ENTREPRENEUR PLAYBOOK

INDUS ACTION

INTRODUCTION

This Playbook constitutes the aggregated knowledge from the practical experience that the different Partner Entrepreneurs within our Network have gathered throughout their field work and day-to-day interaction with government officials, school administrators, volunteers and partners.

The content herein represents, not only the best case practices, but also the results of iterative learning derived from mistakes, repetition and adaptation. In this sense, the book is structured through questions, frequently and not so frequently asked, and our best answer to them, so far.

The intention of this playbook is to become a valuable consultation resource not only for future Partner Entrepreneurs, but for anyone interested in contributing to the advance of any policy implementation initiative.

Additionally, we expect this resource to become a dynamic piece of work, which will allow stakeholders to further formulate harder questions and help us find their best answer, contributing to this constant process of continuous improvement, feedback loops and iterative adaptions, building each day better policy implementations tools for our country.

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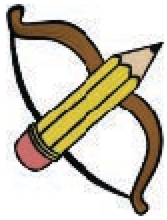


PARTNER ENTREPRENEUR NETWORK

The Indus Action's Partner Entrepreneur Network comprises of Partner Entrepreneurs(PEs). The network works together to improve efficiency of policy implementation in the country. The network is currently working on the implementation of Sec 12(1)(c) of the Right to Education Act. The people in the network act as a support system for each other. They engage in weekly discussions and regular capacity building sessions.

1. Who are the entrepreneurs in the network?

The first cohort had 6 entrepreneurs.

Tarun,
Delhi

Avinash,
Bangalore

Saleem,
Lucknow

Raunaq,
Raipur

Sushanta,
Raipur

Shijoy,
Pune

2. How often do the entrepreneurs get together?

The entrepreneurs engage in weekly telephonic discussions, where they discuss challenges and updates. They also meet at multiple times in the year during events like the Annual stepback, Annual board meeting etc. where they reflect on the year past, plan and strategize for the times ahead, discuss new ideas and generally push each others' thinking etc.

3. What does the network aim at?

The network aims at being the best collective of entrepreneurs in the country to implement national level policy. The network will work with various state governments in improving their delivery systems in a collaborative mode. The idea would be to innovate to strengthen the system and make a sustainable exit rather than to replace the system.

4. What are some of the enabling structures for the people in the network?

We have created a dashboard to ensure that all the set structures are implemented efficiently.

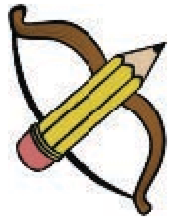
- **Check Ins** - PEs would have fortnightly check-ins with an Indus Action member
- **PEN Calls** - PEN calls on Thursdays focus on capacity building sessions, status updates, brain storming on challenges etc.
- **Quarterly Reviews** - Quarterly reviews meetings to reflect upon the journeys of the last 3 months and make course corrections if required
- **Quarterly Visits** - Quarterly site visits ensure that in-person coaching and mentoring can be provided to not just the PE but her/his entire team

5. How does Indus Action support the members of the network?

The members of the network get access to Indus Action's Project Eklavya toolkits that include but is not limited to Entrepreneur start-up toolkit, Campaign Management Platform, Mobile App, Campaign Cards, Post Enrolment Manuals etc.

They would have continuous access to support systems through IA and its friends' networks like Teach For India (TFI), Pune City Connect (PCC), Bhumi, Creatnet, Manzil, SEP Entrepreneurs Circle, Ambedkar University etc.

Apart from this the entrepreneurs also get a grant based on the entrepreneur's experience and abilities.



SETTING UP AN ORGANISATION

While registering the organisation is the first task in most cases of starting an organisation, the journey is slightly different in the case of PEN network. In many ways, PEN network could be considered a "plug n play" set-up to hit the ground and start working on your mission.

While there is a little leeway given in terms of time within which to register your organisation, especially when you join during campaign times, in most cases, you are expected to register an organisation within the first six months of joining.

1. What is the first thing I should do while setting up an organisation?

As soon as you are deployed to a city, you are advised to find a suitable permanent office space to work from while working temporarily from make-shift spaces like your own place, friends' places, coffee shops, monuments, railway stations, airports etc. *(This is basically a list of places our entrepreneurs have worked from :))*

2. What should I keep in mind while looking for an office space?

- **Team size:** Plan for a space that is big enough to accommodate you, your full time staff, your part-time staff, volunteers and visiting parents. Remember that there will be a lot of calling that will happen and hence you might need a secluded room inside your office to isolate the calling sounds from the rest of the team.

- **Access:** Make sure that the office space is not very far from Govt. offices as you might have to travel to these places regularly. Also, try and look for a place that is accessible through public transport. Helps cut down carbon footprint as well as costs.

- **Cost:** In case we have a MoU signed with the Govt., then you should urge them to provide a place to work for you and your team (Our Raipur team had this facility). As a second option consider sharing the office space with other organisations (Happens in Lucknow). And as a last resort, rent a separate office space (Bangalore being an example)

3. What will I need in for my office?

Some important things that you should plan for, based on the number of team members:

- **Laptops**
- **Workstations**
- **Mobile phones**
- **Internet connection**
- **Whiteboard**

4. What next?

Once you have hit the ground, you should get the ball rolling with regards to registering an organisation.

5. What kind of organisation should I register?

As a PE, you are required to set-up a non-profit organisation. In India, non profit organisations public charitable organisations (NGO) can be registered as trusts, societies, or a private limited non profit company, under Section-8 companies. Non-profit organisations in India (a) exist independently of the state; (b) are self-governed by a Board of trustees or 'managing committee'/ governing council, comprising individuals who generally serve in a fiduciary capacity; (c) produce benefits for others, generally outside the membership of the organisation; and (d), are 'non-profit-making', as they are prohibited from distributing a monetary residual to their own members. More info can be found at www.ngosindia.com.

You are advised to consult a trusted CA to decide the form of NGO you want to set-up and use her/his assistance in going through the process.

Timelines: This can take from one to two months.

6. Is there any other registration required?

Most donors require you to be a 12A and 80G registered NGO to receive donations from them. These registrations are provided by the tax authorities and are required to become a tax exempt organisation and to provide tax benefits to your donors. Your CA will be able to assist you with the same, within the first month of operation.

This process will take upto three months.

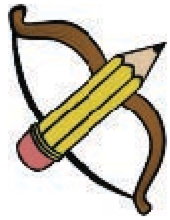
7. What else will I require while setting up an organisation?

Your first set of recruits will determine the culture of your organisation and being deeply intentional about this will determine your short term and long term success. And your HR Guidelines/ values document will be the constitution for the same. Indus Action's Partner Entrepreneur Network can help you by sharing sample documents.

8.What kind of documentation should I keep ready?

The list of documents that you might require is given below. Please read them thoroughly before you use them and make changes as you deem necessary. Please get some legal advice if you want to change them or use them with modifications. You can find them at www.bestengagingcommunities.com.

1. **Consultant or Contractor Agreement** – use if you want to hire a contractor
2. **Mutual NDA** – use if you want a non disclosure agreement binding both parties
3. **HR Policy Document** – use to share your policies and procedures with your employees
4. **New employee offer letter** – use to hire potential employees
5. **Conflict of Interest** – use to ensure employees are not working on projects or initiatives that are conflicting with the company's interests
6. **Confidentiality Agreement** – use it to protect information shared with employees and ensure your proprietary secrets are not shared with others
7. **Advisor Agreement** – use to get advisors on board
8. **Employee appraisal form** – use to review and evaluate employees performance
9. **Investor Pitch Deck Short** – use to have a 3-5 min pitch for an investor or to pique their interest



MEMORANDUM OF UNDERSTANDING

A Memorandum of Understanding (MOU) is usually signed when two parties enter into an agreement to work with each other to achieve a common objective. We usually prefer to sign an MOU with the district/state government as it is the best way to create a large scale impact. It also becomes easy for us to get access to data, conduct mass awareness campaigns, and do capacity building/advocacy pitches for best practices to be followed.

Case study of a particular PEN entrepreneur

"We signed an MOU with the district government as a result of which we were able to set up the MIS which included developing the MIS, having modules such as school profiles, online admission systems, centralized lottery modules and a tracker for student/schools/ government. Due to close coordination with the district administration via setting up of a Project Management Unit, we were able to advocate some best practices to them and these were subsequently implemented by the government. Having an MOU made it easy for both the parties to hold each other accountable in terms of deliverables and payments."

A standard template is preferred for all MOUs. They should be signed on stamp papers. It is very important to safely maintain digital and physical copies of the agreement.

1. Why is it important to sign an MOU with the government?

It is important to sign an MOU with the government as it will help us to create large scale impact. Signing an MOU with the government will help us to get direct access to reach out to targeted families through government databases. This will in turn help us plan more strategically. This will also give us an opportunity to advocate and recommend changes in the existing system to make processes more efficient.

Look at the below case study from an entrepreneur to get an idea of what is possible.

"When we had a district level partnership with the local government, we were able to help the government set up an MIS system and implement some of the best practices present in the country with respect to RTE Sec 12(1)(c). We were also able to secure over 4373 admissions through 9566 applications using the institutionalized system in the first year itself, as compared to another location where we don't have a formal MoU and are investing a lot of time in securing family details to reach the intended beneficiaries."

2. Who are the important stakeholders with whom an MOU needs to be signed in any geography?

The important stakeholders with whom an MOU needs to be signed are:

Government

This is the best way to create large scale impact be it through mass awareness campaigns or advocacy pitches that we could do to the government directly.

