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# **TERMINAL EVALUATION OF GOVERNMENT OF NATIONAL CAPITAL TERRITORY OF DELHI (GNCTD) AND UNDP PROJECT INNOVATION SUPPORT FOR SOCIAL PROTECTION**



**APRIL 2014**

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# **INNOVATION SUPPORT FOR SOCIAL PROTECTION**

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# Contents

<b>Executive Summary</b>	<b>i</b>
<b>Chapter 1: Introduction</b>	<b>1</b>
Background	1
Purpose of the Evaluation	3
Structure of the Report	3
<b>Chapter 2: Evaluation Methodology</b>	<b>5</b>
Evaluation Phases	5
Key Evaluation Questions Using the OECD-DAC Criteria and Rating	5
Data Collection	6
Data Analysis	8
Limitations	8
<b>Chapter 3: ISSP Project Description – Part A</b>	<b>9</b>
Organisational Structure	9
Components	9
Logic Theory	11
Indicators to Assess Achievement	11
External Factors and Risk Mitigation Plan	11
<b>Chapter 4: ISSP Project Description – Part B</b>	<b>13</b>
Changing Contours of ISSP Project	13
Activities Conducted under ISSP	15
<i>Identification and Targeting of Beneficiaries</i>	15
<i>Proposed Composite Cash Transfer Pilot</i>	16
<i>Cash Transfer in lieu of Ration under Public Distribution System</i>	18
Dilli Annashree Yojna	20
Funds Utilisation	21
<b>Chapter 5: Survey Findings</b>	<b>23</b>
Profile of Beneficiary Households	24
Reasons for Availing Cash Transfer	24

Implementation of the Cash Transfer Pilot	24
Use of Cash Received	25
Adequacy of the Cash Received	25
Switching Back to PDS after Completion of Pilot	26
Willingness to Participate in Cash Transfer Scheme	26
Case Studies	26
<b>Chapter 6: Evaluation Findings</b>	<b>29</b>
Overall Rating of the Project	29
Relevance (Appropriateness of Concept and Design)	30
Efficiency (Project Implementation and Management)	30
Effectiveness of the Project	31
Impact of the Project	32
Sustainability of the Project	32
<b>Chapter 7: Conclusion and Recommendations</b>	<b>36</b>
Conclusion	36
Recommendations	36
<b>Annexures</b>	
Annexure 1: Terms of Reference	39
Annexure 2: List of Persons Interviewed	47
Annexure 3: Short Notes on Knowledge Products	48
Annexure 4: Survey Questionnaires	52
<b>List of Figures</b>	
Figure 2.1: Phase-wise Implementation of the Project's Terminal Evaluation	5
Figure 3.1: Organisational Structure of GNCTD-UNDP's ISSP Project	10
Figure 3.2: Logic Theory of the ISSP Project	12
Figure 4.1: Overview of ISSP Project's Activities	14
<b>List of Tables</b>	
Table 2.1: OECD-DAC Evaluation Criteria for Terminal Evaluation of ISSP	6
Table 4.1: Budget and Expenditure Details of ISSP Project	21
Table 5.1: Profile of Beneficiary Households of the Pilot Cash Transfer	24
Table 5.2: Reasons for Choosing Cash Transfer Scheme by Beneficiary Households	24
Table 5.3: Items Purchased with Cash Transfer	25
Table 5.4: Preferred Conditionality in Similar Future Schemes	26
Table 6.1: Overall Scores for the Project on Five Evaluation Parameters	29
<b>List of Boxes</b>	
Box 1.1: GNCTD-UNDP's Innovation Support for Social Protection Project – An Overview	1
Box 5.1: Case Studies of Cash Transfer Pilot in Raghubir Nagar, Delhi – Success Stories	27
Box 5.2: Case Studies of Cash Transfer Pilot in Raghubir Nagar, Delhi – Preference for PDS over Cash Transfer	28



# Acronyms

AC	Advisory Committee
APL	Above Poverty Line
ARD	Administrative Reforms Department
AWP	Annual Work Plan
BPL	Below Poverty Line
CHD	Community Health Department
CPAP	Country Programme Action Plan
DAC	Development Assistance Committee
DAY	Dilli Annashree Yojna
DV	Definitely Vulnerable
FDI	Family Development Index
FPS	Fair Price Shop
FVI	Family Vulnerability Index
GNCTD	Government of National Capital Territory of Delhi
GoI	Government of India
GRC	Gender Resource Centre
HH	Household
IDF	India Development Foundation
IDI	In-depth Interviews
IEC	Information, Education and Communication
INR	Indian National Rupee
ISSP	Innovation Support for Social Protection
JBSY	Janani Bal Suraksha Yojna
LPG	Liquefied Petroleum Gas
LRC	Livelihood Resource Centre
M&E	Monitoring and Evaluation
MC	Mission Convergence
MIS	Management Information System
MoM	Minutes of Meeting
NGO	Non-government Organisation
OECD	Organisation for Economic Co-operation and Development
PDS	Public Distribution System
PMU	Project Monitoring Unit
PSC	Project Steering Committee
SSS	Samajik Suvidha Sangam
ToC	Theory of Change
ToR	Terms of Reference
UCT	Unconditional Cash Transfer
UID	Unique Identification
UNDP	United Nations Development Programme







# Executive Summary

## Background

Encouraged by the results of a number of international and national experiments/schemes, the Government of National Capital Territory of Delhi (GNCTD) decided to introduce a conditional cash transfer programme to address various dimensions of poverty and vulnerability. The overall objective of the conditional cash transfer scheme was to achieve Millennium Development Goals (MDG) at a faster rate by alleviating the income deprivation of poor households and breaking the inter-generational transmission of poverty.

With support from United Nations Development Programme (UNDP), the GNCTD through its flagship initiative - Mission Convergence/Samajik Suvidha Sangam launched *Innovation Support for Social Protection* (ISSP) in December 2009. Initially the project was launched as '*Innovation Support for Social Protection: Institutionalizing Conditional Cash Transfers in Delhi*', but was later rechristened as 'ISSP' as the members of Project Steering Committee felt that cash transfers should not be seen in isolation but as one of the instruments of 'social protection'. Although the original title was changed, the preparation of 'framework for launch

of conditional (*later 'composite'*) cash transfer pilot' remained at the core of the project.

ISSP project ended in December 2012 and consistent with the evaluation policies of UNDP, IPE Global Private Limited – a leading development consultancy firm – has been contracted to conduct the terminal evaluation of the same. As per the Terms of Reference, this final evaluation needs to be a systematically structured exercise to generate and share experiences, document lessons learnt, and provide insight into practical knowledge gained in the due course of the project.

## Components of the ISSP Project

As per the proposal from Mission Convergence to UNDP India, the '*planned*' project activities under ISSP can be categorised in three stages. In the first stage, a quick assessment of the capacity of the GNCTD to adopt a conditional cash transfer programme was envisaged. Followed by that, the development of a roadmap for moving from the existing unconditional cash transfer mode to conditional mode and preparation of a roll-out plan for implementation of the conditional cash transfer

scheme were planned in the second and third stage respectively.

*However, during the course of project it was decided that both unconditional and conditional components should be merged and the proposed scheme shall be treated as a composite cash transfer. Additionally, it was decided to experiment with cash transfer as an option for the inefficient Public Distribution System. Consequently, activities under ISSP project can be summarised by the following two components:*

- **Design and implementation of a pilot for composite cash transfer scheme** involving the following sub-activities:
  - i. Identification and targeting of beneficiaries for availing benefits under various social sector schemes (*this can also be treated as independent component due to its multiple usage besides identification of beneficiaries solely for composite cash transfer*);
  - ii. Rationalisation of social sector schemes for implementation under ‘single window approach’
  - iii. Designing an appropriate cash package by developing an implementation plan for pilot composite cash transfer in selected districts of National Capital Territory of Delhi.
- **Design and implementation of a cash transfer scheme in lieu of ration** received from Fair Price Shops under Public Distribution System. The objectives of the aforementioned component are:
  - i. Understanding the implementation modalities of a cash transfer programme;
  - ii. Gauging people’s appetite for cash transfer which replaces existing kind-based scheme;
  - iii. Assessing end use of the cash delivered through cash transfer scheme to address widespread perception that cash may be mis-utilised;
  - iv. Evaluating the overall impact of cash transfer on the beneficiaries.

## Project’s Logic Theory

We have made an attempt to articulate the logic theory of the ISSP project in order to arrive at a clear understanding of the same. This theory summarizes the *planned and actual* inputs and activities under ISSP while linking it with the anticipated outputs, outcomes and impact. Also, it was envisaged that knowledge products that were to be prepared as a part of the project would be used for assessing the programme. However, the project lacked proper documentation and framing of the logic theory as evident from various records reviewed during the course of study. Consequently, identification of external factors (enabling and risk), preparation of risk mitigation plans, etc. were overlooked. It is pertinent to note that activities, outputs, outcomes and impact were elaborated in the Project Initiation Plan and Annual Work Plans but the pathways of change or causal linkages were not articulated.

## Focus of the Terminal Evaluation

This evaluation study has specifically focused on the earlier mentioned components of the ISSP project. Consequently, we have evaluated the activities under the envisioned pilots i.e. composite cash transfer and cash transfer in lieu of ration under PDS, of which latter was implemented. Here, it is important to note that all components of ISSP project cannot be measured under each of the five evaluation criteria, as that would not be viable. So, we have assessed each component of the project on its own merit and used appropriate criteria for evaluation.

## Approach, Methodology and the Findings of the Terminal Evaluation

This terminal evaluation was carried out in three phases viz.

- Inception
- Data Collection
- Report Writing and Dissemination

Methodology based on five parameters of Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) evaluation principle was adopted for this assignment. Accordingly, we have evaluated the activities/outputs under the project on the basis of *relevance, efficiency, effectiveness, impact and sustainability*. Information was gathered from the entire spectrum of supply-side stakeholders, implementers and beneficiaries

(i.e. by conducting rapid household survey of 60 female beneficiaries of Cash Transfer pilot in Raghubir Nagar), besides desk analysis of available documents pertaining to all components of the project.

*Based on the adopted approach and methodology, the composite rating accorded to the ISSP is 'satisfactory'. Parameter specific ratings and the justifications are provided below.*

Parameter	Descriptive Argument	Rating
<b>Relevance</b>	ISSP was formulated with an aim to address the needs of the vulnerable population of Delhi who were earlier excluded from the existing social security safety nets due to improper targeting and inefficiencies experienced in service delivery. The project fared well in terms in identification of issue, framing of objectives, soundness of approach, and relevance of the project to the priorities of GNCTD and UNDP's area of focus. Further, the activities under each of five outputs and outcomes/impact were clearly laid out in the Annual Work Plans and Project Initiation Plan. However, the pathways of change coupled with assumptions, risks, and other enabling factors were not identified.	5 (Highly satisfactory)
<b>Efficiency</b>	The efficiency of implementation and management arrangements of ISSP project is rated as ' <i>satisfactory</i> '. Sub evaluation indicators under this parameter included Quality and timeliness of inputs and activities (project was extended by an year but it delivered quality products); Extent of usage of local resources (platform provided by Gender Resource Centres was utilised); Appropriateness of the institutional arrangements for execution and implementation (implemented by a suitable entity 'Mission Convergence' and also Project Management Unit, Project Steering Committee, Advisory Committee were formed); and Adequacy of monitoring and reporting mechanisms (required more concerted effort)	4 (Satisfactory)
<b>Effectiveness</b>	The project provided a cost effective solution to identified inefficiencies of social sector schemes besides experimenting with innovative techniques in order to revamp the social protection scenario. The noteworthy assignments undertaken as a part of the project (i.e. final implementation plan, homeless survey) provided enough scope and framework for upscaling of schemes. However, certain impeding factors were identified such as delay in project activities due to need for approval from GNCTD, consensus of stakeholders, change of incumbency in implementing department among others which impacted overall effectiveness of the project	4 (Satisfactory)
<b>Impact</b>	The project led to the creation of a series of knowledge/research products deemed useful for future endeavours in similar line of thought. Another main objective of the project was to show how and to what extent various human development indicators react to a composite cash transfer intervention. But due to non-implementation of this pilot, the project was not successful in provide significant evidence on this front. The project's impact on target groups was evaluated to be satisfactory in terms of identification of beneficiaries under homeless survey and also reported positive impact on the beneficiaries of cash transfer pilot and Dilli Annashree Yojna. The degree of support given by the government in integrating the project objectives and goals into the development programmes/policies varied over the course of the project.	4 (Satisfactory)
<b>Sustainability</b>	The institutional arrangements (infrastructure, logistics) were found to be adequate but the financial implication of sustaining the objectives beyond the project duration or after close of UNDP funding was not ensured. The results achieved under project hold enough significance for country as a whole and other states.	3 (Moderately satisfactory)
<b>Composite score</b>		<b>4</b> <b>Satisfactory</b>

## Recommendations

The evaluation exercise provides us with an understanding to provide select recommendations for designing and implementing of similar initiatives in the future. A number of activities performed under ISSP were pioneer in nature (e.g. Homeless Survey, pilot cash transfer in lieu of ration under PDS in Raghubir Nagar, etc.). However, the core objective of launching a composite cash transfer pilot was with held despite execution of entire gamut of preparatory activities.

