the regional offices. In 2009, SF commissioned an evaluation study by Siddhant looking into the performance of 11

education projects under the AfC supported programme. The individual project reports include background information on the partner, details of the project, objectives, key activities undertaken and outcomes, conclusions and recommendations.

With regard to fundraising, a direct mailing led to a response of 0.3% and raised IRP 262,194. Individual donations to SF amounted to IRP 578,070. A fundraising event with the famous Ghazal singer Jagjit Singh attracted 2,500 visitors and an income of IRP 302,390. Finally, SF raised IRP 950,000 from a total of seven corporates. The total amounts raised by direct mailing, events, individual and corporate funding amounted to € 32,195. In terms of local fundraising, 47 local actions were organised, raising € 67,794 or 104% of the target of € 65,000 for 2009. SF's total expenditure for AfC was € 482,778 of which a total of € 99,989 was raised by SF (20.7%).

Activities were also undertaken to promote the brand 'Smile'. With regard to advocacy, Public Service Advertisements were broadcasted 1014 times on leading TV channels, reaching about 3.5 million viewers at nominal costs. In September 2009, Smile launched the advocacy campaign 'Be the change', being the banner under which all advocacy campaigns and the portal had been integrated. An Indian version of 'flights' under the name of 'Choone Do Aasman' was broadcasted on the channel NDTV. In addition to rallies, several events were organised with the help of Indian TV personages, Bollywood actors and other celebrities. At present a film is being produced. The attempts to involve new actors focus on professional workers and children and teachers at schools and colleges. Smile's independent Child for Child programme also was used to reach new target groups of privileged children. Despite meeting its targets, SF reported problems in accessing adequate funding. Consolidation of efforts at brand-building, fund raising and communication (especially with the media) are being envisaged to accomplish its future goals.

In June 2009, all AfC partners came together in Goa, India, to exchange experiences, obtain advice, and develop new ideas and visions for the future, in line with the basic principles of the programme. A perspective of development was prepared along with a list of targets and deadlines. At the same time a participatory mid-term review and "lessons learned" exercise was carried out with the help of an external facilitator. All these resulted in preparation of a report which analysed the preconditions for the success of the programme and proposed areas for strengthening and modifying the programme.. One lesson learned was that the partners are experiencing time pressure in absorbing the new elements of strategy and that there is a need for flexibility in targets and modes of implementation. Challenges identified include improving the managerial, financial and communication skills, reaching the public and the media and the adaptation of the strategies to local contexts.

#### *Plans for 2010*

At the general level, there will be three South-South exchanges between the partners in the AfC network. With regard to work in India, SF intends to continue working in 2010 on the lines developed in 2009 while expanding the programmes, target groups, actors and audiences, among others by the use of a variety of media, including PSAs, four direct e-mailers,, release of a documentary film and an on-line platform. Like in 2009, new actors will be sought among schools and colleges, and corporates. SF will continue to hold regional days with fundraising and organisational experts to strengthen the capacities of the local partners. SF plans to increase the number of local actions in 2010 to 52, with an amount of € 2500 being raised per event, leading to a total of €130,000. It also expects to raise 35% of the premiums - about €45,500 annually - and 10% of its own organisational cost - € 29,977.



### 3. THE INDIAN CONTEXT

Implementing the SVP model and local fundraising for health and education programmes of underprivileged children faces problems from two distinct accounts. One is linked with the challenges of fundraising and implementing CSR dependent projects *per se* in the Indian context. The second problem is the conditions and constraints of working in the social sectors with marginalised groups of population in the context of the strategy of globalisation and weakening of the state's service delivery system.