Funders

It is important to sign an MOU with our funders to set clear expectations, deliverables, and timelines. It also helps both the organisation and the funder to hold each other accountable. Funders these days don't just stop at giving money, they push organisational thinking towards the goal all the time and hence an MoU outlines all the expectations they have set for our organisation and we can then use it as a guiding document. It can also help articulate what we don't want the funder to be interfering in.

Subject Experts/ Consultants

Subject experts and consultants are stakeholders as they can help us accelerate impact. Again, MOUs help set in clear expectations and timelines and also hold them accountable to their deliverables. For e.g. In a particular city, we depended on external consultants to develop certain codes required for the MIS and an MOU came in handy to hold the consultant accountable for the time-sensitive deliverables.

Non profits/ Corporates

MOUs need to be signed when we are entering a partnership with a non profitor a corporate as this is when we mutually decide to leverage each other's strengths and arrive at a common goal. Again during these partnerships, clear expectations are set and details of the tasks allocated to the organisations enter-ing the partnerships are clearly outlined in these contracts. For e.g. In a partner-ship with Pratham, one of our entrepreneurs signed an MOU through which Pratham agreed to support us with community outreach through its anganwadis. The MOU helped in setting clear expectations and deliverables for both Pratham and our Partner Entrepreneur (PE).

Schools / Colleges

There have been occasions when we have partnered with colleges before to work with these student-led social service committee and articulated expectations from both sides in a formal agreement.

3. Where do I get a sample MOU?

Reach out to Indus Action's Partner Entrepreneur Network for sample MOUs for-

- **For Government**
- **For Funders**
- **For Consultants/ Subject Experts**
- **ForNonprofits/Corporates**

4. What are the important sections of an MOU?

Refer to the templates above to know about the important sections in an MOU.

5. In relation to when the work should start, when should an MOU be signed?

Before signing an MOU, one should get a very clear understanding of the scope of work and the resources required for the same. We should then timeline the entire process and with the help of backward planning one should decide upon a time when the MOU should be signed, ideally 2-3 months before the project starts.

6. How do you find content for the MOU?

A lot of primary and secondary research needs to be done to find content for the MOU. We need to get data and analyze it to understand which are the sectors where the government is doing well and which are areas where we can step in to help them perform better. Based on the data obtained a list of activities and responsibilities can be created which can be incorporated in the MOU. Newspaper articles also helps in getting an idea what is actually happening on the ground and can be used as talking points. This has to be customized depending on the geography the PE is working in.

7. Whom do we reach out to with the government to sign an MOU?

The higher the authority that signs the MOU, the easier it gets to implement the project in that state. The ideal case would be getting the Chief Minister's office signing the MOU, but Principal Secretary (Education), Chief Secretary etc. are also influential people with whom we should try and secure partnership commitments from.

8. Talking about broad level MOU or specific MOU, when should which one of them be used?

Drafts of both type of copies could be used. It always helps for the first case if the MOU is specific with details of roles and responsibilities for both parties. This could however, be decided in mutual consultation with the other party.

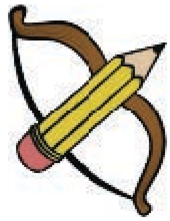
What can a PE do if the government does not stick to the promises made by them?

When it comes to not honouring the MOU, the clauses built in the MOU should help settle the issue. However the real challenge comes when the officers responsible for implementing the program do not understand the various clauses and have different expectations. In those situations, it is always better to plan a review meeting with the person who signed the MOU or his/her representative who is responsible for rolling out the program.

These meetings can be used to discuss achievements, challenges, and support required from the the government to ensure deliverables are met.

From our experience, we have always approached officials with formal and traceable communication channels i.e mail or letters, so that they cannot bypass the issue and in fact in most cases they are forced to discuss and take action. Having said that, it is always better to discuss the matter with the concerned authorities on phone or in person before sending out formal communication.

Periodic review meetings with the government help be on the same page from time to time. Despite that if the government does not honor its promises, then gently remind them of the reasons why those clauses were put there in the first place and how without that support, it would be difficult for you to get work done and deliver as promised. A slightly more aggressive approach would be to miss a few deliverables to show how that support from the government is important and needed for you to show results as you promised but again, use your discretion.



GOVERNMENT OUTREACH

One of the fundamental work ethos adhered to by Indus Action's Partner Entrepreneur Network is the belief in not finding blame with the system but working with all stakeholders instead to address the status quo. While PEN works with a diverse set of stakeholders including other non-profits and communities, often our most crucial partner is the government - from the local body to the state government and indeed, even the central government. In fact, as a matter of preference, we view assured government support as a major factor in deciding the viability of commencing operations in any city. Hence, once the locus of work is identified in any city, one of the very first steps towards operationalisation is government outreach.

1. How does PEN view government?

PEN views government as a partner in every aspect of the work it does. Government support is almost indispensable, particularly vis a vis facilitating the interventions planned and executed to achieve our goal of equitable education for all children. More crucially, there is no effort to criticise the government or bring to fore its shortcomings. Instead, we understand the various constraints under which government officials work and government procedures operate. Every effort is made to engage constructively with the government to evolve collaborative solutions to the problems confronted in the efficient implementation of its policy initiatives.

In addition, it is always preferred to define the contours of partnership through written agreements which clearly specify the expectations we have from each other, delineate the role each party is expected to play and mention key indicators that would be measured in the course of the partnership. However, we should not make an MoU a sticking point and refuse to commence working with the government without one. Sometimes the government would want to analyse our work before entering into an agreement with us. So while in Raipur, PEN has an elaborate Memorandum of Understanding with the district administration in place which clearly defines the contours of the partnership, in Pune we started operations with just a permission letter from the Pune Municipal Corporation.

2. How important a stakeholder is the government in our work?

Purely in terms of ability to impact on scale and availability of resources to create this impact, there is no parallel to the government. For instance, Delhi took 3 years to achieve 6300 enrollments working outside the government. Raipur's experience of working within the government is yielding 4373 enrollments in Year 1 itself. Therefore, government is a very important stakeholder in terms of being an enabler of the work we intend to do, a channel through which our work spreads and a legitimizer of the interventions that we execute within the community. It is also extremely important that we strive towards optimization of resources and therefore partner with the government to share resources to achieve common goals.

3. Can we work without government support?

Governments might cite several reasons to avoid work on RTE Section 12(1)(c). It is part of our mission to make this a government's priority and use creative means to make this happen. For e.g. Using legal aid and media partners to raise the stakes for government to implement this policy. While we must have a plan in place to be able to work in the event of a government turning hostile to our interventions, every effort must be made to not only partner with the government but also endeavour to sustain long term collaboration and support from it. The direction we have from our Board is to take the risk and work without government support, only if we are confident of earning legitimacy in Year 1 and securing it in subsequent years of operation.

4. Why should government support our work?

In our experience, most governments are either short of bandwidth or capacity to effectively implement transformative policies like RTE Section 12(1)(c). For e.g. In Delhi, we shared with the government how implementing an end-to-end MIS system can free up 5000 days of senior leadership team within public schools.

We impress upon the government our overall project management ability, by virtue of the enrollment campaigns done in different parts of the country, to effectively bridge the shortcomings in the implementation of state policy. Moreover, as probably the only providers of this particular service with experience of working in diverse state contexts and results of 25k students to show, the government would have an able ally in us with proven credentials to expand RTE Section 12(1)(c) in their state.

5. Which tier of government should we partner with?

This really is a function of the system in place. Based on the unique need of the system in a state, we might be required to partner with either the district level (or city) body or the state government or both. For instance, where MIS systems are managed centrally by the state government and implementation of the policy is the responsibility of the local body, we would need to partner with both tiers of the government.

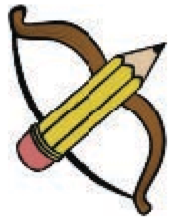
6. At what levels of government hierarchy should we try to build relations?

Relations have to be nurtured primarily at two levels of the government hierarchy namely at a level where decision making authority rests and second at the level engaged in implementing the decisions so taken. While the former is important to be able to influence decision based on our experiences both in the state and from different states, the latter is crucial in effective implementation of our campaign strategies and related works that we intend to implement on the ground. For instance, in Delhi we realised a ticket raising system in lieu of presenting original documents would hugely facilitate the application process. To actualise this idea we leveraged our relations with the state government who had the authority to make this change. On the other hand, in Pune when we realised shortcomings in the way lottery was conducted, we utilised our reach with officials of the local body to not only point out the shortcomings but also gained an invite from them to suggest lottery logic for the forthcoming years.

7. How should we approach government for the first time?

We often have several entry points into government spaces. We have the support of MHRD in expanding to different states through which we can obtain access to officials responsible for the work we hope to do. For all new cities, we hope to utilise the MHRD regional conference where we have been invited to present our case to obtain access to government officials. Additionally, our support network of organisations often have a good foothold in these government spaces who help us in identifying supportive officers and offer us and our work introductions to these officers.

In Pune, Pune City Connect was and still is instrumental in helping us gain a foothold across different levels of government. Also, we strive to provide the whole gamut of services at the least possible cost which is often a driving factor for government in choosing us as a partner above other organisations who either do not provide the diversity and range of services we provide or quote a high premium for their service. In Raipur, we were chosen ahead of several other organisations who offered just MIS services for 5x the cost at which we were offering. A thumb rule of all government outreach is to identify supportive officers with an interest in the work we do, which is the case with our operations in almost all cities.



ADVOCACY
WHAT, WHEN, HOW!

In the summer of 2013, three of us initiated Indus Action's work in Delhi's communities. On the first day of walking around the community, we found the phone number of South Delhi Municipal Corporation (SDMC) Chairman on a board within the community. We took our chances with the call and dropped by for a meeting with him. From our first proposal to SDMC post this meeting, we have knocked on doors of Mission Convergence (that ran community centers called Gender Resource Centers), Ministry of Women and Child Development (for support in distributing pamphlets through Anganwadi Hubs), and Delhi Directorate of Education (for moving the admission system online). In this process, we secured many rejections and false starts.