### Recommendations to UNDP

- *Articulation of logic theory:* A logic theory is required for a programme to achieve its output in an efficient and effective manner and to make its impact sustainable.
- *Assess appetite of the government:* Prior to initiation of a project or during the inception phase, it is crucial to ensure financial commitment from the government.
- *Proper documentation:* It is widely held that proper documentation (i.e. maintenance along with accessibility of documents) is the most feasible source of knowledge about the project's achievement against outputs and overall attainment of objectives. Thus,

documentation is needed to be done in a systematic manner.

- *Monitoring & supervision:* Ensuring proper monitoring and supervision of the project's planned activities is essential for achieving the envisioned goal.

### Recommendations to Government

Concerted efforts on the part of government of Delhi under the areas mentioned below could have resulted in more positive outputs, outcomes and impact of the project.

- *Aligning with national and state level priorities and long-term plan:* Prior to conceptualisation of any scheme, it is crucial for government to assess its alignment within the overall policy framework and planning agenda.
- *Undertake proper groundwork and build consensus at the top level:* The overhauling of implementing strategy of schemes require credible evidence in light of the prevailing region specific scenario.
- *Commitment of budgetary/financial support:* For the success of any similar scheme, the financial commitment is required as a first step. The entire exercise is rendered unproductive due to lack of required financial support during implementation stage.



# Chapter 1: Introduction

*This chapter gives a background of the assignment followed by purpose of study and structure of the present report.*

## Background

Social protection programmes involving conditional cash transfers have been successfully applied to address issues like social exclusion, inequality and poverty in many Latin American countries and are currently being tested in a number of African and South Asian countries. Under conditional cash transfers, entitlement holders/beneficiaries receive cash in return for fulfilling specific conditions.<sup>1</sup> Such programmes can address multi-dimensional poverty in the short run and prevent the depletion of human development gains in the long run.<sup>2</sup>

- 1 Conditional Cash Transfers (CCTs) are broadly defined as schemes that provide cash directly to poor households and/or individuals that fulfil specific conditions like meeting minimum attendance of children in schools, fulfilling a specified number of visits to health clinics, participating in immunization schemes, etc. Theoretically, a CCT scheme intends to improve human development in terms of specific outcomes (e.g. education, health, female empowerment, etc.) of a target group of beneficiaries by directly incentivising them to participate or avail or fulfil certain enabling condition.
- 2 According to UNDP Breakthrough Survey 2010, Conditional Cash Transfers instruments could provide countries with a powerful tool to accelerate progress towards achieving the Millennium Development Goals .

### BOX 1.1: GNCTD-UNDP'S INNOVATION SUPPORT FOR SOCIAL PROTECTION PROJECT – AN OVERVIEW

ISSP aims to provide technical and financial support for launching innovative social protection schemes through the following activities:

- Setting up a technical secretariat with an advisory group to support GNCTD
- Assessment of existing schemes and capacities
- Identification of pilot districts, potential beneficiaries and potential partners
- Developing the details and feasibility of the design for cash transfer instruments
- Development of monitoring, capacity development and other tools
- Development of a long-term programmes and road map to launch conditional cash transfers in selected districts including institutional arrangements
- Facilitate operational linkages with technical organisations such as UNDP's International 'Poverty Centre for Inclusive Growth' in Brazil; international experts as well as organisations researching/applying cash transfers in India and other countries.

**Source:** Terms of Reference for Terminal Evaluation of GNCTD-UNDP's ISSP Project



Encouraged by the results of a number of international<sup>3</sup> and national<sup>4</sup> experiments/schemes, the Government of National Capital Territory of Delhi (GNCTD) decided to introduce conditional cash transfers to address various dimensions of poverty and vulnerability. The overall objective of the conditional cash transfer schemes was to achieve Millennium Development Goals (MDG) at a faster rate by alleviating the income deprivation of poor households and breaking the inter-generational transmission of poverty.<sup>5</sup> Specifically, conditional cash transfers were aimed to achieve outcomes and impacts such as enhanced transparency and efficiency of social security schemes; improved school enrolment, attendance and educational performance; improved health and nutritional status of all members of poor households especially women and children.<sup>6</sup>

With support from United Nations Development Programme (UNDP), the GNCTD through its flagship initiative Mission Convergence (MC) launched *Innovation Support for Social Protection* (ISSP) in December 2009. Initially the project was launched as '*Innovation Support for Social Protection: Institutionalizing Conditional Cash Transfers in Delhi*'; but was later rechristened as ISSP as the members of Project Steering Committee felt that cash transfers should not be seen in isolation but as one of the instruments of 'social protection'.<sup>7</sup> Although the original title was changed, the '*concept of conditional (later composite) cash transfer*' remained at the core of the project. The overview of ISSP project is briefly outlined in Box 1.1.

*It is important to mention at this juncture that through ISSP project, UNDP supported GNCTD to experiment with innovative social protection methods/schemes, with initial focus on conditional cash transfer.*

*The specific objectives were identified and activities were planned under each of the five outputs, but as understood from the 'innovation' component - the genesis of this project was to provide support for experimenting with innovative initiatives thereby giving enough flexibility for alteration of the identified activities/outputs. Consequently, the evaluation exercise aims to assess the initiatives 'actually' undertaken as a part of the project rather than strictly assessing the achievement against the envisaged activities/outputs.*

It is important to understand that the GNCTD-UNDP supported ISSP was nested within the overall framework of the Mission Convergence, and thus not a standalone initiative. Mission Convergence (MC) also known as Samajik Suvidha Sangam (SSS) was formally launched on 14<sup>th</sup> August 2008, under the aegis of Administrative Reforms Department (ARD), to develop a holistic approach towards poverty reduction and inclusiveness through: (i) Integrating the existing social security schemes and delivering them through a unified structure (i.e. single window system) in a decentralized manner; and (ii) Empowering the communities to access the benefits of these integrated social security schemes.<sup>8</sup>

Furthermore, support to GNCTD for ISSP was aligned with the Poverty Reduction Programme (PRP) and Country Programme Action Plan (CPAP) through which UNDP has been assisting national and select state governments to implement poverty reduction measures. UNDP's assistance to ISSP was initially planned for two years (December 2009 to December 2011); but later extended for additional one year (December 2012).<sup>9</sup>

3 Bosla Familia in Brazil and Food for Education programme in Bangladesh.

4 GNCTD's own schemes like Ladli Yojna and other schemes of Government of India and state governments like Janani Bal Suraksha Yojna (JBSY), Apni Beti Apna Dhan, and Dhanalakshmi

5 Proposal on Conditional Cash Transfer Programme of the Mission Convergence, GNCTD (August, 2009).

6 Ibid.

7 Minutes of Meeting of Third Project Steering Committee, December 24, 2010

8 The mission attempts to expand the beneficiaries of social welfare schemes to those who are socially, geographically, and occupationally vulnerable. For this, administrative procedures were simplified for availing the benefits; its implementation and service delivery was strengthened by the use of information technology and partnering with civil society organisations. <http://www.missionconvergence.org> (Accessed on 27th November, 2013)

9 Request for Proposal, UNDP: 'Terminal Evaluation of Government of National Capital Territory of Delhi (GNCTD) and UNDP Project – Innovation Support for Social Protection', June 25, 2013.

ISSP project ended in December 2012 and consistent with the evaluation policies of UNDP, IPE Global Private Limited – a leading development consultancy firm– has been contracted to conduct the terminal evaluation of the project. As per the Terms of Reference (ToR), this final evaluation needs to be a systematically structured exercise to generate and share experiences, document lessons learnt, and provide insight into practical knowledge gained in the due course of the project.

## Purpose of the Evaluation

*At the outset, it must be mentioned that the contours of ISSP project has evolved during its entire period of existence. This terminal evaluation has noted the programme's original line of thinking and assessed the activities that were actually executed given the need of prevalent circumstances during implementation period of the project. A host of activities conducted under the ISSP have been explained in detailed manner in the later sections of the report (refer Chapter 3 and 4).*

As outlined in the ToR, IPE Global has pursued this terminal evaluation of the ISSP project focusing on four key objectives:

- Evaluation of the results and impacts, including an assessment of sustainability;
- To provide a basis for decision making on actions to be taken post-project;
- To assess the effectiveness and efficiency of resource use; and
- To document, provide feedback on, and disseminate lessons learned.

## Structure of the Report

This report is organised into the following chapters:

- **Chapter 1: INTRODUCTION**  
*Chapter 1 gives a background of the assignment followed by purpose of study and structure of the present report.*
- **Chapter 2: EVALUATION METHODOLOGY**  
*Chapter 2 elucidates the adopted methodology for the evaluation including sources of data collection, data analysis and limitations.*
- **Chapter 3: ISSP PROJECT DESCRIPTION (PART A)**  
*Chapter 3 describes the ISSP Project encompassing organizational structure, components, and logic theory.*
- **Chapter 4: ISSP PROJECT DESCRIPTION (PART B)**  
*Chapter 4 elucidates the ISSP Project's activities conducted under the project.*
- **Chapter 5: SURVEY FINDINGS**  
*Chapter 5 presents findings of field survey conducted for beneficiaries of Cash Transfer pilot in Raghubir Nagar.*
- **Chapter 6: EVALUATION FINDINGS**  
*Chapter 6 discusses evaluation findings based on the five parameters of Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) criteria.*
- **Chapter 7: CONCLUSIONS AND RECOMMENDATIONS**  
*Chapter 7 discusses key concluding findings along with select important recommendations.*



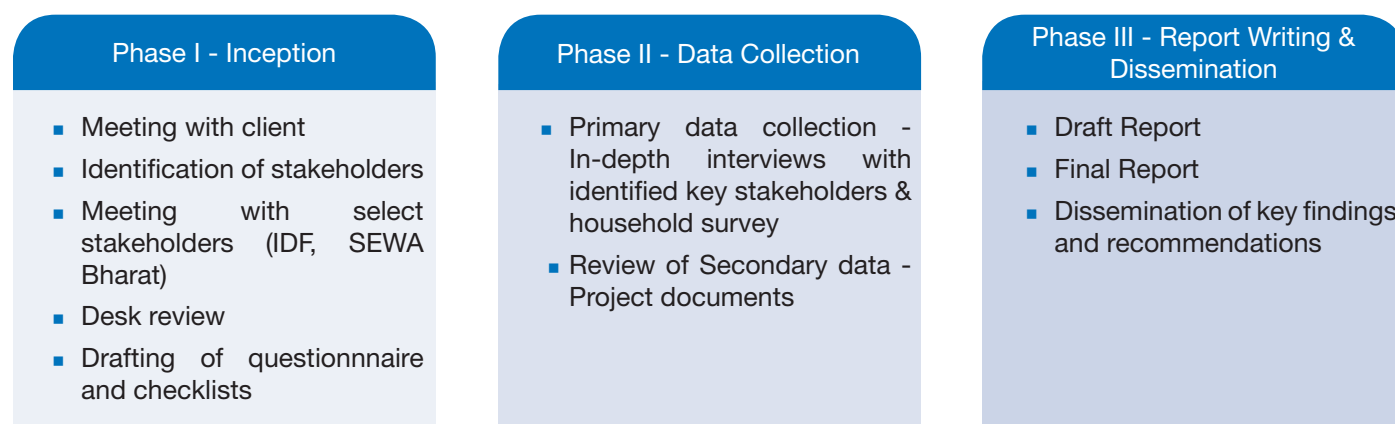


# Chapter 2: Evaluation Methodology

*This chapter briefly discusses approach and methodology, which is based on the five parameters of OECD-DAC principle. Key evaluation questions, data collection process together with limitations of the assignment are also given.*

Economic Co-operation and Development (OECD) - Development Assistance Committee (DAC) criteria. The entire period of evaluation study is divided into three phases as presented in Figure 2.1.