#### *Culture of giving and CSR*

It would be erroneous to hold that there is no 'culture of giving' in India as is sometimes asserted, including in the AfC and SF documents. The giving culture here unfortunately is limited to the charity of individual persons or business tycoons who have amassed great wealth (often through personal or family foundations). The 'giving' is thus directed to religious persons or institutions. Among the Muslims, there is the tradition of giving a part of one's wealth as *zakat* for helping the poor, Similarly, giving food to the poor through temples is common among Sikhs and Hindus. The notion of charity exists among Indian Christians as well. Many of the Indians support their less fortunate relatives, although they - in their mind - may not associate this with philanthropy. It could however be said that the mobilisation of the well-to-do middle and higher classes on a more extensive scale to promote social goals is a fairly new phenomenon. This also applies to a certain degree to activities in the realm of CSR that is now increasingly receiving attention. In that sense, the efforts of SF and the AfC programme to promote self-sustaining local action and introduce innovative fundraising activities such as through PRG and CRM are certainly relevant and appropriate in the Indian context.

#### *Problems in social sector service delivery*

The second issue relates to the problems that the underprivileged children and their parents face in Indian society. Although an ambitious government policy and assertive actions by the government have been launched in favour of disadvantaged scheduled castes (SC), scheduled tribes (ST) and other backward castes (OBC), besides the anti poverty programmes for the people below poverty line, these have not resulted in an appreciable change in their real life situation. Notwithstanding the claims of making significant dent on deprivation and deficiencies in the quality of life of these people, through the strategy of inclusive growth in the Tenth and Eleventh Five Year Plan, large segments still do not have access to education and health. Many get excluded due their lack of affordability to pay while others drop out due to socio-cultural discrimination. Often, they are asked to produce a plethora of documents such as birth certificates, income statements, BPL proof etc., which they are simply unable to do. This results in refusal of entry of their children into schools or access to free medical treatment. Many children also do not have the support system at home and language proficiency to maintain themselves at school and, hence, drop out quickly. The fact is that at present over 33 million children do not go to school at all, while there are 17 million children working as labourers. This amounts to nearly three times the total population of the Netherlands. These figures still are likely to be an under-representation of the reality, but nevertheless reflect the scale and level of the problem at hand.

#### *The role of the government and NGOs*

Under the Right to Education in India which has been operationalised through a recent Constitutional Amendment and passing of a supporting Act, the state has the major responsibility of providing compulsory and quality education to all children in 6-14 age group. Unfortunately, the number of government schools, their absorptive capacity, staff strength, financial resources etc. are highly inadequate to admit all the children in the eligible age group. Besides, these schools are ill equipped to deal with the specific problems of the poor children. For instance, these children have deficiencies in certain subjects due to their

background and there is no way by which the school can compensate for their particular weaknesses through remedial teaching or special classes. This indeed is a serious problem for older pupils who have missed out already a few years of education, adding further to their problematique and pushing them into a downward spiral. As a consequence, complementary action by voluntary agencies and NGOs has emerged as a real alternative to give these children a fighting chance of studying. They can then be mainstreamed when they have acquired the capability to enter the official school trajectory.

It is in this context that AfC can play a crucial role by promoting activities for this target group. There is of course always a risk that this will be seen as substituting for government action that is deficient or even completely lacking in particular areas or conditions. It is important that the government is urged and even compelled to take firm action to meet its constitutional obligations of providing appropriate levels of social services to the needy. However, given the yawning gaps between the requirements and supply, there is no option for the government but to support and collaborate with the NGO sector. The latter would be needed in the development scene for a long time now to help out and support the children that lack education, health and most importantly the capability to earn a decent livelihood in future years.



#### 4. ANALYSIS OF SMILE FOUNDATION AND THE AFC PROGRAMME

In this section we answer the questions asked in the terms of reference (see Annexe 1). To that end, we repeat the text of the questions and append our answers and / or observations.