It took us 3 years to achieve advocacy wins at the level of entire Delhi with Delhi Education Department. But what took us 3 years in terms of end outcomes (centralized lottery and 1.5x applications) took Raipur district 3 months in execution. There cannot be a more resounding example of the benefit of working closely with the State in executing RTE Section 12(1)(c). We have the foundations of work done across 5 cities now to advocate more directly with the state at the highest levels and accelerate the progress of our mission. This section will reveal the secrets behind achieving such advocacy wins.

1. I thought we are a ground level organisation working on awareness creation, running helplines for the government etc. What role do we have to play in advocacy?

The crux of the work undertaken by PEN is implementation of legislative policy. Often it is found that there are significant gaps between what a policy envisages to do and what it ends up achieving. This has a direct impact on our work as well. Therefore, it becomes imperative that we undertake some form of advocacy aimed at facilitating the work at the center of legislative policy. For instance, in Delhi we realised that inability to procure relevant documents in time was a big impediment to parents being able to submit an application under Section 12(1)(c). To get around this issue, the PEN network in Delhi successfully advocated with the Delhi government to put in place an e-ticket raising system where in document showing application of the relevant document would suffice in submitting the application.

2. What should be the basis of the advocacy that I undertake?

There are broadly three potential reasons which in isolation or collectively strengthens our pitch for advocacy:

A) Better implementation of the policy: If our advocacy point aims at achieving the aims stated explicitly in the rules, it greatly legitimises our claims. The PE's can also bank upon the full fledged support in Government relations from Indus Action and other PEs, who would share everything they have learnt from the entire network and help towards accelerating the process of building legitimacy with the government

B) Precedence from other states: It is always helpful to quote precedence set by other states to strengthen our case. Not only does it provide a strong backing for our suggestions, it also significantly aids the decision making process at the official level. E.g: Maharashtra has totally done away with the provisions of document submission at any point during the application and these are needed only while physically securing admissions to school after allotment. This precedence can be stated in other states to do away with the requirement of document submissions at the application stage.

C) Learnings from our work in the state: For aspects pertaining specifically to a state, it is advisable to choose advocacy points which have come on account of working in the state in order to have data backed evidence to support our claims. In Raipur, where the complete application process was facilitated by PEN, several suggestions like student tracking mechanism have been advocated to the district administration to better implement the policy in forthcoming years.

3. How does one work on advocacy as a PE? Can I start right away or is there a right time that I should wait for?

A PE has all tools under her/his control to work on advocacy. Being the leader of RTE efforts of Indus Action in her/his state/district, the PE is placed in a good position to strategize the course of advocacy that she/he wants to take and hence organise resources accordingly.

There are various factors which a PE has to consider before pitching in to advocate - credibility built in the system, ability to provide enough evidence supporting the change suggested, ability to garner enough resources in order to support the advocacy pitch etc.

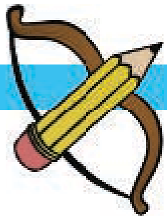
4. If I don't have advocacy options in the state I am working in, is there any point in working there anymore?

Hardly is a system perfect. We would go to the extent of saying, if there are no areas for advocacy left, then we would not be facilitating a PE in that state in the first place. Look hard, but if you are still unable to identify areas of advocacy, then please get in touch with your buddy or the PEN network. We are sure that within minutes you will see multiple needs for advocacy.

5. What if the advocacy I do does not yield the desired results?

The nature of advocacy itself is such that it is a sustained process which often has a long gestation period. Therefore, it is important to not make results of the advocacy a pivotal aspect of the work we do in any state around which all our decisions/systems revolve. As mentioned earlier, we must evolve our work system in a way that it is refined by advocacy and not defined by advocacy. Hence, work should continue as it would during the normal phases.

Also it is important to gauge what were the specific reasons on account of which our advocacy did not yield the desired results. Perhaps it could be because we did not engage at the right level or because we used less effective means to advocate. It could also be because we chose the wrong point to advocate which though falls within the ambit of the letter and spirit of the policy, has precedence in other states and is based on our work experience in the city/state, simply does not factor in the current priorities of the concerned stakeholders or does not have the scale of impact to convince them of its importance.



6. Who are the current advocacy partners?

- **IIM-A** - The RTERC cell of IIM-A publishes the State of the Nation report annually. We contribute to the report based on our experiences from different cities.

- **Central Square Foundation (CSF)** - CSF provides us many opportunities to meet top education officials from different states and pitch for improving the state of RTE in their geographies

- **Pune City Connect (PCC)** - PCC has been working with the Pune and Pimpri Chinchwad Municipal corporations for a while now and have helped us get access to many Maharashtra based officials so we could pitch for policy level changes

- **Ernst and Young Government Advisory wing** - They provide introductions to different states at the senior level of leadership

7. What are the different ways in which advocacy can be done?

- Directly approaching the government with suggestions of improvement using evidence based approach

- Partnering with the government in effective end-to-end implementation of the project and handing the processes and best practices over to the government when one exits.

- Just being out there in the public domain like facilitating sessions in popular events/ conferences, publishing research studies in journals like State Of The Nation Report

- Use media advocacy (i.e. connecting with the media and publishing newsworthy stories)

8. What do I advocate for?

At every level of the campaign, right from school registration to student lottery and beyond as well (child learning level/attendance tracking, reimbursement, etc.), Indus Action teams have studied processes of the government and found areas of improvement. Best way to do this is to analyse every part of every stage (one stage explained below), with respect to its objectives, the methods used to achieve the objectives, ease of use by the target communities, scalability, repeatability etc. For instance, take the case of student application form. The following are couple of examples of things we have advocated for in the past:

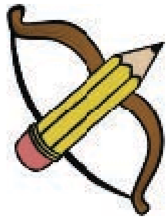
• Centralised lottery system - Delhi was grappling with a manual system of applications when IA worked with the Delhi government and brought in a Centralised lottery system. Till then, the lottery was conducted locally with every school doing its own lottery thereby consuming many people's time and limiting parental choice. The MIS system brought in the possibility of centralising the lottery system thereby saving hundreds of hours of work for officials, ensuring greater transparency, and choice for parents.

• Parents in Delhi were needed to submit their income certificates at the time of applications. Many parents were unable to procure their certificates on time as the tehsildars take some time in providing the income certificates. We advocated to the government asking for a process change and got this changed. Now parents can apply to the tehsildar for the income certificate and upload the acknowledgement slip at the time of application. The income certificate can be shown to the school directly at the time of admission. This buys the parents more time to procure the income certificate.

• One thing we are trying to advocate in Pune is eliminating mobile phones as the only unique id. This becomes a loophole as parents then apply multiple times for their children using different mobile numbers giving them more chances of success in lottery. We are trying to add more items to the mobile number and make a combination unique id, thereby reducing chances of superfluous applications.

9. What are the different levels at which advocacy could be done?

There are multiple levels at which advocacy can be done, which is a direct function of the level at which we expect the change to happen and who is most appropriately placed to bring about this change. Moreover, the level of access we have at these different levels is also a crucial factor in choosing the level at which advocacy is done. Often, we would realise that change can happen by doing advocacy at multiple levels, but it is more feasible to do it at a level with better access. It is also a matter of identifying at what level we have the maximum support. For instance, in Raipur we chose to engage with the District Collector since we had maximum support from the D.C's office, while in Pune our point of engagement is with the Pune Municipal Corporation since we had direct access to the officials in the corporation through our support network. In Delhi, we engaged with the Principal Secretary and Director levels in the government, since they were most well placed to implement the changes in application process across the city.



HELPLINE SET-UP & MANAGEMENT

The Helpline is a service set-up to educate, advise, support, and motivate callers about Section 12(1) (c) of Right to Education Act. It is typically set-up by the Partner Entrepreneur at the city level. The objective of the helpline is to provide a service which offers information, support, guidance and motivation for all those concerned with any aspect of Section 12(1)(c) of the RTE Act, 2009. The RTE helplines are at the heart of Indus Action Project Eklavya in ensuring that every eligible family is provided all possible support in their endeavor to obtain quality education for their children. Helplines also constitute an essential interface between us and the eligible families and go a long way in accomplishing behavioural nudging aimed at changing the attitude the eligible families have towards obtaining admission through Section 12(1)(c).

1. Why is it important to set-up a Helpline?

Helpline are important for the following reasons:

1. They are most efficient form of direct human support (in terms of time and cost) that we can provide to the eligible families.

2. It assists us in providing continued support to the eligible families based on the first hand information received after the first interaction. This is not something which can be accomplished through other mediums of outreach.

3. It helps us track and analyse the status of our campaign based on the constant information we keep receiving throughout the course of the campaign. This data is effective in advocating with governments for change in notification rules related to Section 12(1)(c).

2. Who are the important stakeholders for the Helpline?

The Helpline members are the most important stakeholders as they will be the ones primarily interfacing with the eligible families. Ensuring proper recruitment, training and oversight is critical for a successful campaign. As you scale your campaign and Helpline daily calling requirement increases, community champions will play a key role in managing this demand through decentralized calling banks.

Helpline backend is managed through an in-house web API called VMS (Volunteer Management System). Indus Action technology team is the key stakeholder to set up, capacitate and troubleshoot your backend. The cloud telephony of this API is supported by Exotel services. They enable SMS and IVRS services to be administered to families within our database. The data of the families collected through the Helpline is stored on Amazon Web Services (AWS).