**FIGURE 2.1: PHASE-WISE IMPLEMENTATION OF THE PROJECT'S TERMINAL EVALUATION**



## Evaluation Phases

This section outlines the approach and methodology adopted by IPE Global for the terminal evaluation of GNCTD-UNDP's ISSP project. Aligned with the requirements of the Terms of Reference and technical proposal submitted to UNDP India, this evaluation exercise has been carried out as per Organisation for

## Key Evaluation Questions Using the OECD-DAC Criteria and Rating

Using the five point OECD-DAC methodology, this evaluation attempts to answer a host of questions linked with the key components of ISSP – targeting and identification of the beneficiaries; designing of

**TABLE 2.1: OECD-DAC EVALUATION CRITERIA FOR TERMINAL EVALUATION OF ISSP**

Parameter	Area of enquiry ( <i>illustration only</i> )
<b>Relevance</b>	<ul style="list-style-type: none"> <li>Whether the objectives of ISSP project are relevant or valid in the present context?</li> <li>Were the undertaken activities consistent with the overall aim of the project?</li> <li>Were activities and outputs of ISSP consistent with the intended impact (i.e. mainly institutionalization of composite cash transfer and cash transfer in lieu of ration under PDS) of the same?</li> </ul>
<b>Efficiency</b>	<ul style="list-style-type: none"> <li>Whether activities were undertaken in a cost efficient manner and culminated successfully in the given time frame?</li> <li>Were other alternatives explored prior to selection of implemented interventions?</li> </ul>
<b>Effectiveness</b>	<ul style="list-style-type: none"> <li>To what extent the envisaged objectives (i.e. mainly targeting and supply side interventions for initiation of composite CT) of the project were achieved?</li> <li>Whether factors influencing the extent of achievement of the project's objectives were assessed at any stage of the project?</li> </ul>
<b>Impact</b>	<ul style="list-style-type: none"> <li>What are the concrete results of the project which has made visible impact?</li> <li>What are the impacts of the project on the end beneficiaries?</li> </ul>
<b>Sustainability</b>	<ul style="list-style-type: none"> <li>To what extent benefits of the project are sustainable post the exit of donor support?</li> <li>Assessment of the mechanism developed for sustaining the interventions, if any.</li> </ul>

composite cash transfer pilot; and implementation of the pilot cash transfer in lieu of ration under PDS. The above-mentioned key questions (*Table 2.1*), although not exhaustive, were adhered to in the preparation of in-depth interview schedules with various stakeholders including survey tool for household level data collection. Information was gathered from the entire spectrum of supply-side stakeholders, implementers and beneficiaries, besides desk analysis of available documents pertaining to all components of the project. *It is important to mention here that all components of the ISSP project may not be measured under each of the five criteria, as the same is not feasible. So, we have assessed each component of the project on its own merit and taken decision on which of the five criteria the same can be evaluated. (for details refer Chapter 6)*

The answers or responses to the aforementioned five parameters were evaluated separately in a subjective manner and rated on the following scale (as also indicated in the ToR). On the basis of these individual ratings, a composite rating has been assigned to the ISSP project<sup>10</sup>.

- **Highly Satisfactory (HS):** The project has no shortcomings in the achievement of its objectives [*Score 5 in 0/5 scale*]

- **Satisfactory (S):** The project has minor shortcomings in the achievement of its objectives [*Score 4 in 0/5 scale*]
- **Moderately Satisfactory (MS):** The project has moderate shortcomings in the achievement of its objectives [*Score 3 in 0/5 scale*]
- **Moderately Unsatisfactory (MU):** The project has significant shortcomings in the achievement of its objectives [*Score 2 in 0/5 scale*]
- **Unsatisfactory (U):** The project has major shortcomings in the achievement of its objectives [*Score 1 in 0/5 scale*]
- **Highly Unsatisfactory (HU):** The project has severe shortcomings in the achievement of its objectives [*Score 0 in 0/5 scale*]

## Data Collection

In the second phase of this evaluation exercise, data was collected from both secondary and primary sources for qualitative and quantitative analysis. The sources and methods for data collection are outlined in following paragraphs.

- **Collection of secondary data** – The review of secondary data and information were crucial to this study. To gain an overall understanding,

10 DAC Criteria for Evaluating Development Assistance (www.oecd.org/dac/evaluation)

preliminary desk assessment of the available documents was done during the inception stage.<sup>11</sup> However, in-depth review of entire set of project documents, as listed below, has been done in Phase II of the study.

- Request for Proposal (RfP) on Conditional Cash Transfer Programme of the Mission Convergence, GNCTD (August, 2009)
- Proposal submitted by UNDP, New Delhi to GNCTD for Technical and Financial Support on Institutionalizing the Conditional Cash Transfer Initiative
- Project Initiation Plan
- Annual Work Plans for 2010, 2011 and 2012
- Minutes of Meetings of Project Steering Committee (all 10 meetings)
- Minutes of Meetings of Advisory Committee (all 4 meetings)
- A Consultation Workshop Report: Family Vulnerability Index and Implementation Plan of Conditional Cash Transfer Programme in Delhi, held on January 27th -28th, 2011
- Report on Rationalisation of Social Sector Schemes (prepared by IDF)
- Report on Preparation of Family Vulnerability Index (prepared by IDF)
- Draft document on Implementation Plan (prepared by IDF)
- Report of Homeless Survey (published by UNDP)
- Documents for CT Pilot in Raghbir Nagar – Proposal submitted by SEWA Bharat; Baseline, Mid-line and End-line reports; other relevant documents
- Information related to Dilli Annashree Yojna (Newspaper articles, Minutes of Meetings of Tenth Project Steering Committee)
- Other relevant reports and documents (like ‘Addressing Urban Poverty – Relevance of Conditional Cash Transfers, UNDP, December 2009’)

11 Please refer the “Inception Report – Terminal Evaluation of UNDP and GNCTD Project – ISSP”, submitted in December 2013.

■ **Primary data collection:** Review of secondary information has been supplemented with first-hand information/data gathered from supply-side stakeholders, implementers and beneficiaries of the cash transfer pilot in Raghbir Nagar<sup>12</sup>.

- **In-depth Interviews (IDI)** – IDIs with stakeholders and implementers has been conducted to gather information pertaining to varied components of the project together with the extent of achievement of objectives and limitations posed by the project. In particular, in-depth interviews were conducted with respective personnel of: UNDP, GNCTD (mainly Administrative Reforms Department and Mission Convergence), India Development Foundation (IDF), Community Health Department (CHD) of St. Stephen’s Hospital, SEWA Bharat, Gender Resource Centres (GRC), and Public Distribution System - Fair Price Shop owners.
- **Beneficiary survey in Raghbir Nagar** – As mentioned in the proposal, beneficiary feedback regarding experience of pilot cash transfer (in lieu of ration under PDS) was gathered by conducting a household survey. Entire set of activities associated with survey including determination of sampling frame, preparation of data collection tools, field testing, conducting interviews, & case studies, managing logistics, etc., was undertaken by the IPE Global’s in-house research team. A list of 100 households, who received the cash transfer under the pilot, was made available by SEWA Bharat<sup>13</sup> to IPE Global. Following are the steps taken to conduct beneficiary survey:
  - **Size of sample:** It was proposed to cover maximum out of total 100 families depending on the prevailing circumstances. Besides these 100 families, households who got bank accounts under the pilot,

12 Beneficiary survey has been done for households who received cash transfer in lieu of ration under PDS in Raghbir Nagar locality of West District of Delhi. Though the cash transfer pilot was designed for three localities but implemented in only one location (i.e. Raghbir Nagar).

13 SEWA Bharat was involved in implementing the pilot.

households who were offered but did not opt for cash transfer, PDS Fair Price Shop owners and community members were also covered using snowball sampling method. Data collected through this convenient sampling was gathered for drawing inferences. The actual size of the sample and other additional information are provided in chapter five.

- **Selection of households:** Purposive sampling method was used for selection of households, but additionally it was also dependent on the availability of the listed beneficiary households in the locality. It was found that few of the listed families could not be located by the survey team (mainly due to migration), which had led to a slight reduction of the sample.
- **Case Studies:** Although this rapid household survey was conducted in quantitative mode; but few in-depth qualitative case studies were also prepared.<sup>14</sup>
- **Broad Information Heads:** Information collected through this rapid household survey was categorised under the following broad heads: background characteristics; demographic profile; occupation; feedback on cash transfer; use of cash; experience with cash transfer scheme; operation of bank accounts; and feedback from households indicating preference for similar scheme.

## Data Analysis

Based on the data gathered from the field and available secondary documents, both qualitative and quantitative analysis was conducted. However, a substantial portion of the analysis was qualitative. These qualitative findings as derived from project documents/reports, in-depth interviews/discussions and feedback received during rapid household survey were assessed based on DAC's

five evaluation principles, supplemented with quantitative information sourced by household survey.

## Limitations

The limitations of this study, mainly pertain to collection of information/data, which in turn affected the findings and are listed below:

- Due to unavailability of select key personnel (because of transfer and retirement), some of the interviews originally planned could not take place;
  - For example, the key person involved from SEWA Bharat in implementing the cash transfer pilot in lieu of ration under PDS in Raghubir Nagar was relocated from Delhi
  - Almost all the senior government officials associated with this project were either transferred or select few retired from respective positions.
- Lack of institutional memory was noticed due to significant gap between closure of the project (December 2012) and time-period for conduct of interviews and field work for this terminal evaluation (December 2013 – January/February 2014).
- Project related documents were available in scattered manner spread over several stakeholders. Although the study team was able to gather majority of the same, it was unable to access certain important documents like Final Implementation Plan (available with Mission Convergence)<sup>15</sup>
- IPE intended to survey all the 100 families but non-availability of the same (mainly due to migration) led to reduction in sample size for the study.

<sup>14</sup> These case studies were prepared in 'most significant case' mode as used in standard qualitative studies. As required by the evaluation ToR, two of the cases are treated as 'success cases'.

<sup>15</sup> Difficulty in tracing relevant files was the reason cited for non-availability of Final Implementation Plan and other final reports/documents submitted to Mission Convergence, Administrative Reforms Department.



# Chapter 3: ISSP Project Description–Part A

The description of ISSP project is provided in the present and following chapter i.e. chapter 3 and 4. This chapter provides a brief description of the ISSP by outlining its organizational structure, components, and logic theory. Alongside, a short description of the project's indicators (i.e. planned inputs, activities and anticipated outputs along with the expected outcomes and impact), and external factors that may have impacted the project results are also included.

## Organisational Structure

As discussed earlier in Chapter 1, the ISSP project was led and guided by the GNCTD's Administrative Reforms Department through Mission Convergence and direct implementation support was provided by the UNDP-India (see *Figure 3.1*). The GNCTD designated a State Project Director(i.e. Principal Secretary of Administrative Reforms Department), whose responsibility was to provide overall guidance and direction to the project. Additionally, a Project Management Unit (PMU) was set up, which was headed by a Project Manager for co-ordination and management of routine activities.

To oversee the project, a Project Steering Committee (PSC) was set up comprising designated representatives from GNCTD, UNDP and eminent persons with experience in conditional cash transfer in the capacity of 'outside members/ subject experts'. The PSC was jointly chaired by representatives from GNCTD and UNDP. The project manager was responsible for preparing detailed activity and monitoring plan based on budgeted Annual Work Plan and submitting the same through the project director, to Project Steering Committee. Another committee was formed under the Project Management Unit i.e. the Advisory Committee which comprised of representatives from Planning Commission, UNDP, other UN agencies, GNCTD, respective institutions of Government of India (GoI), and other subject experts. The purpose of this group was to review the status of the project and provide guidance on the proposed action plan.