##### *Relevance*

*Is the Action for Children model fine-tuned to provide a relevant contribution within the political, social and cultural context of India?*

Given the absolute and relative needs and deprivations of the target groups of population, the model can undoubtedly make a significant contribution to improve the situation. There are many children outside the formal education trajectory who are unable or too old to effectively access and utilise the formal educational system. Many of these need special attention through remedial teaching and the acquisition of life skills before they can be successfully mainstreamed. They also show serious nutritional deficiencies and health problems that are compounding their problems at school. Therefore, the AfC model is well tuned to the Indian reality in terms of the problematique. Also with regard to fund raising and local action, time is ripe to intensify the efforts in India. The growing entrepreneurial and middle classes can be reached to contribute to social goals and there is no reason to expect that they are unwilling or incapable to contribute, as testified in our interviews by both local activists and corporate managers. There is also sufficient scope for the further promotion of the CSR concept. The AfC model should, however, not be exactly copied in terms of its fundraising modalities, actions etc. from European or other less developed countries. The latter can usefully provide generic or strategic examples but the concrete campaigns in practice need to be attuned to the realities of Indian social, cultural and religious life and to the existing requirements and tastes in amusement and popular culture. This is largely what SF has done over the past couple of years.

*Is India a relevant and appropriate country to roll out the Action for Children programme?*

Yes, over the past two decades of neo-liberal policy perspective, there has been a withdrawal of the state in terms of service delivery. Simultaneously, we see an emergence of an increasingly active and conscious civil society at local levels. At the same time, Constitutional and legal responsibilities are being placed on the State agencies to provide basic amenities to masses of underprivileged and impoverished people, within a Human Rights framework. Despite launching of several flagship programmes by the government to meet these challenges, the problem remains alarming in terms of sheer magnitudes of deprived population. Given this framework, local action by NGOs becomes an imperative, even if they have to substitute the governmental action. In the perspective of the scales and levels prevailing in India, the AfC model is relevant and appropriate. This is not to suggest by any stretch of imagination that they would be able to physically cover the entire canvas of marginalised population. Their function have to be illustrative, strategic and serving as an example for others but at the same time covering a significant number of persons, for being taken seriously as a pilot model for duplication.

*Is SF a relevant and appropriate partner organisation to execute the programme in India?*

Yes, the overall approach, the SVP-model, the set up and functioning of SF, their business-like efficiency and attitude, and committed personnel give reasons to believe that it a suitable and competent partner to carry out the AfC programme. It is a young and enthusiastic organisation, but must assure that its staff get proper training, remuneration and other benefits to maintain their professional level. They must also have sufficient incentive for making long term commitment with SF and thus prevent attrition, although a certain level of circulation is always unavoidable and could even be considered as healthy.

## *Efficiency*

*Does the programme offer an efficient approach to enhance fundraising and advocacy at a national level in India?*

Yes, it is among the first organisations that have fully adopted this approach. It has applied the AfC model of local actions and fundraising and the idea of SVP to all its ongoing programmes. It has also used imaginative and innovative instruments for fundraising and advocacy, such as CRM and PRG. Furthermore, it has organised events in collaboration with corporate sector and a variety of local-level implementing partners. It also actively tries to promote SCR by linking up with corporate firms. SF has engaged tax planning consultants that in turn advise the firms on possibilities of tax deduction through their association with the SF. This could be a highly effective and innovative approach for resource mobilisation. These consultants have been quite successful and have reported a doubling of revenues accruing to SF this last fiscal year, to IRP 1 million. At the local level there is initially an intensive guidance and investment needed, especially in the so-called handholding phase. It also is accompanied with quite a bit of paperwork, though this is generally formatted. These investments for capacity creation have been substantial and could be seen as initially lowering down the efficiency level. We, however, believe that these are justified, as they in a later stage reduce the workload significantly. In future years, it should be possible to leave the local partner on to his own after a fairly short handholding period.

*To what extent did SF link the AfC programme to the other programs they implement?*

SF incorporated components of health, employability and women empowerment in the projects. As indicated earlier, the AfC model was gradually transferred to other activities. Beside the core team, there is no special unit in SF that deals with AfC or SVP. AfC activities are integrated in standard management and implementation operations and procedures. Local fundraising has taken the centre stage in all activities, contributing to long-term sustainability of SF.