To receive in-bound missed calls on the Helpline, would require outreach partners. In this regard, government is a key stakeholder. They can either provide for databases of eligible families or provide direct access to all Anganwadis through which eligible families can be micro targeted. Other non-profits that have community presence and mobilizers are a key partner in this regard as well.

3. How do I plan for my helpline?

Staffing: In planning helpline staff, the following needs to be done:

- On basis of your set target, decide how many members you want to recruit to be on your helpline team.
- And plan for additional temporary resources during the application process (Assume that a helpline member will be able to complete a maximum of 80 calls in a day).
- Plan for staff training, meetings, holidays and absenteeism.
- Plan for and organise support and inputs from their supervisor during and after difficult calls.
- Plan the duration of work-shifts and the distribution of workload to avoid undue stress. The number of calls are especially high during admission periods. It is good to note that from the network's experience, a majority of the families are available to speak in the mornings or evenings.

Training: Adequate training for helpline staff is essential for a high quality practice.

Support for helpline staff: Proper support and supervision mechanisms need to be in place in order to maintain and improve the quality of the service. Provision of resources - As the helpline develops, the organisation will need resources (human, financial, logistical etc.) to promote, publicise, sustain and improve its services.

Availability of technology and adequate infrastructure: The infrastructure and technology required to ensure the effective operation of a helpline include: phones, SIM cards, laptops, internet connection, MIS system etc.

4. How will the helpline staff be selected?

1) The alignment of the potential helpline member staff with the organisation's vision is one of most important point to be considered at the time of recruitment.

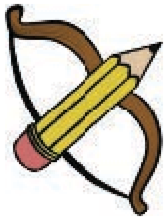
2) It is highly useful to clearly outline the role and responsibilities of a helpline worker (job description) and list the qualities, skills, and experience required from a potential helpline staff. All helpline staff, paid or volunteer, need to meet the same selection criteria.

Criteria could include:

- Level or type of educational qualification and/or experience.
- Personal traits and attitudes valued by the helpline, such as sensitivity, openness to new ideas.
- It is always helpful to have at least one member in the team with good technical skills, who could be delegated the work while ensuring quality of support.

5. Will the helpline require its staff to have special skills?

Empathy towards the beneficiaries and the ability to connect with the cause are the most critical requirements. Additionally, they should be able to comfortably operate a computer.



SELF AND CRISIS MANAGEMENT

"We are what our thoughts have made us"

- Swami Vivekananda

Self and Crisis Management is particularly pertinent because in the work we are doing, the success of our efforts are highly dependent upon the leader's own conviction, commitment and management of internal and external environment.

Several crisis management blunders can be attributed to leadership failures, and in the context of our work, lack of effective crisis management has led to the downfall of many well intentioned projects. In rapidly changing times, the challenge to an organization is to provide a framework for people to understand their journey through change so they can contribute their best work to the organization. In order to act as a leader or an agent of change within an organization, employees must be able to bring about significant change within their organization. As the rate at which factors associated with the external environmental change is very high, self-management assumes magnified important.

Since quite often the dynamics of external environment is beyond our control, the emphasis has shifted towards managing the inner environment and harnessing the resources within an organization. Many a times we build expertise in a particular domain and prepare our employees to work in a relatively stable/controlled environment and not in a rapidly changing environment.

Let us discuss this in the context of our work on RTE.

SELF MANAGEMENT

- Self management starts with few fundamental questions and finding answers to these.
- Why I am into the business of RTE?
- What is the alignment of my personal vision with RTE vision?
- Is my decision paramount always?-Means Vs End.
- Individual relationship vs professional relationship-What is important?
- How do I balance work and professional life?
- Am I living in the past or the present? How can I learn from the past to prepare for a better future?
- What are my personal bias and prejudices? .List them out. Am I ready to change my perception gradually?

CRISIS MANAGEMENT

"If I had an hour to solve a problem and my life depended on the solution I would spend the first 55 minutes determining the proper question, I could solve the problem in less than five minutes " - Einstein

It is not uncommon to be facing situations which we were either not expecting or for which we have not planned in advance. The crisis situation is such a condition where you have very little time to respond to a unpredicted situation in the most effective manner. These crisis situations may arise either due to internal or factors external to the organisation. For instance, in the context of our work, we may face situations like;

1) Completing the tech.solution before deadline
    - Issues with the Application module
    - Issue with lottery result
    - Issue of staff leaving the job with short notice
    - Issue of Political and Administrative official interference in timeline and deliverables
2) To handle such tricky situation, we must try to answer 4 simple questions:
    - What I am feeling?
    - What am I thinking?
    - What is true?
    - What do I choose?

How to manage Crisis?

Emotion

When we are in to a crisis situation, we feel emotionally and physically charged up. We tend to think about what others feel about you, what possible scenario may emerge and what could be the potential consequences.

Truth

Take a Breath. Then tell the truth. This is easier said than done and is a rather difficult task to accomplish. While it is often very difficult to accept the truth, it is important to gauge the situation by keeping ourselves into the shoes of others and understanding their viewpoint.

Conscious Choice

From a position of truth, make a conscious choice on what you intend to do or not to do. Please keep in mind the decision you take must be in the interest of the goal of the project. It is also important to keep in mind whatever decision you take, your team must be cognizant of the fact on what condition, the decision was taken.

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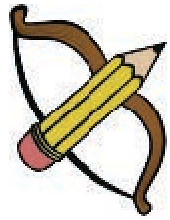
During the crisis it is very important that the leader leads from the front and must infuse confidence amongst team members.



CAMPAIGN AND OUTREACH

In 2013, when Indus Action started working in Delhi, less than 4% of the eligible families were aware of RTE Sec 12(1)(c). In fact, even today awareness levels across the country are really low and hence it is very important to conduct campaigns and targeted outreach programs. Campaigns and outreach programs are conducted to inform people about the policy and how they can benefit from the same. From the experience PEN has gathered over the years with extensive campaigning and outreach, we have realised that campaigns are said to be effective when they are micro-targeted towards eligible families and when these families submit their applications.

1. What is the difference between a campaign and an outreach program?

Campaign: Primarily used for information dissemination and interaction with the target audience to help them get access to or brief them about a particular topic which they were unaware of. For e.g. Performing street plays is a form of campaigning, where information is disseminated creatively to a wider audience on RTE Section 12(1)(c).

Outreach program: Outreach programs are conducted to reach out to specific target groups. They involve highlighting work done by the organization and include a process within the program to lead towards a certain outcome to further the growth of that particular organization. For e.g. In Bangalore, we did an outreach program to Uber drivers, who had children in the age group of 3-6, through IVRS and SMS notifications.

2. What kind of permissions do I need to start campaigning? Do I need Govt. permission?

You do not need any specific permission from the Government to start campaigning. However, in cases where we have an MOU with the government, it should be clarified that either the Partner Entrepreneur or other partner organizations would conduct campaigns to create awareness within the communities.

Following is a statement from one of the MOU's PEN has with the government and this delineates the role of the government and PEN in campaigning:

DSE - Department of School Education: Approval of content to be used in the design of campaign material such as pamphlets, posters, and other materials

Indus Action: Organising an enrolment campaign by means of its partnership with colleges, schools, Corporate CSR, other NGOs and civil society organisation, to ensure adequate awareness amongst eligible families and to increase the number of applications by over 50% from previous year for the 2018-19 academic year for admissions under RTE Section 12 (1) (c)

3. Where can I get information on the eligible families?

Two of the most important sources for obtaining information about eligible families are:

- The government which has large databases from previous years and
- The data compiled through our own campaign particularly through Helpline.

In Delhi, for instance there is a helpline management system wherein potential families are asked to give a missed call if they wish to know more about getting admissions through Section 12(1)(c). Indus Action not only records the details of the callers but also tracks at which stage they are vis-a-vis the enrollment process. In addition, PEN can reach out to private bodies and non-profits that have a large database of potentially eligible families and children. While some of our entrepreneurs reached out to Anganwadis, Ration shops and Woman and Child Department to get access to database of eligible families, others reached out to OLA, Uber, and Swiggy to spread the message to their drivers and delivery executives.

4. What information should be given to families during the campaign?

During a campaign the Entrepreneur needs to be prepared to inform the communities about the entire process. This includes details about the benefits, eligibility, method of application, documents required and how to obtain them, support provided by PEN and the process of obtaining admission once selected in the lottery. Ground level research has to be done to identify the need of the community and then based on the same, research campaigns can be designed and executed. During a campaign the helpline number should also be highlighted as the families can reach out to this number at any point of time to get answers to their doubts.

5. What are the different methods used for outreach? Which has been the most effective method for outreach?

Some of the different methods used for outreach are:`

- Helpline
- Women Community Calling Banks
- Newspapers
- Radio / Television
- Pamphlets
- Street Plays
- Auto Rickshaw Campaigns
- Blast SMS
- Social Media

During campaigns, we have not been able to reach out to a targeted set of families using print, digital or social media. Street plays are effective but the input is greater compared to the output. One of our entrepreneurs put up banners behind autos which were plying throughout the city.

In Delhi's 2014-15 and 15-16 campaigns, 40% of our identified families came through pamphlets (22%), Anganwadi workers (8%) and community champions (9%). Of all the low-touch mediums, pamphlets had the highest conversion rates (80% of identified families are eligible) against TV and radio which had only 45% conversion rates.

6. What kind of models are there for mass campaigning methods?

Mass campaigns can be done through print and digital media in the form of advertisements in local newspapers, talk shows and advertisements in local radio and television channels. Mass campaigns help us reach out to a large number of families but we might not be able to specifically reach out only to the eligible families or the families.

7. Where can I access samples of pamphlets?

All the collaterals used by an entrepreneur is available within the shared folder that is available to all the entrepreneurs in the network.