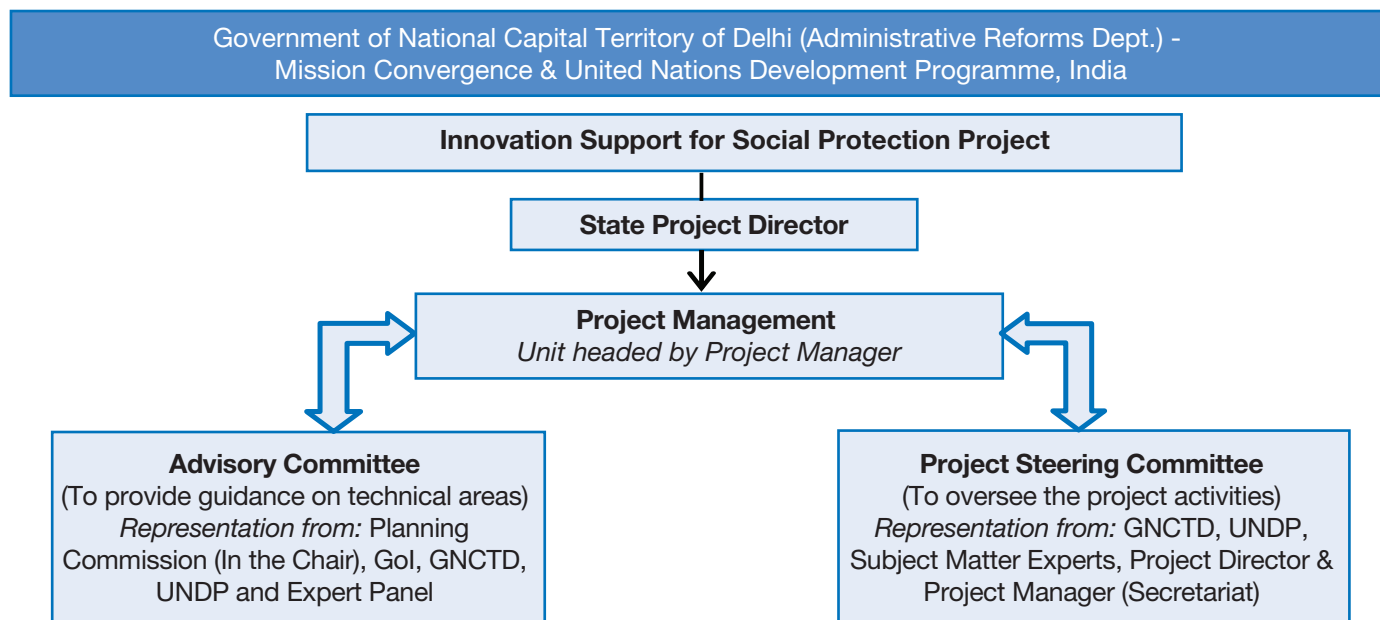
## Components

### Planned and Actual Components

As per the proposal from Mission Convergence to UNDP-India, the *planned project activities* under ISSP can be categorised in three stages. In the first stage,



**FIGURE 3.1: ORGANISATIONAL STRUCTURE OF GNCTD-UNDP'S ISSP PROJECT**



a quick assessment of the capacity of the GNCTD to adopt a conditional cash transfer programme was envisaged<sup>16</sup>. Followed by the development of a roadmap<sup>17</sup> for moving from existing unconditional cash transfer mode to conditional mode; and preparation for a roll-out plan for implementation of the conditional cash transfer scheme were planned in the second and third stage respectively.

However, during the course of project it was decided that both unconditional and conditional component should be merged and the proposed scheme shall be treated as a composite cash transfer. Also, the concern pertaining to Public Distribution System was highlighted and thereafter it was decided by Project Steering Committee members to experiment

with an alternative option of cash transfer.<sup>18</sup> Consequently, the *actual activities* under ISSP project can be summarised mainly by the following two components:

- **Design and implementation of a pilot for composite cash transfer scheme**

Following are the activities performed in this context:

- i. Identification and targeting of beneficiaries for availing benefits under various social sector schemes (*this can either be treated as independent component due to its multiple usage or solely for identification of beneficiaries for composite cash transfer*);
- ii. Rationalisation of social sector schemes for implementation under 'single window approach'
- iii. Designing of proper cash package by developing an implementation plan for pilot composite cash transfer in selected districts of GNCTD.

- **Design and implementation of a cash transfer scheme in lieu of ration** (e.g. wheat, sugar, etc.) received from Fair Price Shops under Public Distribution System.

16 Activities planned in this stage included assessment of the existing social sectors schemes in Delhi in terms of efficiency in targeting, transparency in implementation, scope for rationalisation, etc. Alongside, public expenditure reviews for social sector in the state, identification of beneficiaries for the proposed schemes using existing 'vulnerability' records, development of grievance redressal framework were also strategized.

17 Here various activities were planned to be conducted including - Resource mapping (health, education, food etc.); Assessment of Public Private Partnership (PPP) for strengthening the supply side especially health and education; Development of tracking indicators and results based Monitoring & Evaluation (M&E) system; Conditionality planning with a vision of social protection; Designing systems for capacity building of the target communities; and Development of exit policy.

18 Concerns of PDS were also discussed in Mission Convergence Proposal to UNDP, 2013.

This terminal evaluation of ISSP project has specifically focused on the aforementioned two components. *Consequently, we have mainly evaluated the targeting and identification part of the project, the activities under the envisioned composite cash transfer pilot; and cash transfer pilot (cash in lieu of ration under PDS).*

## Logic Theory

We have attempted to articulate the logic theory of the ISSP project in order to arrive at a clear understanding of the same. (see Figure 3.2) This theory summarizes the planned and actual inputs and activities under ISSP and links it with the anticipated outputs, outcomes and impacts. Explaining the project's logic chain enables us to evaluate the project from the following twin lenses:

- Whether the programme's planned theory was correctly specified which in turn affected the achievement of the project i.e. *assessment of the 'theory success' or 'theory failure'*;
- Whether the programme's activities were implemented as per the plan leading to the intended outputs, outcomes and impacts i.e. *assessment of 'implementation success' or 'implementation failure'*.

In the context of ISSP, evaluation of logic chain pertaining to above-mentioned 'theory' and 'implementation' criteria is not of much relevance due to highly flexible nature of the project.

## Indicators to Assess Achievement

Based on our understanding of the project from available documents (mainly Mission Convergence's proposal to UNDP and Annual Work Plans for all 3 years), the Logic Theory is explained on the following page. It is pertinent to mention that none of the

accessed project-related documents had explicitly articulated the project's logic theory. Also important to note that the theory articulates the indicators to measure the achievements attained under the project. As per the available documents, ISSP project's achievements envisaged to be measured by:

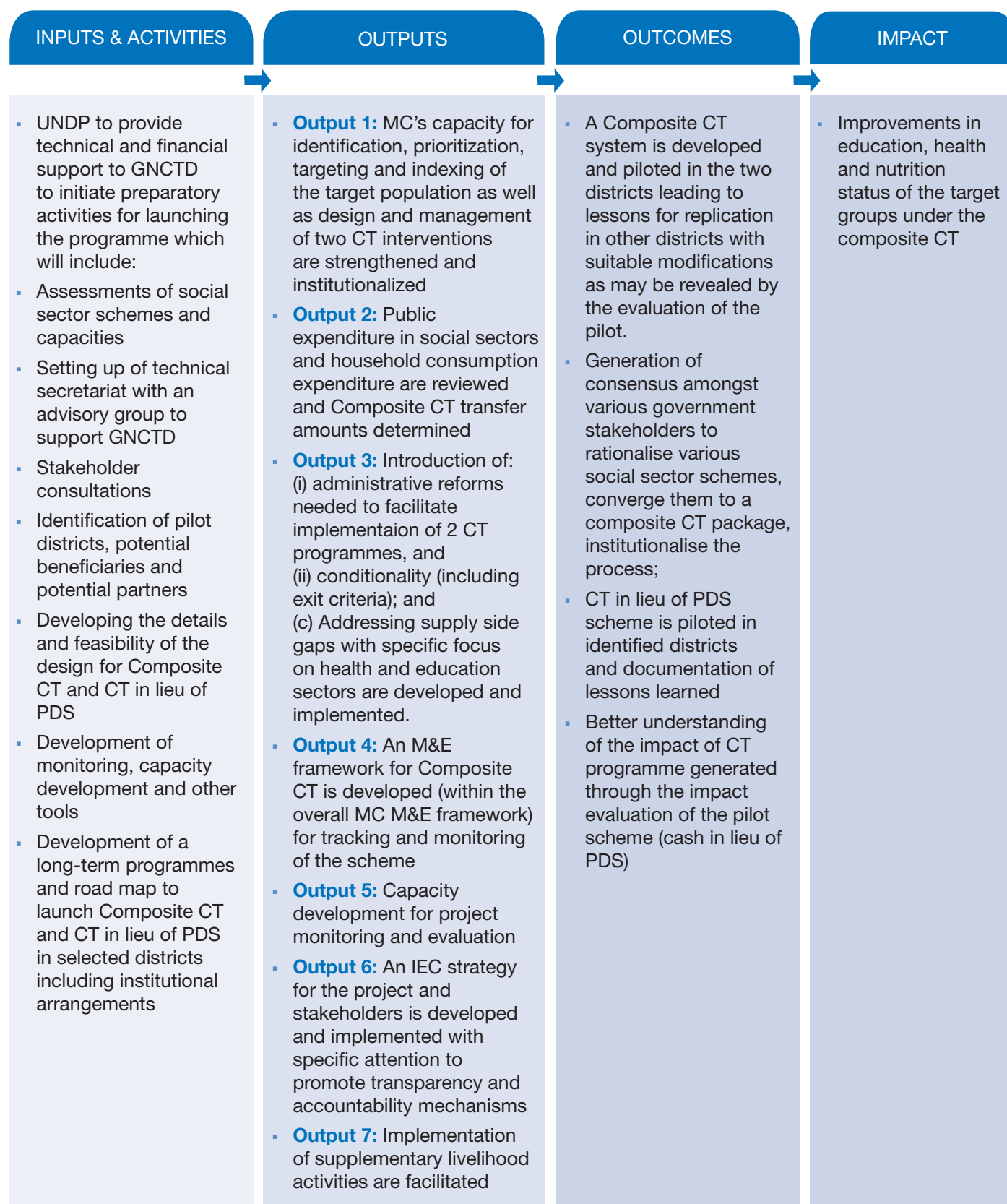
*"At least two knowledge products documenting the challenges, lessons learnt from the activities conducted under the components of the project and policy responses of the implementation process are developed, reviewed and validated."*

## External Factors and Risk Mitigation Plan

Additionally, the theory should also identify the external factors (risks or enabling factors) that may influence the achievements of the ISSP and indicate a fool-proof risk mitigation plan. Ideally, identification of external factors and associated mitigation plan should be prepared during the conceptualization of a project. On the basis of our understanding in an *ex-post* sense, we must mention that the ISSP project has faced certain external and internal risks which were very similar to many donor funded projects that IPE Global has reviewed in India or outside:

- *Lack of strong political will during the entire life span of the project;*
- *Commitment regarding budgetary implications of a project (especially in case of scaling-up) by the political decision makers was not satisfactory;*
- *Gap in planning to ensure sustainability of the initiative after closure of the project;*
- *Inadequacy of proper planning to institutionalize the process of the project (especially the knowledge generated).*

**FIGURE 3.2: LOGIC THEORY OF THE ISSP PROJECT**



**Note:** In this figure CCT refers to Conditional Cash Transfer and CT refers to Cash Transfer





# Chapter 4: ISSP Project Description–Part B

*The present chapter is an extension of the previous one. Here, detailed description of ISSP's undertaken activities is presented which is based on desk review of project related wide array of documents and consultative meetings with stakeholders.*

## Changing Contours of ISSP Project

As can be understood from the various stages and components of the ISSP project explained earlier, the thinking underlying the project's objectives and implementation modalities were of dynamic nature. Initially, GNCTD (Mission Convergence in particular) envisaged to experiment with the concept of a conditional cash transfer scheme that would lead to overall improvement in health, education and food & nutrition status of the deprived section of Delhi by enhancing transparency and efficiency in social security programmes. It was felt that various public social sector schemes operational in the state were targeting and delivering on different human development aspects separately and consequently, there was absence of convergence among these schemes and service providers. The government of Delhi through Mission Convergence envisaged to