*Did Wilde Ganzen, Net4Kids and Kidsrights provide support and facilitate capacity development to SF efficiently and effectively?*

There was little tangible evidence of this on file, but staff in SF spoke highly of the training and the advice received from AfC partners. Smile's own capacity building initiative, the idea of local actions, depositing of locally raised funds with Smile, the new initiatives of raising unrestricted funds etc. can, partially be traced to the support and capacity development through the AfC partners. Similarly SF staff is looking forward to meet southern partners for further exchange. They feel they can learn from experiences elsewhere, as both Soul City and CESE have their own strong points.

## *Effectiveness*

*To what extent were the programme objectives for the number of local actions for the funds raised by these and for own fundraising by the partner realised?*

The quantitative goals for local actions were largely realized in 2008 as 77 per cent of the financial target of €32,500 was achieved. In addition, a few other indicators too reflected satisfactory progress. Smile ran 6 Public Service Advertisements (PSA) and produced one documentary film during the year. SF also succeeded in linking with major corporate partners and organised fundraising and capacity development workshops for its local partners. Internally it set up a unit on corporate social responsibility (CSR). In 2009 it organised 47 local action events, raising €67,794, which amounts to 104% of the targeted €65,000. It continued with training local partners and own staff. The total amounts raised by direct mailing, events, individual and corporate funding amounted to €32,195. Further, SF succeeded in getting time on air for branding and advocacy. It produced a number of media products that were broadcasted, reportedly reaching several millions of viewers. We got the

impression that SF is increasingly known, locally as well as nationally. It is however difficult to determine its impact at the national scale in a country with 1.4 billion persons.

*If any, what are the reasons and implications for not realising the set objectives?*

We feel that the achievements reached in both 2008 and 2009 are good. Though in 2008, SF fell short of the set target of fundraising €32,500 through local actions, one should realise that it takes time to identify, select and train partners before outputs can be realised. In that sense we consider the result of 77% in the first year as adequate. In 2009, SF has not only been able to consolidate its achievements by reaching its goal (104% of the target), but also grow in several other dimensions. It may be noted that the target itself was doubled to € 65,000 in 2009 compared to the previous year. We, however, feel that the AfC policy aiming to double the locally raised amounts every year is risky and perhaps over-ambitious. For achieving the target of € 130,000 in 2010, SF needs to organise 52 local actions. Further, it has to mobilise 35% of the premiums to be paid or € 45,500 and another 10% of its own organisational cost. All these would also work out to be a handsome amount of €29,977. Such imposed levels of growth are unprecedented and may undermine the efforts at consolidation, reflection and human resource investment. Also, aspects of quality control and maintenance may not receive due weightage. Even though SF staff seems confident that they are able to perform, AcF is well advised to reassess the projected growth figures to bring these more realistically to sustainable levels, especially if this trend is to continue after 2011.

*Up to what extent was national fundraising strengthened for child poverty alleviation in India by SF?*

At the level of the Union of India with its population of 1.4 billion this question amounts to what is dubbed in social science methodology 'a fallacy of the wrong level'. Clearly, level and scale of the problems in India and the vastness of its territory and the sheer numbers involved makes any change, achieved by a programme like the one under consideration, appear like a dwarf. This is no reason why the changes achieved through this should be belittled. These do make a huge difference in the everyday lives of ten thousands of children and adolescents at local level despite the fact that so many more remain behind to be supported. We feel that it provides a useful model which may not only grow in the framework of SF actions but also could be copied and replicated elsewhere by others. We also believe that with better linkage with national and state government agencies, the model can reach even a much larger target group and achieve many more promising results than at present.

*Are local initiatives for fundraising effectively encouraged through SF?*

Yes, apart from the 60 local actions realised so far, there has been a successful mobilisation of funds from the corporate sector through a variety of modalities, including direct donations, PRG, CRM and the joint organisation of events. We already mentioned the avenue of approaching corporates through the tax consultants. While all these have had limited success in the initial stages, we feel that the 'large' money still needs to be tapped. There is already an enormous wealth in India and it only seems to increase with the capacity of the economy to withstand global economic meltdown and yet record a sustained real growth of eight per cent per annum. SF should, therefore, try and jump to reach the 'molochs' and 'tycoons' and their foundations for substantially larger amounts. At the same time it must not forget to foster local small-scale action as well, as this reaches the underprivileged target groups and create awareness among them. Their own smaller efforts increase their feelings of dignity and self-respect and build the bridge to the educational and other programmes of SF.