8. What sort of data analysis should be done before conducting a campaign?

Conducting campaigns where the eligible families reside are effective. Data should be collected and filtered based on the eligibility criteria for that particular state. Campaigns should be conducted in communities or slums where the majority population fits within the eligibility criteria. For understanding in detail, refer to the playbook document on Data Collection and Analysis.

9. Can I campaign in other cities/districts apart from the place where I am in?

Yes, you can campaign in other cities/districts apart from the place where you are by partnering with organizations that have a volunteer base in that particular city/district. You can share your collateral with them.

10. When do I start campaigning?

Campaigns should ideally start 3-4 months before the application cycle. There can be campaigns or programs conducted throughout the year to assist families in getting the documents ready before the application cycle.

11. How do I establish the need for campaigning at a place?

Before conducting a campaign, it is important to do research at the ground level and find out if the people are aware of the policy. It can also be interesting to study the number of applications submitted from different areas in the previous years and then design campaigns after analyzing that data.

12. How would I determine the success/failure of a campaign?

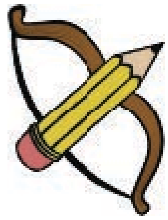
After conducting a campaign, if a high number of families the team interacted with translates to calls on the helpline and successful submission of application, the campaign could be termed as a success. For every 100 families identified, if you are able to admit 15 children into schools, it can be termed as a successful campaign.

13. Are there any specific codes of conduct while going out for campaigning?

The volunteers who go out for campaign must at all times ensure that they interact with all beneficiaries in a cordial manner and visually and aesthetically appeal to their sensibilities. Explaining with the help of pamphlets for better understanding is also suggested. Also, to increase visibility, t-shirts/banners could be used or small tents could be set-up in specific areas of campaign during peak times.

14. How do I specifically determine which areas to campaign? Who should I coordinate with to find such areas?

The information regarding areas/locations within the city where majority of lower income backgrounds reside can be obtained from the municipality/ town council/city council offices. The Entrepreneur can coordinate with government officials or with existing organizations to determine such areas.



TECHNOLOGY TOOLS

Technology plays a very important role in enabling and supporting the operations of the PEN network. A very specific examples is the online solution built for implementation of RTE Sec 12 (1) (c) in Raipur which had an in-built school level tracking module. After the lottery results were announced, the module enabled the schools to check the list of students allotted with a single click, and increased the overall transparency in the system. It helped us escalate cases to the administration, where students were not getting admitted without citing any proper reason by the private schools.

Typically, technologies used can be varied depending on the operation for which the technology is being used as an enabler. Some of the key components in which technology plays a key role are creation of database of eligible families, tracking and returning calls to the families, tracking of grievances and the stage of application, digitization of school records, and post admission support in terms of counselling and building tracking modules for the government. An app can also be used to track at which stage of application is the family at, to help them smoothly progress to the next phase of the application process. It can also be used as an effective tool for dissemination of information to the communities, and potentially be used for grievance redressal as well.

It is important for the entrepreneur to know that technology is ideally to be used as an enabler and to reach out to large volumes. It can never replace the human element in Indus Action's Project Eklavya, wherever necessary.

1. What framework has been used for developing the online MIS system?

ASP.NET platform has been used to develop the online MIS system. While the entrepreneur has the flexibility to use platforms/technology that she/he is comfortable with it is always advisable not to reinvent the wheels unless it is necessary and to work on the existing platforms available within the PEN network. Sometimes the entrepreneur might not really have a choice specifically in cases where PEN is adding value to an already existing system. In such scenarios, the PE might be compelled to work on the platforms on which the system is already built.

2. What are the best ways to integrate location information for schools, in areas where it is not available?

Information regarding coordinates of schools can be obtained from the School Education Department/UDISE platform

- For determining habitations around a school, the following possibilities can be explored:

- Google maps can be used to determine the distance of habitation from school.

- Manual data entry of habitations based on information obtained from municipality, schools, government offices etc.

- Outsourcing the data collection for habitations to an external agency.

Proper care must be taken while designing databases for the MIS system. It is always advisable to speak to other entrepreneurs in the network for finding out the pain points, and determining best practices.

3. Where can the MIS system be hosted?

The MIS system for the pilot project should ideally be hosted on state servers/NIC servers. For hosting on state/NIC servers, it is advisable to include a technical representative from the government to take care of the requirements.

In case there are problems in getting through government regulations, it can initially be hosted on Amazon Web Services (AWS servers). The Raipur project was initially hosted on AWS servers due to lack of cooperation from the state government. It is indeed helpful, when all aspects are in our control initially, to monitor all developments and discrepancies if any within the system

4. Can we outsource development of modules for the MIS system?

Yes, in the absence of an internal tech resource, the work can be outsourced. Few important things to keep in mind while outsourcing the work to a third party are :

- Proper care must be taken to finalize the details of the work order before the development starts.
- Reference checks must be done for the agency, with at least 2-3 independent feedbacks.
- Importance of the project must be emphasized with penalty clauses included.
- Based on Raipur experience, it is always advisable to work with freelancers, or agencies which are flexible in terms of their commitment, given the nature of the project.

5. What software can be used for tracking the calls during helpline?

VMS has been predominantly used by all the teams so far for tracking calls that reach out to our helpline. However, the entrepreneur is free to use a software based on the need and convenience.

6. How do you determine if the tech solution you introduce will be a success or not? What if the potential users don't use the technology?

The success of the tech solution can be dependent on various factors and the outcome that you want to measure:

- Campaign: Increase in the number of applications, or families who have visited/enrolled at IA centres or have called at the helpline number.

- Increase in number of applications: Reduce the human factor so that the belief in the overall system increases, by making all information transparent for all stakeholders.

- Grievances: Lesser number of grievances filed, implies higher efficacy of the system.

- Analysis: The data captured in the tech solution during the intervention, could be used for improving the intervention in the forthcoming years and also for primary/secondary research purposes.

Adoption of technology may always be a hindrance, but the entrepreneur should decide carefully based on the context and ground scenario, to involve a mix of both online and offline solutions. The focus should be on using technology as an enabler, and not the core solution.

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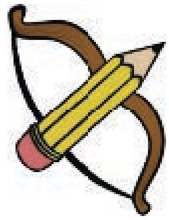
8. Can the technology solution already being developed within the PEN network be reused?

It is highly recommended that the entrepreneur studies existing solutions, which form a predicate for the solution that she/he is trying to address. She/he must look for solutions available both within and outside the network, and then use the existing system to customise based on her/his own requirements.



APPLICATION CENTRES

Application centres are usually set-up during the phase of online admissions in an RTE admission cycle to facilitate filling up and submission of application forms by eligible parents. Typically, an application can be submitted from anywhere, be it an internet cafe, a designated centre or from the comfort of homes. Since, the admissions are for the EWS/ Disadvantaged sections of our society, who most often do not have very high access to digital/IT services, application centres play a crucial role in creating an enabling mechanism for eligible families to submit a duly filled application. These application centres can be run by different stakeholders: volunteers of IA/partner organization, operators in government/private schools, choice centres designated by the government or internet cafes.

It is important that each stakeholder who is responsible for running the application centres is adequately trained on how to file an application, and also, on various aspects of the MIS system. They must also be oriented to answer the queries of parents while filling up an application form, and also reduce the time spent per application.

1. Who are the key stakeholders in running application centres?

The key stakeholders are: Parents/Community, Government, Schools/Nodal Centres, Internet Cafes, NIIT Centres, Choice Centres, student volunteers and PEN office in that respective city.

For e.g. in Raipur, all application centres were run and administered by PEN. In Delhi, application centres were mostly run by the government, assisted by PEN in few of the communities. In Pune, a few of the application centres were set-up by IA, which were done in support with NASSCOM for IT infrastructure. Running our own application centres has advantages when the MIS system is developed by us, but it can lead to problems, since the focus may only shift to administering these application centres during the admissions period

2. What are the requirements/key considerations for all stakeholders to be kept in mind while setting up an application centre?

The first step is to identify the key parameters and support needed (hardware, software and soft skills) at these application centres for all the stakeholders identified above.

Parents: Space for queueing up in times of rush, supply of water, places to sit and a resource person to manage crowd.

Operators: Basic IT Skills needed to fill up forms. Orientation for operators including submitting mock applications should be done. She/he needs to be familiar with the language and geography of the city, must have public relation skills, be sensitive and patient to deal with unexpected situations.

Choice of Centres: Basic hardware infrastructure, good internet connectivity, ease of access for parents.

The locations of application centres should be chosen by mapping the district/state according to key zones/areas based on the population and the rush expected at these application centres.

3. What are a few must dos required to run our own application centre?

- Prepare a list of all application centres. It may not be only one kind of application centre, but can be a choice of internet cafes/choice centres/NIIT Centres/Schools etc. This list is to be circulated across media/District Education Office, for benefit of all parents

- Conduct a workshop for all the operators on how to fill up application forms, and provide a separate helpline number for answering their queries

- Important to have common WhatsApp group or any other medium to have interactions with the operators on regular basis to clarify doubts and extend necessary support.

• Prepare a helpline document for all operators which is to be circulated in this meeting. The instructions for the expectations and deliverables should be clear. Reach out to Indus Action's Partner Entrepreneur Network for sample documents

• A list containing names of all schools, vacant seats and areas in which these schools are located could be passed onto the operators for assistance while filling up of application forms. This reduces the errors while filling up application forms; avoid cases such as distant schools, no school found etc

• Need to felicitate the operators to motivate and incentivise them.