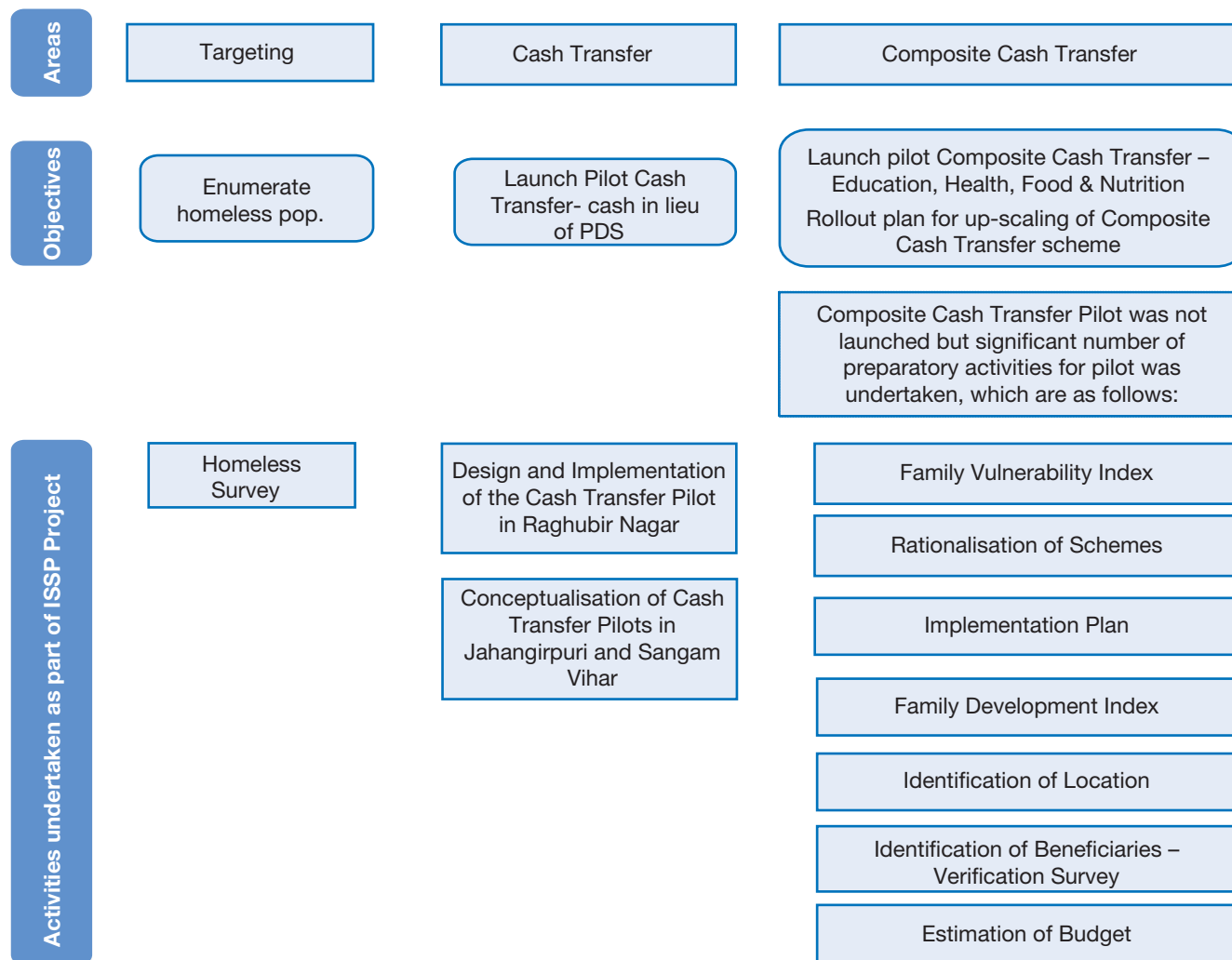
break this “silo” approach of the programme delivery and thus decided to rationalise existing social sector schemes and to build a conditional cash transfer programme for delivering collective monetary benefits to the targeted families through a ‘single window system’.

Over the due course of time, GNCTD realised that both conditional as well unconditional social sector cash transfer schemes operational under various departments should be brought under convergence approach.<sup>19</sup> Thereafter, GNCTD's thinking changed from a single window conditional cash transfer to a single window composite cash transfer that incorporated both conditional and unconditional components. Subsequently linked with this, as explained earlier, the resources for ISSP were devoted to:

- Identification and targeting of potential beneficiaries for the planned composite cash transfer scheme;

<sup>19</sup> For example, Janani Bal Suraksha Yojana (JBSY) which promotes safe motherhood is a conditional cash transfer schemes where conditions are use of facility-based antenatal and postnatal maternal and child care and institutional delivery. Other examples conditional cash transfer schemes are Ladli Yojna, Dhanalakshmi, and Apni Beti Apna Dhan. On the other hand, National Old Age Pension Scheme (NOAPS) is unconditional cash transfer scheme.

**FIGURE 4.1: OVERVIEW OF ISSP PROJECT'S ACTIVITIES**



- Planning for a pilot composite cash transfer in a select district of Delhi; and
- Development of an implementation plan for scaling-up of composite cash transfer scheme.

Alongside this (also briefly discussed earlier), GNCTD wanted to address the widespread discontent regarding the service delivery condition under the Government of India's Public Distribution System<sup>20</sup>. Using the platform created through ISSP, GNCTD planned for a pilot unconditional cash transfer in lieu of entitlement of ration under PDS with the following objectives:

- To gain understanding about the implementation modalities of a cash transfer programme;
- To gauge people's appetite for cash transfer scheme which replaces existing kind-based (food) scheme;
- To assess end use of the cash delivered through cash transfer scheme to address widespread perception that cash may be mis-utilised;
- To evaluate the overall impact of a cash transfer on the beneficiaries.

Given this backdrop, the evaluation exercise has analysed the chain of events and activities (see *Figure 4.1*) undertaken as part of ISSP project and drawn conclusions respectively.

<sup>20</sup> GNCTD's concern pertaining to PDS was also highlighted in the proposal to UNDP.

## Activities Conducted under ISSP

### Identification and Targeting of Beneficiaries

Identification and targeting of potential beneficiary households for the composite cash transfer programme was an important component of the ISSP and thus deserved separate analysis. It is to be noted that the identification process was started even before the commencement of ISSP (through the Vulnerability Survey) and further strengthened during the project period. The following paragraphs provide description of our observations on this component.

**Vulnerability Survey:** GNCTD recognized the need to undertake proper identification of the deprived inhabitants in the city. While a large part of the 'poor' population in Delhi would not qualify to have the traditional Below Poverty Line (BPL) status; it could however be labelled as being 'vulnerable'. The government has planned to shift its methodology of identifying the poor to a new approach in which the vulnerable population were recognized using proxy indicators of deprivation such as place of living, occupational and social vulnerability.

As there was no social protection scheme targeting this group of 'vulnerable' population, it was imperative for the government to find innovative ways to ensure that the deserving received benefits in an efficient, fair and transparent manner. Main objectives of the Mission Convergence in this regard were to:

- Generate a comprehensive beneficiary database that could be used by all the converging departments, based on a revised targeting methodology;
- Facilitate linkage between the identified target population and state government machinery in relation to scheme enrolment.

Thus, through a cabinet decision followed by an order from the Administrative Reforms Department (number 1421, dated 27.8.2008), the Mission Convergence/Samajik Suvidha Sangam was directed to undertake the exercise of identification

of the vulnerable population based on approved criteria through the Gender Resource Centres.<sup>21</sup>

The Community Health Department (CHD) of St. Stephen's Hospital was selected as Mother Non-Government Organisation (MNGO) and thus given the responsibility for undertaking the survey work. This survey intends to form the basis for enrolment of beneficiaries for various social protection schemes thereby eliminating multiplicity of norms of enrolment. The field work was completed in three phases and covered a total of 12,64,293 households, out of which 3,23,983 were identified as 'most vulnerable' and 2,50,445 were tagged as 'vulnerable' households<sup>22</sup>. This vulnerable household database of the Mission Convergence was used later for identifying eligible households for the pilot composite cash transfer scheme.

**Homeless Survey:** Identification and targeting of the vulnerable households for inclusion in the composite cash transfer programme was further strengthened under ISSP through a survey of homeless people living in Delhi. The Vulnerability Survey did not cover homeless population, and to enumerate the same, field work was carried out during June 2010 to December 2010. Community Health Department of St. Stephen's Hospital was again appointed as mother NGO to coordinate this survey. The survey was conducted with the prime objective of identifying and enumerating the homeless citizens and to understand their demographic and socio-economic profile for better planning and delivery of basic civic facilities. The total number of homeless people mapped in 2010 through this survey was 67,151.<sup>23</sup> As part of the survey, each identified homeless person was provided with a personal photo identity card and were also offered Unique Identification (UID) number registration.

21 Source: Samajik Suvidha Sangam - A Status Report; GNCTD

22 Department of Food, Civil Supplies and Consumer Affairs, GNCTD; <http://delhi.gov.in/wps/wcm/connect/3de06c804f8467b3b310b3132654ee81/108+Civil+Supplies.pdf?MOD=AJPERES&Imod=2017783985&CACHEID=3de06c804f8467b3b310b3132654ee81> (Accessed on 27 November, 2013)

23 Draft analytical report was received by ISSP Project Management Unit on 9th May, 2011.

ISSP has spent a total of ₹4.29 lac for homeless survey; and the entire work including preparation and submission of report took about 11 months. It is a pioneering work in a developing country context; and for the first time proper enumeration of the homeless people was done for the state of Delhi.<sup>24</sup> Consequently, it needs to be emphasised here that it would not be prudent to assess the cost-efficiency of the homeless survey, especially without any comparable benchmark from other states of India or other countries with similar characteristics.

## Proposed Composite Cash Transfer Pilot

As mentioned earlier, the modality of the project had changed from a conditional to a composite cash transfer under ISSP so as to encompass social sector schemes with unconditional component. However, the core objective of the project remained same i.e. launching of a pilot in a select district of Delhi, and based on the subsequent findings prepare an implementation plan and roll-out plan for scaling-up in other districts. The identification and targeting mechanism explained above was a necessary ingredient to this. However, this envisaged pilot could not be launched for various reasons (*described later*). *Consequently, this terminal evaluation is limited to a review of various initiatives undertaken for designing and planning for the pilot composite cash transfer under ISSP project.*

**Exposure Visit:** In order to study the modalities of successful conditional cash transfer programme, officials of GNCTD and UNDP organised an exposure visit to Brazil in April 2010. During the visit, officials studied different aspects of the *Bolsa Familia* (Family Allowance) programme, a successful conditional cash transfer scheme operational in the country since 2003. As evident from the minutes of the various Project Steering Committee meetings, experience from the visit had significant influence

on the designing of the ISSP project. The Mission Convergence's proposal to UNDP also highlights the significant achievements of this programme.

**Cost-benefit Analysis:** In the First Project Steering Committee meeting<sup>25</sup> it was also mentioned that a cost benefit analysis (including estimation of administrative costs) of the old system vis-à-vis the proposed new project was needed to guide the successful transition from kind based services to cash based services. However, such an exercise did not take place prior to commencement of activities pertaining to composite cash transfer programme or launching of the cash transfer pilot in lieu of entitlement under PDS. To be precise, this aspect was not dealt with in any of the accessed project-related documents.

**Planning and Designing – Knowledge Products:** The composite cash transfer pilot was initially proposed to be launched in mid-August 2010<sup>26</sup>. As a part of the preparatory task for the launch of the scheme, following research activities which planned and successfully executed:

- Rationalisation of Schemes – An Approach
- Summary Statistics of Delhi's Vulnerable Population
- A Multi-Dimensional Vulnerability Index
- Implementation Plan for Cash Transfer Scheme in Delhi

India Development Foundation, a premier research agency, was engaged by UNDP in July 2010 for preparing the aforementioned knowledge products including implementation plan. A consolidated draft report was submitted by the agency on 5<sup>th</sup> December, 2010.<sup>27</sup> These reports were accessed by us and summaries of the same are given in the Annex 3. Subsequently, 'A Consultation Workshop' was organised in January 2011 mainly to discuss the

24 Available literature suggests that issue of homelessness is seriously considered in most of the developed countries, especially in North America, Europe and Australia. Also, Article 25 of the Universal Declaration of Human Rights, adopted 10th December 1948 by the UN General Assembly has a specific mention about this. However, there exists little evidence on scientific enumeration of homeless people in developing or underdeveloped countries.