*What is the opinion of selected local groups vis-à-vis the AfC programme and the way it is executed by SF?*

Local partners are recognising the approach and fully understand its logic. They have no resistance to matching, as it is seen as an investment in their own future and that of the

children. Sometimes they indeed find it challenging but even a high target for resource mobilisation in the future does not appear to have deterred them. The enthusiasm for the programmes make them feel that it is worthwhile. What is generally lacking is a perceptible interest and engagement of local governments. They are absent or stay aloof. It is here that we feel mileage should be reached. Establishment of complementarity between the NGO actions and the concerned health and education programmes of the government would multiply the total impact. This would necessitate better collaboration and eliciting support from the state agencies for carrying out the essential service delivery activities that fall in the domain of the latter but they are unable to fulfil.

*Did SF make effectively use of advocacy instruments to raise attention for child wellbeing and poverty and MDG's.*

Yes, the series 'Choone Do Aasman' as well as earlier PSAs directly linked with the goal of child education and abolishing child labour were broadcasted on the channel NDTV reaching 3.5 million viewers. Their links with the MDGs, however, have not been made explicit in local discourse, but it is evident that the SF programmes contribute toward realisation of several major MDGs, numbering 1,2,3, 4 and MDG 7, the last one pertaining to sustained improvement in the conditions of slum populations. It could also be said that the basic model of AfC operationalised through its international and national networking represents a contribution to MDG 8 as well.

*Outcome & impact*

*Is the programme contributing to a change in the giving culture on behalf of poor children in the countries it is implemented?*

Yes, the programme stimulated a range of innovative initiatives and is embarking in a professional manner on an approach for increasing CSR and SVP. Though at programme level demonstrable achievements have been reached, it would obviously be too ambitious and too early to say anything about its impact on the giving culture in India at large, if that is a realistic goal to start with.

*Do the approved local actions and projects comply with the objectives of the program (are they child-related and aimed at poverty alleviation, civil society strengthening and/or advocacy)?*

The locally raised funds are always meant to meet the objectives of the programme or contribute to the organisational costs of the SF or its local implementing partners. The activities to mobilise resources comprise a variety of initiatives - from smaller initiatives like sales of handicrafts, to stalls in fairs, walkathons, presentations and shows by pupils, parents' evenings, to fairly large events through engagement of professional artists of national recognition and other forms of cultural amusement. There can be a debate on what could be considered suitable forms of fundraising for an organisation like SF. It is clear that ethical and moral standards and something like 'good taste' are of relevance, but it remains difficult to make clear demarcations in practice. When something goes wrong here, there is bound to be a negative backlash or damage to SF's reputation. SF is advised to maintain a level of scrutiny and formulate guidelines on what types of fundraising activities are advisable and which ones are not.

*Sustainability*

*What is the probability that the programme will continue after 12 to 15 years, without foreign resources, with a growing volume of activities?*

There are good indications that it will. The problems in the pertinent social sectors are expected to remain large and consequently the need to effectively intervene for service delivery for the poor target groups would remain as urgent. There is also empirically verifiable evidence that opportunities of fundraising through local events and through CSR

and SVP channel can be seized, given the rapidly growing economy of India and the correspondingly increasing wealthy entrepreneurial and middle classes. Undoubtedly, the state must take the basic responsibility of providing the basic services to poor and marginalized sections of population. However, our overview suggests that the state agencies are confronted with serious capacity constraints and administrative hurdles in meeting the educational and health needs of children belonging to the underprivileged groups in Indian society. The agencies, therefore, must sponsor and support the good work that is currently being done by non-governmental actors and co-fund their programmes. The organisations like Smile that have a national level standing can help in creating a policy environment through documentation of their work and publishing it among administrators and policy makers.