4. What proof could be provided to the parents for successful fill up of an application form?

Prepare an acknowledgment receipt, to be given out to parents, post the filling up of application forms. This acknowledgment receipt could contain important information such as:

- **Name of Child**
- **Name of Parent**
- **Mobile Number**
- **Registration ID and Password**
- **List of Schools Chosen (UDISE Code or Names)**
- **Signature of both Operator and Parent**

In application centres, where printouts can be given, the acknowledgment receipt may not be provided. However, the parent must be made to sign on the print out. Two copies of application forms should be printed: for both operators and parents.

5. How can one effectively deal with crowd at an application centre?

Based on our experience at Raipur, we have experienced that most of the time parents come in huge number to our application center. In this moment, it is highly essential that we must have a system to register their name in a register outside the application center and allot token number to each one of them to wait for their turn. To do this work, we may take the help of volunteers to support us in this aspect.

6. Are there any other things an entrepreneur should take care of?

Yes. Perhaps, the entrepreneur can think of incorporating a notice board. She/he can have a notice board outside the application center explaining the applicants about date and timing of the application deadline and other documents needed by the parents during filing of an online application.

7. What are the expenses incurred during running an application centre?

The expenses may come from the following:

- **Setting up a minimum of 1-2 computers with internet connectivity.**
- **Basic infrastructure like chairs, tables .**
- **Printer and papers.**
- **Manpower costs.**

8. Do we run application centres at all places, or we help the government run them? How do you choose between the two?

Ideally, the application centres should be run by the government with the strong support from PEN. This means that while the logistics and to the largest extent possible human resource must be provided by the government, orientation/training and other softer/subtle aspects related to the centre operation be handled by PEN. That being said, wherever the government is unwilling to provide for these logistics, PEN must step up and take the responsibility of running the application centres either individually or with the support of different social entities in the city. It is important that the central PEN office also has an application centre, witht the role to monitor and facilitate all other application centres, at least for the first year of operation.

The final decision here rests with the entrepreneur based on cost optimization. Running of an application centre helps build a personal connection with the parents, which may come in handy during community mobilizations.

9. Do we collect offline forms as well in application centres?

Yes. In case, there is a lot of crowd, or problems with internet connectivity, offline forms may be collected in specific formats with all information collected, which can later be filled online by operators at the application centre.

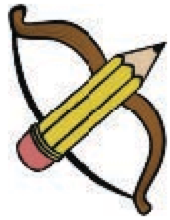
10. How does one gauge the number of application centres required and from where do we mobilise the human resources to run these centres?

The number of application centres can be determined based on the number of days for application cycle, average number of applications expected to be received, and to ensure all areas of the district/state are covered. A critical parameter is to assess how much time does submitting an application take which may vary according to the details sought for in an application

Human Resource can be obtained from internet café/NIIT operators, volunteers/ students from colleges, or part time recruited interns.

11. Do we need official permission from the govt. to run application centers?

No such specific information is needed. However, in case of MOU with the government, this should be clarified to the government in case it is run by PEN.



LOTTERY

It is a human tendency that they would always want the best of everything for themselves. This cannot be more true, in the case of parents where they would want their children to study in the best of schools/colleges for a brighter future. This brings us to a situation, where a particular school in a community, might have a high demand, but the school can admit only a certain number of candidates, based on the capacity. Since RTE is only for entry classes, lottery turns out to be a fair and transparent tool, which can be used for allocating schools to students, where the number of applications are more than the number of seats available.

1. When should ideally the lottery be done?

The lottery should ideally be done 2 days post the end of the application cycle, so that all the data is safe and secure, and a dry run is conducted for analysis, before releasing the results online.

2. What are some of the things which needs to be checked in the mock lottery?

It is suggested that the following be ensured during the mock lottery:

- The database of schools and number of seats be checked for consistency.

- Number of allocations in each school should not be more than the number of seats in that school and therefore the number of seats in each particular class of the school.

- Duplicate allocations is not done i.e. one student is not allotted to multiple schools.

- The logic is clear, and can be explained in clear words to a lay person.

- A sample representation of the results be cross checked with the database, ensuring that the allotment done via lottery matches the results online.

3. Should the messaging feature be linked with the system for sending a text to all successful candidates?

Based on Raipur experience, it is advisable that the message sending feature is done via external platforms with data imported on a separate excel sheet, for the list of selected students. It helps to ensure that if in a rare case some discrepancy has occurred in the lottery, the damage is not magnified by the text messages thus greatly facilitating the damage control process.

4. Is there a sample algorithm/ logic which can be used? What kind of lottery logic should be used?

There are numerous such algorithms available across the internet which can be implemented. The idea is to use a simple and effective logic, which can be explained to the common audience. The following link shows a sample algorithm which was used at Raipur for student allocation.
https://docs.google.com/document/d/1eljMTNvXHnFR13T_ukmagMRRz-Lu9KbkMxiGrXX3TBcY/edit
The lottery logic used in the state of Maharashtra can found by accessing the following link:
https://drive.google.com/file/d/0BzK3p_K6nYhTaFhNbTBMbG5BNlE/view?usp=sharing

5. Is there merit to a manual lottery too? How can manual lottery be done?

Manual lottery can also be done. However, it is a time taking process which would involve one representative from the Education Department to be physically present at each of the locations where lottery needs to be done. If the number of applications are more, it becomes a time consuming process, and increases the chance of errors creeping into the process. A huge volume of applications to be selected via manual lottery could very well turn out to be a logistical nightmare.

For manual lottery, all the name of all applicants is written on a piece of paper and put inside a bowl, and a draw is taken out n number of times if there are n number of seats in a school. Therefore, it is highly advisable to perform a computerized lottery, which increases transparency, and also substantially reduces the time consumed (since the process does not take more than 10 mins).

6. What are some of the differences between manual and online lottery?

Some differences between manual and online lottery are as follows:

Manual Lottery	Online Lottery
• **Time consuming process**: Draw needs to be done for each of the seats	• **Time reducing process:** Lottery done at the click of a button, within 10-15 mins
• **Logistical Requirements:** Very high	• **Logistical Requirements:** Minimal (Just a PC)
• **Manpower Requirements:** Very high (Min of 1 officer, school principal per draw location)	• **Manpower Requirements:** Very low (Just 1 officer)
• **Transparency:** Not very high (Human intervention is high)	• **Transparency:** Very high (No human intervention)
• **Duplication:** less chances of duplication	• **Duplication:** High chances of duplication if algorithm is not correct
• **No algorithm needed:** Lucky Draw concept	• **Algorithm needs to be designed and communicated clearly to all stakeholders:** Makes the entire process simpler.

7. What are some of the immediate steps to be taken post the lottery process?

Some of the immediate steps which could be taken post lottery process are:

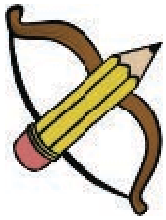
- Prepare a database of successful and unsuccessful applicants.
- Send messages to each of them separately through a SMS gateway.
- Coordinate with the government to get the list displayed at prominent locations.
- Set-up the helpline for grievance redressal of parents and to handle queries.
- Prepare a set of questions and discuss with the helpline team about how to respond to the questions.

8. How many rounds of lottery should be done?

Ideally one round of lottery should be done. However, if it is found that a large number of seats remain unfilled, then subsequent rounds of lottery may be done, depending on the number of unallotted students vs the number of available seats. This decision should be taken in consultation with all stakeholders.

9. How should the lottery be done in case the project is for the entire state?

In such a case, the lottery for each of the district should be done individually, adhering to the common logic decided upon by the state for each of the districts. For instance, in Maharashtra, even though the applications are made through a state level centralised portal, each district conducts its own lottery process with the leeway to decide the dates for the lottery and the number of rounds of lottery required as per the needs of the district.



DATA COLLECTION AND ANALYSIS

In the age of big data where everything from corporate market strategies to social media targeting is driven by data, it is imperative that the decisions we make which have potentially large scale implications are driven by data collection and analysis. The entire range of services that PEN provides, starting from campaigns and facilitation of applications to tracking of students and reimbursements, puts us in charge of a large amount of data. In addition, working with the government often opens a window of opportunity to legitimately access data which is otherwise offered only at a premium and which facilitates evidence based decision making. Even the policy related suggestions that we propose to the government stands to gain immense credibility if backed by relevant data. Data collection and analysis, therefore, forms an indispensable aspect of our work.

1. Why do I need to do data collection and analysis?

Data collection has several key roles to play in the work PEN does. To start with, it is very important to assess the impact of the work we do. The best way to assess this is to first ensure honest data collection at each stage of the project cycle and conduct an analysis specifically on the goals set before the project began. Additionally, data analysis will be crucial in delineating strategy as well as making policy suggestions to or conducting advocacy with the government-both aimed at increasing the overall efficacy of the policy. For instance, PEN in Lucknow with the support of IIM-L, analysed District Information System for Education(DISE) and data pertaining to slums which formed the basis for successful execution of campaign plan on the ground. Finally, data is also an indispensable aspect of the central audit that happens each year based on the numbers reported from each centre where PEN operates.

2. What kind of data collection and analysis can I do?

Data collection and analysis can be both primary and secondary. Primary data analysis would include data collected by our own team through direct interactions we have with the potential applicants. For instance, calling up potential applicants and finding out about their awareness vis a vis Section 12 (1) (c) would form primary analysis. Secondary analysis would include analysing data from third party sources which, in our case, is mostly the government. For instance, finding out the reasons on account of which selected candidates were refused admission by the schools from the government database would form secondary analysis. Other examples include accessing DISE data, data from Anganwadis, Ration card data to identify eligible families et. al.