25 Source: Minutes of Meeting of First Project Steering Committee, March 03, 2010.

26 Source: Minutes of Meeting of Second Project Steering Committee, June 07, 2010

27 Source: Minutes of Meeting of Third Project Steering Committee, December 24, 2010

theoretical and statistical aspects of constructing a Family Vulnerability Index (FVI)<sup>28</sup> i.e. multi-dimensional vulnerability index and an Implementation Plan for the conditional cash transfer. Also, proposal for Rationalisation of Social Sector Schemes, preparation of Family Development Index (FDI) and other related issues were discussed and suggestions were provided. Participants of the consultative workshop included various government officials, civil society organisations, academicians, national level and international level social sector experts, etc.

Existing evidence suggested that there was change in the thinking about the project's cash transfer pilot, after this consultation workshop.<sup>29</sup> ISSP's Project Management Unit proposed a family allowance scheme with conditional and unconditional cash transfer to be named as Dilli Parivar Samriddhi Yojna<sup>30</sup>. Modification of the proposed pilot from conditional to composite cash transfer was undoubtedly influenced by the knowledge products including draft implementation plan prepared by IDF and discussions held at the workshop.

**Decision Making:** Beginning from the first quarter of the 2011-12, a number of decisions pertaining to composite cash transfer scheme were taken in a series of Project Steering Committee meetings, which mainly incorporated the following:

- **Finalisation of the location for the composite cash transfer pilot:** In a meeting chaired by then Chief Minister of Delhi, on April 06, 2011, East District was approved for the pilot.
- **Finalisation of the list of target beneficiaries for the composite cash transfer pilot:** The Mission Convergence had decided to use a 'Definitely Vulnerable (DV)' criterion on 1.35 lac

28 Family Vulnerability Index (FVI) was prepared by India Development Foundation (IDF) as more inclusive index for identifying vulnerable households in Delhi. This was prepared using the data from Vulnerability Survey and Homeless Survey; and it was argued to be better measure as compared to earlier indexing process used by GNCTD. Review of the methods used for these various indices are not within the scope of this evaluation; no comments are made on the same.

29 Minutes of Meeting of Fourth Project Steering Committee, April 5, 2011

30 There was absence of further details related to this scheme in any of the available documents.

potentially vulnerable families (as identified by Vulnerability Survey) living in East District to finalise the target list of beneficiary households for the composite cash transfer pilot. Mission convergence had identified just 7,818 DV households as possible target beneficiaries. Later using the same Vulnerability Survey data, IDF identified 49,351 'Definitely Vulnerable' households. Huge gap between these two estimates of potential beneficiaries existed because of adoption of different interpretations for educational and occupational vulnerabilities. For identification of potential beneficiaries, the Project Steering Committee decided to merge these aforementioned two estimates. Alongside, a rapid survey of the originally identified 7,818 DV families revealed that only 60% of households could be traced on the field. Consequently, a fresh Verification Survey for the 55,000 DV households (including 5,000 Homeless people) was conducted through 'GfK Mode' in January 2012 and consequently list of potential beneficiaries was finalised for the composite cash transfer pilot.

- **Livelihood Resource Centre (LRC):** In the initial stages of the ISSP, it was planned by GNCTD to create LRCs in the project locations in synergy with the Swarna Jayanti Shahari Rozgar Yojana (SGSRY), Gender Resource Centres, and other technical institutes to promote sustainable livelihood options for the targeted vulnerable households. However, this proposition was dropped at later stage of the project.<sup>31</sup>
- **Management Information System (MIS)/ Monitoring & Evaluation (M&E)/Information Education Communication (IEC):** The proposal to hire experienced agencies through public notice for promoting IEC activities for the proposed composite cash transfer pilot was approved in principle during the Fifth Project

31 It was decided that instead of setting-up LRCs, GNCTD would leverage the existing institutions dealing with livelihood programmes (e.g. Vocational Training provided through Delhi Skills Development Mission, involving NGOs like SEWA Bharat that were working on livelihood issues for the poor, etc.) Source: Minutes of Meeting of Fifth Project Steering Committee, July 13, 2011



Steering Committee meeting.<sup>32</sup> However, it was later decided that hiring of an IEC agency was not worthwhile prior to finalisation of the scale of the cash transfer pilot in East District.<sup>33</sup> Further, decision pertaining to development of M&E framework and formulation of MIS was dependent on the finalisation of list of beneficiaries, location, etc. However, members of Project Steering Committee had opined that the existing resources of Mission Convergence like the Gender Resource Centres should be utilised for monitoring and supervision.

- **Budgeting.** A Cabinet Note was prepared by the ISSP's Project Management Unit specifying budget requirement of ₹60 crore<sup>34</sup> for the composite cash transfer pilot in East District of Delhi for FY 2012-13. It was submitted to the State Project Director/Principal Secretary of the Administrative Reforms Department on March 12, 2012 for further action and approval. In the subsequent Project Steering Committee meetings, dissatisfaction was expressed about this financial implication due to absence of a detailed estimation of budget as based on a sound methodology.<sup>35</sup> As evident from the minutes of the Ninth Project Steering Committee (dated May 06, 2012) this budgeted amount was not approved and the process of launching the pilot and related follow-up activities were put on hold for an indefinite period.

## Cash Transfer in lieu of Ration under Public Distribution System

Given the deficiencies in the system, GNCTD under the wings of ISSP decided to experiment with the option of cash in lieu of entitlement under Public

Distribution System to study the attached benefits/ shortcomings. The unconditional cash transfer was not specifically envisaged as part of the project during the proposal stage; however, PDS was given significant focus therein. Due to the keen interest of the government of Delhi, it was one of the earliest activities which were undertaken as a part of the project.<sup>36</sup> This pilot was approved as a 'research project' to inform the government about available policy option and in particular deciding the future course of action with regard to PDS. Specific objectives of this pilot have already been explained in section 4.1.

**Cash Transfer Pilot in Raghurir Nagar – Design & Implementation:** This cash transfer pilot in lieu of ration under PDS was implemented for one year (January 2011 to December 2011) in Raghurir Nagar of West Delhi. SEWA Bharat was entrusted with the field work and other implementation responsibilities. The study was designed by IDF and later conducted data analysis for the same. For enrolment in the pilot, SEWA Bharat conducted an intensive IEC campaign in the identified localities of Raghurir Nagar; and 100 Below Poverty Line (BPL) families who had expressed interest were provided with the cash in lieu of fixed quota of ration provided under PDS. It is noteworthy to mention here that this was an unconditional cash transfer, where self-selected participants received ₹1,000 per month and their entitlement under PDS was withheld for one year. This cash amount was credited directly to the zero balance bank accounts which were opened in the name of the eligible female members of the families at the beginning of the project.

The design of the pilot was done in the form of Randomised Control Trial (RCT), where participant households were considered as 'Treatment' group and three 'Control' groups were created by randomly selecting households who were: (i) willing to participate but had received only bank account - not cash; (ii) willing to participate but had received

32 Source: Minutes of Meeting of Fifth Project Steering Committee, 13 July, 2011

33 Source: Minutes of Meeting of Sixth Project Steering Committee, September 23, 2011

34 Average monthly budget expenditure per household was estimated to be ₹1,674. Source: Minutes of Meeting of Seventh Project Steering Committee, December 5, 2011

35 'The Principal Secretary, Finance stated that the cabinet note does not ideally contain the detailed budget required for the pilot but only the financial implications.' Source: Minutes of Meeting of Eighth Project Steering Committee, March 27, 2012.

36 In the Second Project Steering Committee Meeting held on June 07, 2010, the SEWA proposal for conducting pilot cash transfer study in lieu of fixed quota of ration under Gol's PDS was approved.

neither cash or bank account; (iii) not willing to participate in the pilot. Moreover, 'Treatment' group households were provided necessary assistance in opening the bank accounts and also promised a smooth transition back to the old PDS system on completion of the pilot. Lastly, the impact of this pilot was measured using data collected from baseline, mid-term and end-line field survey.

The pilot faced some issues during the implementation process<sup>37</sup>; however in totality it was a successfully executed component of the project. It was able to generate some credible evidence about the hypotheses that were tested besides providing recommendations<sup>38</sup>. For example:

- The pilot showed that cash transfer did not adversely impact the food security condition of the families; rather participants witnessed increased consumption of nutritious foods (e.g. pulses, egg, fish, etc.).
- Improvement in efficiency was witnessed in the operation of the PDS Fair Price Shops in the locality due to positive spill over effect of the pilot.
- Also, there was tentative evidence of increased participation of women in household decision-making process.
- And most importantly, there was no evidence of increased consumption of alcohol or other 'non-merit' items in the treatment families, which was one of the biggest fears amongst anticipated uses of cash.

37 Example: Apprehensions related to non-renewal of ration cards, fear of open market price fluctuations, etc. led to some drop outs. Also, SEWA Bharat faced opposition from ration shop owners and immense hostility, resistance and negative publicity from civil society organizations who were against the distribution of cash in lieu of food.

38 On the basis of findings of the pilot, SEWA Bharat recommended the 'Policy of Choice' for the poor consumer. The policy would allow the BPL cardholders a choice of food and fuel (i.e. PDS), or cash. At the beginning of the year, a BPL cardholder would be asked whether she/he preferred cash or food. Families could alter their choice after a year and revert back to food and fuel from the PDS shops. This Policy of Choice was proposed to allow the poor to make the choice themselves, rather than advocacy groups making the choice for them; to maintain the current system with a few changed modalities; and to create pressures for both fair price shops and for the cash transfer system to work efficiently.

- The data did not produce any evidence of increased use of clean fuels like Liquefied Petroleum Gas, improvements in the school attendance, investment in income generating skills and better sanitary conditions amongst the treatment families.

#### **Cash Transfer Pilot in Sangam Vihar and Jahangirpuri–Design:**

Encouraged by the experience of the pilot in Raghubir Nagar (West Delhi), GNCTD decided to launch three or more similar pilots to strengthen the credibility of the findings as it was emphasised that the sample size of in Raghubir Nagar was not adequate for any significant policy making. In the Fifth Project Steering Committee meeting held in July 2012, the then Chief Minister of Delhi gave consent for the launch of conditional cash transfer pilots in three districts (North-East, North-West and Sangam Vihar). In this context, it was further decided that the cash transfer amount would be borne by the GNCTD, and administrative expenditure for these pilots would be adjusted in the allocated budget of the ISSP project.

On final note, two cash transfer pilots in Jahangirpuri and Sangam Vihar were planned and UNDP had in principle agreed to support the research and administrative component of the same.<sup>39</sup> Initially, it was decided that these two cash transfer pilots (in lieu of ration under PDS) would be implemented from December 2011 to December 2012 but later the launch was delayed to May 01, 2012. Two Non-Government Organisations – Swami Sivanand Memorial Institute and Development Facilitators were selected for implementation of the pilots in the two above mentioned localities; and Institute of Social Studies Trust (ISST) was hired to act as a research agency.<sup>40</sup> However, the Ninth Project Steering Committee meeting (held on May 24, 2012), withheld launching of these two pilots in the anticipation of clarity on the Government of India's

39 Revised Annual Work Plan (AWP) 2011 provisioned a budget of ₹10 lac for the same.

40 Household listing was complete in both Jahangirpuri and Sangam Vihar (over 3,000 in each area) and list of households willing to participate (approx. 1,000 in each area) in the pilot cash transfer in lieu of PDS ration was generated.

approach regarding Public Distribution System.<sup>41</sup> It is apt to mention here that apprehensions pertaining to taking up of cash transfer pilot were clearly evident in the First Project Steering Committee meeting<sup>42</sup>.

## Dilli Annashree Yojna

The significant results of ISSP are reflected in terms of successful completion of homeless survey, cash transfer pilot (cash in lieu of ration under PDS) in Raghbir Nagar and most importantly the launch of Dilli Annashree Yojna by Government of Delhi.<sup>43</sup> However, as evident from above discussion, select planned initiatives (e.g. pilot composite cash transfer in East District, pilot cash transfer in lieu of PDS in Sangam Vihar and Jahangirpuri) under ISSP were not implemented.

GNCTD launched a new food subsidy scheme called Dilli Annashree Yojana (DAY) on December 15, 2012 with a plan to cover up to two lakh most vulnerable households. In this scheme, the government provided food subsidy of Rs. 600 per month in the form of CT. This money was transferred directly in the Aadhar-enabled bank account of the senior most female member (women head) of the household.<sup>44</sup> This scheme was being implemented through the Gender Resource Centres.

41 'It was observed that the PDS in respect of BPL and AAY categories is a Gol program, and Delhi government has very little control especially as Delhi is not a producing state and deals only with distribution side.' Source: Minutes of Meeting of Ninth Project Steering Committee, May 24, 2012.