The research and documentation work done for their projects (beyond standard administrative work) seems to be weak and consequently Smile has not been able to put forward its perspective to the policy planners in the country, in the context of the ongoing governmental programmes. While direct publicity, currently being done, helps in image building, discussion of the creative work done by the Foundation (and other agencies with similar perspective) in seminars, workshops, research journals would be essential to build up a momentum at the national level. SF is therefore advised to take up its documentation work seriously, bring out annual reports and publications for selective distribution, for being able to locate its activities in the context of macro level trends and national programmes. It may also organise lectures and workshops on themes linked with their programmes to increase their visibility in policy space.



## 5. CONCLUSION

From the above discussion twelve major conclusions can be drawn.

- 1) The AfC programme makes a significant contribution in the context of the prevailing socio-economic conditions in India, particularly with respect to the absolute and relative socio-economic deprivation of large sections of population and the limited success of public agencies in addressing the problems in social sectors, in the present era of globalisation.
- 2) Complementary actions by agencies like SF vis-à-vis the government agencies emerge as extremely important in the foreseeable future to guarantee affordable and effective access to education and health services. The former must also play a role in providing market friendly and demand driven skills for improving employability of the underprivileged children.
- 3) With regard to fund raising activities and local action, time is ripe to intensify the efforts in India. The growing entrepreneurial and middle classes can be reached and seem prepared to contribute for programmes to achieve social goals. There is also a scope for CSR and other innovative fundraising initiatives within the corporate sector.
- 4) AfC provides a useful and inspiring generic model and strategic example of fund raising. However, its modalities need to be properly adapted to local socio-cultural, economic and religious circumstances, as done by SF in India. In the light of this success storey, India emerges as an appropriate country to roll out the AfC programme. It can indeed effect a change in patterns of giving among the urban middle and upper class. The impact of SF has indeed been limited to local or regional levels, but nevertheless it has made a significant change in the lives of the target groups of population.
- 5) In terms of the philosophy, activities, experience, human resources, attitude and style, SF is a perfect choice as a national implementing partner in India. Its capacities have been further strengthened by staff training and capacity development carried out by the Dutch AfC partners.
- 6) In terms of effectiveness, we consider the quantitative results of local actions and fundraising for 2008 and 2009 as wholly adequate and successful. The future growth targets (doubling every year) imposed by AfC are on a higher side and appear somewhat unrealistic. It may become risky for future consolidation and maintenance of the quality of activities in SF.
- 7) National fundraising activities for children's education and poverty alleviation were considerably strengthened at local levels. These were carried out efficiently and innovatively by using new forms of fundraising, advocacy and communication. Understandably, such progress is not perceptible at the national level. This goal seems in any case to be over-ambitious and beyond the capacity of one or a group of NGOs, in view of the sheer numbers, size and nature of the problems involved in the Indian context.
- 8) SF should step up its efforts to reach and mobilise larger corporate actors and foundations and raise larger amounts of money from them.
- 9) Local groups and partners of SF are comfortable with the idea of local fundraising and see opportunities for increased outputs in future years although they are experiencing difficulties in devising innovative ways of undertaking this task. A combination of taking up own responsibility and capacity development initiatives will hopefully enable them to deliver, as long as the targets remain realistic and reachable.
- 10) The programme suffers from a near complete lack of linkage and communication with governmental actors. In view of the complementarities between their programmes, SF is encouraged to engage itself in building constructive linkages and collaboration with public sector organisations. The state must own the Constitutional responsibility of ensuring delivery of basic services to all sections of population. Given the limitations of

capacity of public agencies, they can achieve this goal through co-funding or contributing to the work that is currently being done by non-governmental actors in the field. This fits in very well in the policy perspective of the Eleventh Five Year Plan.