3. Why should the government share data with me?

Often times the government itself is looking for someone to analyse the large amount of data in their possession, particularly since it is rare to have institutionalised mechanism within the government structure to do the same. Herein, we are willing partners for the government. If a government(the official in charge) does not realise the importance of data analysis, it is imperative that we identify the issues the state is grappling with respect to the implementation of policy and suggest evolving solutions using data. A major concern with government officials is the misuse of the data shared by them. In such cases, it is important to be willing to give unambiguous undertakings which clearly delineate the scope and purpose for which the data would be used.

4. What should be my approach towards analysing data?

Ronald Coase once said that “if you torture data long enough, it will confess anything”. It is very important that we approach data with an open mind, without any preconceived notions and without any pre-determined conclusions. We are often tempted to draw commonsensical conclusions based on anecdotal evidence we have from our work. It might in turn result in deductions which come from a sample set which is neither big enough to ensure a powerful test nor representative enough to ensure it is unbiased. The cardinal rule here would be : To ensure data is honest with us, we have to first ensure we are honest with data.

5. How do I manage data privacy issues?

It is an important realisation to have that sometimes we would have access to sensitive private details in the form of big data. Maintaining privacy is sacrosanct to all the data.

Maintaining privacy is sacrosanct to all the data analysis we do. This is no scope for compromise on this front, neither can it be rationalised claiming it serves larger public good, particularly since many a times, especially while conducting secondary data analysis, it is not really with the permission of those to whom the data pertains that we have access to their personal details. It is important to have potent firewalls in our system to ensure data cannot be hacked into Also, based on PEN Raipur's experience, it is important to take data backup from time to time, so that if any mishap/ data hack occurs, corrective action can be taken immediately.

6. How do I sift relevant data from the huge stack of data I have?

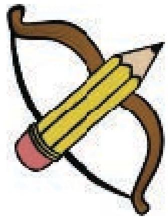
This is a tricky thing to accomplish and there is no one correct way to approach this. There is often a lot of superfluous data in our possession. Secondary analysis also means we do not get access to the data in the form/format we would want it to be. Among the several methods of approaching superfluous data, there are two which we would list here. First approach pertains to identifying the parameters in advance based on the specific analysis we would want to do. For instance, if we wish to compare the sex ratio of applicants with the sex ratio of selected candidates, we can clearly identify the parameters we need to conduct this analysis.

Another approach would be to individually go through each of the data points and figure out how it can be used to analyse the efficacy of our interventions or of the policy. It is always beneficial to have several sets of eyes scan the data to ensure maximum possibilities of analysis is explored. In addition, it is always good to use several data analysis tools which assist in making sense out of complex data and predicting possible trends. These tools range from very basic data analysis tools like pivots in excel to advanced ones like Oracle Hyperion.

It is important to clearly identify the objective and outcomes for data analysis and discuss/communicate these directly to the government authority that the partner entrepreneur is working with. Some examples of relevant data points include determining the number of schools with no applications, schools with more applications than the number of seats, schools where allotment was done but no enrollment was made, linking number of applications with location/ access, medium of instruction.

7. Should all my decision be data backed?

While to the largest extent possible it is preferable to take data backed decisions, data might not always give a clear answer to the questions we have. In fact data may also give mutually conflicting evidences wherein working on improving one aspect might have an adverse bearing on another aspect. For instance, data might show that not asking for documents while making an application exponentially increases the number of applications made. On the other hand, it could also show a large increase in bogus applications thereby increasing the costs of conducting the lottery and subsequent admission process. In such scenarios we would have to take decisions based on our work experiences and convictions rather than only relying on data to take a call.



RETREATS AND REVISE

Indus Action's PEN network organises annual retreats wherein the entire network comes together at one place to share, learn, motivate and rejuvenate each other. Retreats are particularly effective in creating a sense of shared ownership and responsibility as well as bonding over not just work related conversations but much more through a lot of team building activities. Still sounds boring? Consider this then. 'Mafia' was one of the mainstays of this year's annual retreat.

1. Why are retreats important?

Retreats are important as they provide a platform to step back and look at the big picture. During retreats everyone comes together and engages in team building activities which strengthens the network, look at the year gone by and talk about strategies that worked and strategies that did not. They also brainstorm and create a strategy plan for the upcoming year.

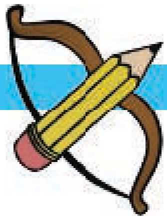
2. How often should I have a retreat?

Retreats are ideally held once in a year. They are held either towards the end or at thebeginning of a financial year.

3. What are the different objectives behind designing a retreat?

The different objectives behind doing a retreat are:

- Building strong relations within the team.
- Stepping back and capturing learnings from the year gone by.
- Working together and coming up with a strategy for the coming year.



4. What are the logistical arrangements required during the retreat?

It would be ideal if the retreat is a residential retreat, somewhere away from the city. For the retreat you should have a seminar hall for the meetings with projector, speaker and white-board. The seating arrangement should be flexible so that it can be changed as per the need of the session. Food preferences should be taken into consideration before the retreat and then the arrangements should be made accordingly. The major expenses (food, accommodation, transportation) should be pre calculated and should be included in the annual budget.

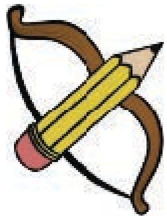
5. What are some of the post retreat steps?

Once the retreat is over it is important to share the minutes of the different sessions with the members present during the retreat. Apart from that a feedback form should be rolled out capturing takeaways and areas of development. The feedback on the strategies should be taken into consideration and revised strategies should be shared with the team.

6. What are some of the things the partner entrepreneurs gained from the retreat?

“The physical space to interact with all team members and board members from different locations gave me a renewed belief and motivation to push our limits higher.” - Raunaq

“The retreat was beneficial on a lot of counts, not in the least for providing a space for personal bonding with other members of the network. However, for me the critical analysis of the plans that we had drawn for the forthcoming year from some very experienced members of the board which included measuring these plans vis a vis scale, scope and impact was one of the most productive aspects of the retreat” - Shijoy



RAISING AND EARNING REVENUE

1. Why do we need to bother? Am I not covered for the next 3 years?

Indus Action has learnt the hard way that access to financial resources is one of the toughest challenges starting up for a social entrepreneur. For most part of the first 2 years, Indus Action's cash flows were behind its actual expenses. For 6 months in 2014, we did not have enough cash in the bank to compensate our employees fully. Data also indicates that survival odds go up by more than 90% for a start up if they enter into Year 4 of operations.

Therefore, our motivation is to financially support you and your organization for 3 years with a baseline funding to enhance your odds of success significantly. Yes, you are covered for the next 3 years according to the contract terms! This we believe will enable you to focus your time and energies on furthering the mission of Sec 12 (1) (c) and to raise the next round of resources.

Being constrained by resources is inherent to the design of the non-profit system – it forces you to innovate with limited resources. It is conventional and cool to treat capital with respect in this sector!

Two questions we will therefore constantly ask ourselves with respect to revenue:
- Is our model radically frugal for others to adopt?
- Is this revenue spending the best use of this capital for the ecosystem?

For e.g. If a project can be executed at 60% of the cost in 3 years, we can use the surplus 40% for either your future operations or subsidize the next Partner Entrepreneur in a new location. Just because we have money doesn't mean we will spend it liberally. Get ready to tighten your seat belts!

2. What are the top challenges for social enterprises seeking funding?

According to Skoll's report for Social Entrepreneurs in capturing public sector opportunities, these are the top 5 challenges in working with donor agencies:

• Heavy reporting requirements
• Tedious application process
• Slow and inflexible decision making processes
• Finding a fit of one's mission to donor's mission
• Understanding of engagement channels with donor

In Indus Action's experience, we have seen all of the above in different levels of intensity. Perhaps, the most challenging has been the long wait before acceptance or rejection by the donor. Rejection is part of the fundraising game! Having said that, we have had instances where initial rejection has subsequently led to a grant acceptance. This was possible after we could demonstrate improved impact results.

3. What are the different methods of raising revenue?

There are multiple forms of support donors offer. In India, for relatively smaller amounts, the support offered is mostly in the form of grants. Other forms of financial support include equity, loans, guarantees, social impact bonds, and mezzanine. Support is also extended through provision for events, technical assistance, volunteers and full-time externships.

For a list of corporate CSR in India and your region focusing on education, girl-child education and community engagement, reach out to Neha for the complete database.

4. What can we codify about our fundraising success so far?

In the last 4 years, Indus Action has managed to secure total commitments of ~Rs. 3 Cr through Corporates, Foundations and individual donors. There have been several key learnings for us in these past few years, some of which are listed below :

• Learning #1: Crowd sourcing campaigns work for a specific purpose:

Unless you have a really innovative product (which is beyond the realm of daily expectations) or raising money for an emergency (read natural disasters, refugee crisis etc.) or a public figure (political, sports, entertainment star), you will most likely raise small contributions from your friends and family.

Instead of giving a 10-15% commission to the crowdsourcing portal for this campaign, it is worthwhile to ask your friends and family to contribute directly to your organization bank account. Once you have secured 80(G), you can provide them a certificate to avail tax exemption for their contribution.

Indus Action has raised a maximum of Rs.1L through these crowd-sourcing campaigns. As much as they are emotionally appealing to have the crowd support us, only 1% of our contributions come from individual donors. You will have to grind it out to count yourself as a public figure capable of crowd sourcing funds!

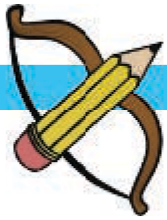
• Learning #2: Events are a drain on your operational energy:

Fundraising through events is not the smartest way to go about allocating your limited operational energy. For starters, you are setting yourself up for failure by raising the stakes of everyone you are going to invite for the event.

And once you have set yourself committed to the event, the planning, logistics and execution will fully consume you. While it might feel good to be lost in the whirlwind of activity, beware of IKEA effect! If you haven't looked up the IKEA effect on the net right now, you might have a hard time learning from other people's experiences!