42 Minutes of Meeting of First Project Steering Committee, March 03, 2010: 'Reflecting on the comments whether PDS would be replaced by cash transfer, the chairperson clarified that this is not an option in the immediate run. The identification guidelines for the PDS are different from that of MC. Whereas the PDS follows Gol guidelines which are based on income criteria; MC has identified the poor and created a register of entitlement holders by using proxy indicators of vulnerability. Hence the use of MC database by the Food & Supplies department is a very big challenge that needs to be overcome before PDS can be proposed to be replaced by cash transfer. How to gradually integrate existing social welfare programs including the cash based ones with the conditional cash transfer system needs to be clarified over time. The project is likely to be successful if conditionalities are built over a period of time. The importance of well-designed scheme was emphasized'. This portrays clearly that despite initial inhibitions, the cash transfer pilot was taken-up.

43 Source: Minutes of Meeting of Tenth Project Steering Committee, December 28, 2012.

44 Plan Programmes for Up-liftment of Weaker Sections of The Society – Inclusive Growth, July 2013; GNCTD

As clearly evident from Tenth Project Steering Committee meeting (held on December 28, 2012) and from the stakeholders' discussions, Dilli Annashree Yojna was cited as the principle outcome of the ISSP project. This was validated by the fact that the selection of eligible households was based on the Vulnerability Survey conducted by the Mission Convergence and Final Implementation Plan submitted by UNDP provided the required framework for the scheme.

It is understood from the stakeholders' discussions that the proper linkages were not established between the project and Dilli Annashree Yojna. Regarding absence of linkages, following reasons were indicated during the stakeholder discussion:

- There was a gap of almost seven months between Ninth Project Steering Committee meeting (May 2012)<sup>45</sup> and launch of Dilli Annashree Yojna in December 2012. This led to information gap and thus proper direct linkage could not be established between ISSP and this scheme. Consequently, ISSP was not given its due for providing a framework for roll out of Dilli Annashree Yojna.
- Upcoming Delhi State Assembly Elections (held in December 2013) had possibly resulted in announcement of scheme by ruling government in hurried manner. Thus, Government of Delhi announced the scheme *sans* establishing proper linkage with ISSP.

Consequently, the future course of action for the Dilli Annashree Yojna was to be decided by the newly elected government after the state election in December 2013. And not surprisingly, the current interim government of Delhi under the President's rule has decided to do away with scheme from fiscal year 2014-15 and merge the same with the Right to Food programme.<sup>46</sup> The respective stakeholders,

45 Though Tenth Project Steering Committee meeting was held in December 24, 2012 (post launch of DAY), but no other activities were taken up during the period between Ninth and Tenth PSC meeting.

46 'Cash-for-food scheme to wind up – Beneficiaries To Be Brought Under Food Scheme Before Subsidy Stopped'; Times News Network, March 4, 2014. <http://timesofindia.indiatimes.com/city/delhi/Cash-for-food-scheme-to-wind-up/articleshow/31359868.cms>



institutes and academic bodies were left unaware of the contribution made by the ISSP during its three years of existence (2009-12) in making a concerted effort towards improving the service delivery condition of social protection schemes in Delhi.

## Funds Utilisation

For the ISSP project, UNDP allocated an amount of ₹50 million (£ 1 million) initially for two year

period, but later extended the term of the project by an additional year. The project expenditure was allocated mainly for household level pilot cash transfer surveys, research products, and establishment expenses. Out of the total allocated funds, the share of utilised amount was to the tune of ₹ 47.4 million (95%). Such high utilisation of allocated funds is a positive sign towards the successful completion of the majority of the envisaged activities under each of the outputs of the project.

**TABLE 4.1: BUDGET AND EXPENDITURE DETAILS OF ISSP PROJECT**

Particulars	£ (in million)	₹ (in million)
Total Budget of the Project	1	50
Expenditure Details of the Project:		
2009	0.01	0.40
2010	0.30	13.8
2011	0.29	13.4
2012	0.35	19.8
Total Expenditure of the Project	0.95	47.4
Total expenditure as % of total budget	95%	

**Note:** All the ₹figures are approximated as per monthly exchange rate of UNDP; Source: Minutes of Meeting of Tenth Project Steering Committee (cum Project Closure Meeting) held on December 28, 2012





# Chapter 5: Survey Findings

*This chapter presents the findings of field survey conducted with beneficiaries of cash transfer pilot (cash in lieu of fixed quota of ration under PDS) in Raghurir Nagar, West Delhi.*

As mentioned in previous chapter, IPE Global conducted a rapid household survey with beneficiaries of the unconditional cash transfer (in lieu of fixed quota of ration under PDS) in Raghurir Nagar. Objectives of this survey was to: (i) Ascertain reasons for participation in the cash transfer pilot; (ii) Obtain feedback on the implementation process of the cash transfer pilot; (iii) Learn how beneficiaries had utilized the cash; (iv) Gather evidence on adequacy of the cash amount; (v) Insight pertaining to experience of people while switching back to the PDS; and lastly (vi) Evaluate people's willingness to choose a similar type of scheme in the future.

Using the list of 100 beneficiary households as provided by the SEWA Bharat, IPE Global's in-house research team visited each specified address in the month of January 2014. Only 87<sup>47</sup> families could be traced from the provided listout of which in-depth

interviews were conducted with only 60<sup>48</sup> females on whose names' bank accounts were opened during the pilot. In this chapter, findings of this survey are presented followed by four short case studies, of which two can be treated as 'Success Stories' for the pilot. (see Box 5.1)

Besides 100 families in the treatment group, the field survey also intended to cover households in the control group. However, this objective could not be achieved as the list of these households was not available with SEWA Bharat, an implementing agency for cash transfer pilot. In this background, it was decided to gather opinion regarding cash transfer pilot from beneficiaries' neighbouring households. As reported by the survey team, majority of the neighbouring households were not aware of the cash transfer pilot. The possible reasons for this could be scattered location of beneficiary households coupled with adoption of door to door campaign approach by SEWA Bharat instead of a mass awareness campaign.

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47 We could not trace 13 families who had migrated out of the locality.

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48 Out of 87 families traced, in 14 cases identified female members were not present during repeated visits; and in 3 cases the female members had moved out.

## Profile of Beneficiary Households

As mentioned above, in-depth interviews were conducted with 60 out of the targeted 100 Below Poverty Line families which availed cash transfer in lieu of PDS under ISSP project. The adjacent *Table 5.1* shows that the majority of beneficiary households were 'hindu' (52). Further, 43 households were scheduled castes (SCs) followed by 12 and 5 households belonging to general category and other backward castes (OBCs) respectively.

**TABLE 5.1: PROFILE OF BENEFICIARY HOUSEHOLDS OF THE PILOT CASH TRANSFER**

Religion	Hindu	Muslim	Sikh	Total
Number	52	5	3	60
Caste	General	SCs	OBCs	Total
Number	12	43	5	60

## Reasons for Availing Cash Transfer

The beneficiary households in Raghubir Nagar identified several reasons regarding preference for availing the cash transfer in lieu of conventional PDS wherein they got a quota of fixed ration<sup>49</sup>. From each of the interviewed beneficiary, the multiple responses ranked in order of importance were obtained. In the

table below (Table 5.2), reasons specified by families are listed (multiple responses are given by majority of the families).

The most common reasons cited by more than half of the beneficiaries were that the families were not receiving full entitlements under PDS (34 cases); followed by the poor quality of ration (33 cases) and inadequacy of monthly quota of ration (30 cases). Nineteen out of 60 respondents said that they were inconvenienced because of repeated visits to Fair Price Shops for purchasing monthly quota of ration. Around one-fourth of the beneficiaries chose the cash transfer as they preferred cash over ration due to the fact that it bestows independence in decision making pertaining to purchase of items (i.e. type, quality and quantity of items).

## Implementation of the Cash Transfer Pilot

Nearly 97% (54 cases) of the beneficiary households interviewed here learned about this scheme from SEWA Bharat workers who exclusively visited their homes. It was reported that 57 cases were satisfied with the implementation of the scheme and just 2 of

**TABLE 5.2: REASONS FOR CHOOSING CASH TRANSFER SCHEME BY BENEFICIARY HOUSEHOLDS**

Reasons	Number
Preference for cash in hand	15
Not getting entire amount of monthly quota	34
Monthly quota of ration inadequate	30
Ration was of poor quality	33
Uncooperative behaviour of ration shop owner	12
Repeated visits to ration shops for getting entitlement	19
Curious or wanted to test whether Cash Transfer is a better option for meeting family requirements	3

49 Under the National Food Security Scheme, 2013 the new rate list effective from 1st September 2013 is given in the table below:

Category	Wheat		Rice		Sugar	
	Quantity (kg)	Rate (₹/kg)	Quantity (kg)	Rate (₹/kg)	Quantity (kg)	Rate (₹/kg)
Below Poverty Line	4	2	1	3	6	13.50
Jhuggi Ration Card -Resettlement Colony	4	2	1	3		
Antyodaya Anna Yojana	25	2	10	3	6	13.50
Above Poverty Line	18	7.05	4	9.25		

the beneficiaries were not satisfied. On the whole, 59 cases were satisfied with the role played by the SEWA Bharat in the implementation and management of the pilot cash transfer scheme.

New bank accounts were opened for 80% (48 cases) of sample; for rest 20% of the cases existing bank accounts were utilised for cash transfer under the pilot. In case of all beneficiaries, bank accounts (newly opened or existing ones) were in the name of the female head of the beneficiary households who had the sole right to operate the same. Around 88% (53 cases) of the sample confirmed about receiving support from SEWA Bharat in opening and/or operating their bank accounts. Out of total, 54 cases had bank accounts with State Bank of India (SBI) and rest of the 6 cases with Mahilla Sewa Urban Thrift and Credit Society. It was reported that none of the respondents faced any difficulty in opening the bank accounts. This highlights the role played by SEWA Bharat in ensuring smooth operation of beneficiaries' bank accounts. A few of the respondents also acknowledged receiving support from SEWA Bharat workers in this respect, but majority of the beneficiaries operated their accounts in an independent manner.

Regarding withdrawal of monthly instalment of cash, 12 cases reported that every month they faced problem in withdrawing cash; and another 2 cases specified that they 'sometimes' faced difficulty in this process. Majority of the beneficiaries (38 cases) confirmed that the entire process of cash withdrawal from bank was smooth and thus *sans* problem.

All the beneficiary households confirmed receipt of monthly instalment of ₹1,000 and further the regularity of cash transfer amount was also stated by majority of the cases. Out of total, 55 cases received cash transfer for 12 months, 3 cases received cash for 11, 7 & 3 months, 2 cases got cash amount for only half a year.

Interestingly, bank accounts opened under the pilot were still active in case of 26 beneficiary households.

## Use of Cash Received

Survey data revealed that almost all beneficiaries used the money to buy cereals (59 cases) and sugar (58 cases). Apart from these items, 75% (45 cases) of the respondents said to have bought other food items like tea leaves, oil and ghee using the amount provided under cash transfer pilot. Only 6 beneficiaries reported that they utilised the amount, either partly or fully to pay medical expenses; and just single case used the money on education and kerosene. These revelations are undoubtedly in line with the findings from SEWA Bharat which claimed that cash transfer: (i) did not have an adverse impact on the food security of the families; (ii) did not lead to increased consumption of non-merit items like alcohol; and (iii) neither it had improved expenditure on education or other merit items. Most importantly, 59 out of 60 females interviewed had confirmed that the decision to use the cash amount of ₹1,000 per month was solely taken by them.

It was also noted that there was some positive impact of this initiative as the extra cash was available even after the purchase of ration.

**TABLE 5.3: ITEMS PURCHASED WITH CASH TRANSFER**

Items	Number	%
Cereals	59	98
Sugar	58	97
Kerosene	1	2
Other food items	45	75
Education	1	2
Medical Expenses	6	10
Household items (durable)	0	0
Debt repayment	0	0
Miscellaneous	1	2

## Adequacy of the Cash Received

Mixed response was received from the females regarding adequacy of the monthly cash amount transferred under this pilot. Around 58% (35 cases) felt that the cash amount of ₹1,000 was just enough to purchase the same quantity (as previously available under PDS) of ration from the market, while

nearly 23% (14 cases) felt the amount was more than required. On the other hand, 11 respondents said that the given cash was short of the actual amount needed to buy the equivalent quantity of PDS entitlement from the market. Based on the respective responses, it was roughly estimated that an additional ₹1,000 per month (approx.) was required for filling the shortfall.