- 11) Locally raised funds are observed as being spent properly to meet the objectives of the programme or contribute to the organisational costs of SF and its local implementing partners. SF is advised to maintain a level of scrutiny with regard to the local action to fund raise and formulate guidelines on what types of fundraising are advisable and which are not.
- 12) SF as an organisation may benefit from a well conceived human resources development and staff training and remuneration programme, to maintain the core of its qualified and motivated staff members.
- 13) SF must do proper documentation of their activities, locating their interventions in the context of macro level trends and ongoing government programmes. It should also bring out annual reports, manuals and research publications and organise workshops on themes around the issues relating to their interventions. This would also help SF in increasing its visibility in policy arena.



## **ANNEXE 1 TERMS OF REFERENCE FOR AfC EVALUATION**

In this section the specific issues and questions to be addressed during the evaluation are listed.

1. Relevance
  - Is the Action for Children model fine tuned to provide a relevant contribution within the political, social and cultural contexts of Brazil, India and South Africa?
  - Are Brazil, India and South Africa relevant and appropriate countries to roll out the Action for Children programme?
  - Are CESE, SMILE and Soul City relevant and appropriate partner organisations to execute the programme within their country?
2. Efficiency
  - Does the programme offer an efficient approach to enhance fundraising and advocacy at a national level in Brazil, India and South Africa?
  - To what extent did Cese, Smile and Soul City linked the AFC programme to the other programs they implement.
  - Did Wilde Ganzen, Net4Kids and KidsRights provide support and facilitate capacity development to CESE, SMILE and Soul City efficiently and effectively?
3. Effectiveness
  - To what extent were the programme objectives for the number of local actions for the funds raised by these and for own fundraising by the partners realized?
  - If any, what are the reasons and implications for not realising the set objectives?
  - Up to what extent was national fundraising strengthened for child poverty alleviation in Brazil, India and South Africa through CESE, SMILE and Soul City.
  - Are local initiatives for fundraising in each country effectively encouraged through CESE, SMILE and Soul City.
  - What is the opinion of selected local groups vis-à-vis the AfC programme and the way it is executed by CESE, Smile and Soul City?
  - Did CESE, SMILE and Soul City make effectively use of advocacy instruments to raise attention for child wellbeing and poverty and MDG's.
4. Outcome & impact
  - Is the programme contributing to a change in the giving culture on behalf of poor children in the countries it is implemented?
  - Do the approved local actions and projects comply with the objectives of the program (are they child related and aimed at poverty alleviation, civil society strengthening and/or advocacy)?
5. Sustainability
  - What is the probability that the programme will continue after 12 to 15 years, without foreign resources, with a growing volume of activities?

The evaluators are free to add other questions they consider of relevance.

## **ANNEXE 2 SMILE FOUNDATION DOCUMENTS STUDIED**

Action for Children, Action for Children Programme Mid-Term review, Final report, June-July 2009, Candolim, Goa, India

Action for Children, Action for Children Programme Mid-Term review, annexes to the Final report, June-July 2009, Candolim, Goa, India

Nai Disha, The learning Centre, brochure

Siddhant 2010 Education Projects Under AFC Supported programmes, An Evaluation. New Delhi Siddhant.

Smile Foundation, Brochure

Smile Foundation, handouts of powerpoint presentations for evaluation team on 14 May 2010

Smile Foundation, Mission Education Partners 2009/10

Smile Foundation, Smile Twin e learning Programme Partners

Smile Foundation, Step Smile Twin e learning Programme, Brochure

Smile Foundation, Smile on Wheels Partners

Smile Foundation, Process of Management and Monitoring Education Project under AFC Programme

Smile Foundation, Proposal Format

Smile Foundation, Desk Appraisal Format

Smile Foundation, Project Description Format

Smile Foundation, Field Appraisal Format

Smile Foundation, Field Evaluation Format

Smile Foundation, Memorandum of Understanding Format

Smile Foundation, Beneficiary Profile Format

Smile Foundation, 'Stand up and make a difference', Brochure

Smile on Wheels, Brochure

*Smilescapes*, Newsletter, January 2010

*Swabhiman*, Newsletter, Issue # 3, Half Yearly, 2009

Wilde Ganzen, Action for Children (AfC) year plan 2009 (final draft)