Learning #3: Look for donors who can trust your intent and your competence:

Almost all our grants, except DRK Foundation, have worked through an introduction from our first-degree networks. After you have secured an introduction to the CSR or Foundation Head or Board Member, do all the homework for your first meeting. Sometimes, this is the only chance you will ever get to meet this person. These are some of the preparatory activity you could do to feel confident going into the meeting:



- **Talk to people who have secured grants from this institution**
- **Put together your latest deck and collateral**
- **Test the assumptions of your impact and cost model one more time**

• Learning #4: Foundations and Corporations add immense value to the model:
Contrary to popular perception and experience, Foundations have gone beyond providing just financial resources to provide organization-building support on a continuous basis. This commitment to strategy planning and coaching has been hugely influential in staying the course on our mission.

As concrete examples, our strategic discussions with EY Foundation and DRK Foundation have helped us sharpen the assumptions on our 3-Yr operational model. Our initial forecast was for 500 admissions in Year 1 of a new site, which got pushed by 4x to 2000 admissions after multiple rounds of discussions. As it panned out, Raipur managed to accomplish 4300 admissions in Year 1 with other sites ending up close to 2000! That is the power of high expectations and high engagement from a motivated donor.

Don't shy away from building an authentic relationship with your donors. It will give you an opportunity to convert some of your own limiting beliefs into empowering ones. It definitely did to us!

Learning #5: Earned revenue (charging a small fee for a service that we provide, for eg. taking fees from the mothers joining the community fellowship program) must be integral to the mission and the model

As tempting it might be to get onto the 'sustainability' bandwagon, pressure test your ideas of earned revenue on paper rigorously before committing operational energy to pilots. As we have learned the hard way by spending a lot of time on generating revenue through action research, it could be a cause for huge distraction from the core mission and might end up not adding significant revenues either. Ask yourself: Is this earned revenue activity central or adjunct to the operational model? If not, your model is better off to be serviced by raised revenue rather than earned revenue.

5. What is the extent of say that is ok for a donor to have in our organisational affairs including in defining strategy? Is this mentioned in the MoU?

As long as the involvement is productive and furthering the mission, it is fruitful to deeply engage the donor in your strategic planning process. It is a novice mistake to make as an entrepreneur to assume that you (and your team) have all the answers about the system.

In some cases, donors do come with their agenda and might distract you from the core mission. See this risk early in the pre-sign off conversations and don't take the plunge, if you think the donor's mission isn't aligned to yours

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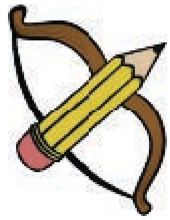
6. Is there a sample of MoU which PEN has with donors?

Our MoU with a donor is similar to the contract we have with PEs. The PE contracts have clauses combined from Ernst and Young and Draper Richards Kaplan Foundation contracts.



BOARD DEVELOPMENT

1. What are the roles of a Governance Board?

The role of a supporting structure like a Governance Board is to provide 3 key services to the growth of the company - direction, protection, and order. A Board provides the team with the opportunity to gain objective insight and wisdom through its experience. It is a risk to run an organization without validation and accountability mechanisms driven by a strong and effective Board.

1) Direction: Where do we go from where we are right now?

- Provide feedback on key corporate policies and strategic goals, focusing both on long and short term goals
- Steward the resources of the organization for the longer run - Budget cycle, investments and future capital needs

2) Protection: How do we cover the organization for future risks?

- Oversee matters critical to the health of the organization - fundamental matters such as the viability of its operational model, the integrity of its internal systems and controls, and the accuracy of its financial statements
- Evaluate and help manage risk

3) Order: How do we reign in the chaos that is generated for overwhelming challenges?

- Legal responsibility towards balance sheet and targets
- Authorize major financial transactions (for eg. over and above 5% of YOY budget)
- Mentor senior management, provide resources, advice and introductions to help facilitate major operational challenges

2. What are some of the specific duties of each Governance Board Member can assume?

While these are not completely exhaustive, these are the key functions to build a diverse Board with. Not only is it helpful to have diversity in terms of functional expertise, it will be helpful to balance your Board on parameter of gender, age and for-profit/non-profit experiences.

- **Technology**
- **Finance**
- **Development and HR**
- **Brand & Communications**
- **Sustainability**
- **International Fundraising**
- **Org building and Impact Evaluation**

3. How often should we engage the Board?

Collective Meetings: Once a quarter, the organization will be represented by senior leadership and other team members.

Meeting agenda:

- Progress to goals
- Discuss potential fundraising opportunities and support needed
- Feedback/approval on identified items

Meeting minutes need to be captured and circulated within 48 hrs post the meeting to the Governance board members and team members present at the meeting.

Apart from these, it is useful to approach and involve Board Members on a 1-1 basis for team interviews, key events and tackling key operational challenges. It is also extremely helpful to plan an extended retreat for the Board, once a year in an off site location.

INDUS ACTION'S PARTNER ENTREPRENEUR STORIES

The journey on the path of policy entrepreneurship is hard and filled with many ups and downs. But it is also a journey of great joy and satisfaction. While one day, you might spend waiting outside a Govt. official's office for five hours to get a two-minute meeting slot, there will be a time you will spend with a single parent who just got her child admitted to a prestigious school and thank you with tears of joy.

For one to embark on this journey knowing the 'why' is very important. Below are some of the 'why's of our current entrepreneurs

Sushanta

My journey started way back in 1989, when I left my final year of Graduation in Commerce and joined Graduation in Social Work. Due to lack of infrastructure in 1989 for a new college for social work, we used to sell movie tickets to the villagers in and around college and with that money we started constructing our college. Being the first cohort of social work graduates from Odisha, I felt very satisfied and my new journey had started. I completed both Graduation and Post Graduation in Social Work. Post my study, I was in the Development sector for almost 21 years mostly working with rural & tribal people across the country. After gaining enough experience I floated a Trust called "Development Initiative" working in the state of Odisha and Chhattisgarh for issues like Quality education, livelihood and women empowerment. Currently, we are working with 10,500 children and 200 community based organisations. In my professional life, I have a vision to come up with low-cost sustainable solutions to education issues of our country.

In this journey, Indus Action's Project Eklavya model impressed me and I felt that with minimum effort we can maximise impact on many young children to receive equitable access to better education.

Saleem

During my Gandhi Fellowship, I had taken part in a village immersion stint without any organizational support. Initially, people of the village were not ready to accept me because I was from a different state and community. But I started to meet people and explained to them the purpose of my village immersion. A few days later, I started offering free tuition to children of the village. Within four days, I was giving free tuition to almost all children. As a result, I was offered a place to stay and regular meals, which was a paradigm shift in their attitude towards me. It was also an aha moment for me because I was able to influence them without any kind of authority. This experience reinforced the belief that influence is possible without positions of authority.

While working in Kaivalya Education Foundation on Head Master and Government officers Leadership, I decided to work on policy implementation. When I was placed in Dungarpur, a completely tribal belt, this incident took place. Rajasthan government at that time was very much focused on implementation of CCE (Continuous Comprehensive Evaluation). While number of workshops were given by different stakeholders on CCE to the Head Masters and Teachers, the last set materials related to CCE were circulated by end of December, which was very frustrating for Head Masters and Teachers, as they had to fill the CCE records from June. From this experience, I decided that I want to work on policy implementation and systemic reform.

Raunaq

Hailing from a middle class family, the importance of education has always been stressed upon at home. Having been fortunate to study in the best of schools, colleges, and universities, I have always been a strong advocate of good education and believe that it broadens horizons of thinking, makes us aware, and allows us to dream. If we dream big we put in efforts to achieve the same. We may not achieve what we dream of as a kid, but in the process, we do end up being at a better position than we were, as a saying goes, "Aim for the stars, you will at least end up reaching the sky".

Experiences during my education (both Bachelors at National Institute of Technology, Rourkela and PhD at Nanyang Technological University, Singapore) have transformed me as an individual. The people that we are with, and the environment that we are in while studying, deeply impacts the educational experience we have.The belief and the willingness to contribute and create a change by empowering kids around, which enables them to dream big, is what motivated me to start work with implementation of RTE Sec 12, for free education in private schools.

Tarun

A few incidents have had a significant influence on my motivation to work on education and social inclusion in particular.

As a 17-year-old, during one of my escapades from the stress of JEE competitive exams, I met a tribal family in the Tirumala forests. In spite of finding me transgressing into a restricted territory, they had the generosity to share their lunch with me. My work continues to be a debt I offer to that overwhelming lunch of groundnut powder and rice.

During my graduation at HKS, my mother was proud and sad at the same time. Proud that I went onto to fulfill her deepest aspiration to have her children graduate from some of the best universities in the world with distinction.
A touch of sadness could not leave her, as she felt excluded in all the conversations with my classmates and their parents. It is a moment that is a powerful reminder of how much English as a language is both a social excluder and mobilizer within the same family.

On tough days, the imagery from these two moments, reminds me of why I do what I do. If I can shift the scales of justice to make opportunities more equitable for that tribal family's child or a woman like my mother, there is reason and meaning in waking up the next day to try again!

Avinash

Two incidents shaped my desire to work on inclusion. Back in my paternal village, for a family function, the entire village was invited, including its dalit residents. But the dalit invitees were not allowed entry into the house while everybody else were. I had to breakup my relationship with my ex-girlfriend because I am not a Brahmin and her parents wouldn't approve of anyone else. She ended up marrying one from her own caste.

In the first incident, I saw the discrimination as a third party, then I experienced discrimination as a first party. The unfortunate privilege of being the discriminator and the discriminated led me on my path to inclusion and the PEN network.