Wilde Ganzen, Year plan 2010 Action for Children (AfC) (first draft), September 2009

Wilde Ganzen, Action for Children report for the year 2007

Wilde Ganzen, Action for Children report for the year 2008

Wilde Ganzen, Action for Children report for the year 2009

### **ANNEXE 3 PROGRAMME EVALUATORS' VISIT TO SMILE FOUNDATION**

- Wednesday 12 May Travel from Amsterdam to Delhi and arrival at 24.00
- Thursday 13 May Introduction to Smile Foundation by Mr. Santanu Mishra, Trustee SF
- Presentation on SF by Ms. Manju, Senior Manager Programmes
- Presentation on Programmes by Ms. Manju, Senior Manager Programmes, Ms. Deepshika, Education Projects
- General discussion with presentators, also present Ms. Priti Kalra, Consultant, Mr. Swatantra Gupta, Manager Alliances, Mr. Pratap Ray, Manager Accounts, Ms. Meena Batra, Programme Director Swabhiman and Manager Human Resources
- Lunch with participants and Mr. H.N. Sahay, Director Operations
- Presentation by National Fundraising Team, Mr. Anurag Kishore Bhatnagar, General Manager Resources, Mr. Hemant Sharma, zonal manager and Mr. Sandip Nayak, zonal manager
- Presentation on Communications and Advocacy by Ms. Deepali, Manager Communications
- Friday 14 May Visit to Neev, Gurgaon, Delhi, interview with Dr. Shalini Malhotra, Director and Ms. Sadhna Lal, Coordinator, visit to classes and brief conversations with teaching staff
- Visit to Nai Disha Learning Centre, interview with Ms. Savita Ghai and Ms. Santosh Daga, visits to classes
- Lunch with Ms. Deepshika and Ms. Meena Batra
- Visit to Health and Care Society, Sultanpuri, Delhi, interview with Mrs. Ira Das, visits to classes and brief conversation with teachers and children
- Interview with Mr. S.K. Kapur, Director Corporate Capital Advisors, also present Mr. Anurag Kishore Bhatnagar, General Manager Resources, and Mr. Sandip Nayak, zonal manager
- Short debriefing session with Mr. Santanu Mishra, Trustee SF and Mr. H.N. Sahay, Director Operations SF
- Collection of written documentation on SF
- Saturday 15 May Sight-seeing and writing field notes, reading and collating of material, internal discussion by evaluation team members, drafting outline of mission report
- Sunday 16 May Sigh-seeing and writing draft report

Monday 17 May	<p>Writing draft report</p> <p>Interview with Mr. Sudhir Bhatnagar and Mrs. Sunita Bhatnagar, Jupiter Academy, Lucknow</p> <p>Interview with Mr. Kailash Agarwal, Organisation of Rural Youth for Social and economic Development (Orysed), Subanapur, Orissa</p> <p>Interview with Mr. Santanu Mishra, Trustee SF and staff on management SF</p> <p>Interview with Mr. Shiv Kumar Bagolia, Managing Director Sandwoods Infratech Projects. Ltd., New Delhi</p> <p>Interview with Mr. A.S. Mehta, Marketing Director JK Tyres, New Delhi</p>
Tuesday 18 May	<p>Writing draft report</p> <p>Presentation on Swabhiman by Ms. Meena Batra, Manager Swabhiman</p> <p>Presentation on Smile-on-Wheels by Ms. Manju, Manager Programmes</p> <p>Presentation on Media, by Mr. Santanu Mishra, Trustee SF</p> <p>Debriefing AfC Core Team</p>
Wednesday 19 May	<p>Travel from New Delhi to Amsterdam</p>
Monday 24 May	<p>Writing draft report and submission to JNU and SF for comments and additions</p>
Tuesday 25 May	<p>Comments by SF</p>
Thursday 27 May	<p>Comments by JNU</p>
Sunday 30 May	<p>Finalisation of report by evaluators</p>