## Switching Back to PDS after Completion of Pilot

None of the female respondents reported any grievance regarding re-activation of ration card post completion of cash transfer pilot and thus considered the transition to be seamless. On an average, it took one day to re-activate the ration cards of cash transfer beneficiaries. With regard to purchase of ration from the Fair Price Shops post completion of cash transfer pilot, only 12 females claimed to have faced problems with the shop owners. However, SEWA Bharat workers provided support in resolving the contentious issues. Interestingly, majority of the beneficiaries (46 cases) did not witness any improvement in the functioning of the PDS, after a gap of one year.

## Willingness to Participate in Cash Transfer Scheme

The overall response towards preference for a future cash transfer scheme along similar lines was positive. It was reported that 80% (48 cases) of the respondents were willing to opt for similar cash transfer scheme, if re-introduced. However,

**TABLE 5.4: PREFERRED CONDITIONALITY IN SIMILAR FUTURE SCHEMES**

Conditionality	Number	Cash amount (₹, median)
95% monthly school attendance	49	500
High school completion	36	500
Institutional delivery	19	2000
Antenatal care (ANC) check-ups	21	1000
Routine immunization (RI)	18	600
Regular health check-up for school children	9	150

a majority of the sample (44 cases) specified for increased amount, given the inflationary trend in the recent period. These respondents assessed that a cash transfer of ₹2,000 (median) would be more appropriate. Out of total, only nine respondents were fully satisfied with the PDS and thus did not want to avail cash transfer scheme.

Additional feedback was also gathered regarding willingness to participate in the conditional cash transfer, if provided with an option in the future. Majority (53 cases) confirmed that they were willing to participate and also provided preference for specific conditionality they desire to choose from the given list in the survey instrument.

## Case Studies

This section presents four case studies, conducted as a part of field survey. The following case studies briefly capture the respondent's socio-economic background and their experience with cash transfer vis-à-vis PDS.

## BOX 5.1: CASE STUDIES OF CASH TRANSFER PILOT IN RAGHUBIR NAGAR, DELHI-SUCCESS STORIES

### Case Study 1

*Asha Rani* was a 70 years old widow who lived with her son Sunil, her daughter-in-law Madhu and their two children Nisha and Aakash. In mid 2013, she lost her elder son Vijay to a heart attack who was an auto rickshaw driver. Her son Sunil too was unwell as he was suffering from tuberculosis. Madhu was the only earning member in the family and has a private job as a peon. Madhu's monthly income was ₹4,800 while the family's monthly expenses amount to ₹6,000 each month. Madhu makes up the shortfall by selling Tupperware plastic products. Nisha and Aakash, two children of the family, were studying in Class 11th and 10th respectively.

In 2011, Asha Rani decided to avail the cash in lieu of PDS scheme as she had no source of income and thus preferred having cash in hand. Her bank account was opened in State Bank of India and she operated the account by herself. She used the cash transfer money to buy her monthly household ration. Overall, she was happy with the overall implementation of the scheme.

If offered similar scheme again, she was very keen to opt for the same but at an inflation adjusted amount. Although she did not face any problems at the PDS ration shop, she felt that the cash transfer would be more useful for her family owing to their circumstances.

### Case Study 2

*Leela Benwas* a 60 years old widow who was actively involved with SEWA Bharat besides running a 'Fairi' (street hawker) with her granddaughters. She had four sons and five daughters, all of whom were married and were living separately.

She opted for the cash in lieu of PDS as she was not satisfied with the quantity and quality of ration given under the scheme as well as unhappy with the behaviour of the PDS Fair Price Shop owner. She had to make repeated visits to get her entitled ration, which was also not provided as per total quantity of entitlement. Being a SEWA Bharat worker, she participated in the awareness drive for the pilot scheme.

She was satisfied with the overall implementation of the scheme and felt that the cash amount of ₹1000 was adequate to buy her monthly quota of ration. Her transition from the pilot scheme back to the PDS ration was seamless and hassle free.

If a similar scheme were to be implemented she would be keen to opt for it provided the cash amount increases to ₹3000, given the inflationary trend..



## **BOX 5.2: CASE STUDIES OF CASH TRANSFER PILOT IN RAGHUBIR NAGAR, DELHI –PREFERENCE FOR PDS OVER CASH TRANSFER**

### **Case Study 1**

Gauri was 35 years old and her household comprised of five members with her husband and three school going children. Her husband Rakesh was a rickshaw puller (self-employed) and the sole earning member of the family. They lived in a *pucca* building and had recently purchased a battery operated rickshaw.

In 2011, she opted cash in lieu of PDS scheme out of curiosity to try a newly offered scheme. An account was opened in her name by SEWA Bharat at Mahilla Seva Urban Co-operative Thrift and Credit Society. While she had the passbook for this account, she never operated the same. During the pilot period, a SEWA Bharat worker used to hand over the full cash amount to her along with other beneficiaries on a particular day of each month at Murga Market.

Gauri felt that the cash amount of ₹1,000 was inadequate for her to purchase the monthly quota of ration from the market and even considered withdrawing from the cash transfer scheme to return to the PDS. Further, on completion of the pilot scheme and subsequently switching back to PDS she faced trouble at the PDS ration shop. A SEWA Bharat worker stepped in to resolve the issue with the ration shop owner.

At the time of survey, she was satisfied with the PDS as she was getting her full entitlement and does not need to make repeated visits to the ration shop. She was not keen on participating in cash in lieu of PDS scheme if offered again even with an increased cash amount.

### **Case Study 2**

Ganga was a 73 years old widow who was residing with her son, divorced daughter, two daughters-in-law and six grandchildren. Although two of her grandsons were employed in private jobs and 1 daughter-in-law worked as a domestic help, it was difficult for family to make ends meet with a meagre total monthly income of ₹8,000.

In the recent past, Ganga's family has gone through many tragic incidents. She lost one of her sons to asthma in 2009, and in November 2011 her another son committed suicide. Her only surviving son met with an accident at his workplace in 2010 which had impaired both his legs and since then he has not been able to find a job. Moreover, Ganga herself had been a victim of accidents five times in the past period.

In 2011, she decided to go in for the cash in lieu of PDS scheme as there were several problems with the PDS. Her large family was not getting the full quantity of ration that they were entitled to under PDS besides regular provision of ration was also a major issue..

Although she was satisfied with the manner in which the cash transfer scheme was implemented, she felt the cash amount of ₹1,000 was grossly insufficient to meet the monthly ration expenses of her family. Her illness posed an additional burden on the family's income and she even used part of the cash transfer amount to pay for her medical expenses.

She informed that the problems which she used to face earlier with the PDS still persisted. Despite these challenges she feels the PDS ensures her family's basic food security and was not interested in opting for cash in lieu of PDS scheme, even with an increased amount.



# Chapter 6: Evaluation Findings

*This chapter presents the evaluation findings of ISSP project based on the five parameters of the OECD-DAC criteria. The evaluation parameters include relevance, efficiency, effectiveness, impact and sustainability.*

Overall, it can be concluded that the outputs/outcome of the ISSP are reflected in terms of homeless survey, cash transfer pilot, activities undertaken for composite cash transfer pilot and launch of Dilli Annashree Yojna (DAY). However, the project's select planned activities were partially achieved. To assess the extent of project's achievement against the objectives, terminal evaluation exercise is mandatory for each of the UNDP supported projects. Resultantly, based on DAC evaluation criteria the ISSP project is evaluated and the findings are categorised under the below-mentioned five parameters.

*As mentioned in the first chapter, it is important to again reprise here that the ISSP project needs to be evaluated in the context of its imbibed 'innovation' component or its 'experimental' nature.*

## Overall Rating of the Project

The overall rating given to the project on the basis of five evaluation parameters is 'satisfactory'.

The project undertook homeless survey, varied research activities for composite cash transfer pilot, implemented one cash transfer pilot and provided framework for launch of state level cash transfer scheme 'Dilli Annashree Yojna'. Its core agenda of launching composite cash transfer pilot was withheld despite completion of host of preparatory activities including research products and implementation activities. Nevertheless, this project has provided enough ground work for designing and implementation of similar innovative schemes.

**TABLE 6.1: OVERALL SCORES FOR THE PROJECT ON FIVE EVALUATION PARAMETERS**

Parameter	Score	Description of score
Relevance	5	Highly satisfactory
Efficiency	4	Satisfactory
Effectiveness	4	Satisfactory
Impact	4	Satisfactory
Sustainability	3	Moderately satisfactory
<b>Overall rating for project (avg. of all parameters)</b>	<b>4</b>	<b>Satisfactory</b>

## Relevance (Appropriateness of Concept and Design)

On the whole, project's concept to create a single window delivery system by converging existing social protection schemes to a package of monetary assistance provides enough credence to rate the project as 'highly relevant' or 'highly satisfactory'.

- **Issue identification:** The basic concept for initiation of this project was provided by the successful operation of conditional cash transfer schemes at international and national level. Further, the exposure visit to Brazil for understanding '*Bosla Familia programme*' by the GNCTD and UNDP officials further strengthened the merits of conditional cash transfer. Given the existing scenario, the conceptualisation of this project was extremely relevant.
- **Framing of objectives:** GNCTD-UNDP has tried to experiment with the concept of cash transfer (composite and cash in lieu of PDS) with an aim to address the needs of the vulnerable section of Delhi who were earlier excluded from the existing social security safety nets because of lack of targeting and inefficiencies on service delivery. In the Mission Convergence's proposal to UNDP, the core objective of the project was launching of conditional cash transfer scheme. However, during the early phase of the project, its name was changed to 'ISSP' as to widen the scope of the same. Consequently, cash transfer was not considered in isolation and in fact viewed as one of the instruments of social protection. This was a positive move and led to expansion of scope for trying out different innovative options/activities appropriate for social sector schemes.
- **Soundness of approach:** The adopted approach for the project was thorough in the sense that the stakeholders, implementers and beneficiaries were identified in appropriate manner. The stakeholders were identified from respective government departments (with Mission Convergence as implementing agency), academia, research organisations, and international bodies. Further, for implementation of cash transfer pilot

in Raghbir Nagar, SEWA Bharat was selected because of its strong presence in the area for smooth implementation of the pilot. Also, to strengthen the adopted decentralized approach, the platform provided by Gender Resource Centres was utilised for implementation.

- **Linkages between objectives, inputs, activities, outputs, expected outcomes and impact was logical:** In the project's Annual Work Plan and Project Initiation Plan, the inputs, activities, outputs, expected outcomes and impact were mentioned. The activities under each of the five outputs were mentioned in the original and revised Annual Work Plans for each of three years. However, the pathways of change, assumptions, and risk factors were not mentioned or foreseen prior to the initiation of the project.
- **Relevance of the project to the priorities of GNCTD and UNDP's area of focus:** The project was found to be well aligned with the convergence approach of the Mission Convergence of GNCTD and also fitted well within the focussed areas identified for interventions by UNDP for poverty reduction.

## Efficiency (Project Implementation and Management)

The efficiency of implementation and management arrangements of ISSP project is evaluated under the following sub-criterion and for this parameter rating given is '**satisfactory**'.

- **Quality and timeliness of inputs and activities:** The initial time period of the ISSP project was 2 years (December 2009 to December 2011), and no cost extension was granted for another one year (December 2012) for achievement of its planned activities. For each of three years of implementation period, Annual Work Plans were prepared detailing out planned activities under each of five outputs. The delay in the conduct of planned activities was observed and this is validated by no cost extension of the project by one year. It

is apt to mention here that changes/additions in the planned activities were witnessed *sans* any prior preparation with respect to implementation strategy for the same.

This project produced quality outputs for e.g. research studies for composite CT including final implementation plan which provided framework for launch of Dilli Annashree Yojna, homeless survey report, draft social protection policy note, and evaluative findings of cash transfer pilot as contained in respective baseline, midline and end-line reports. The proposed composite cash transfer pilot, if implemented, would have provided the required validation for the entire gamut of research studies undertaken by India Development Foundation and thereby further enhancing the quality of the same.

- **Usage of local resources:** In tune with the decentralized approach of the Mission Convergence of GNCTD, the cash transfer pilot in Raghur Nagar was implemented with due assistance provided to SEWA Bharat by the local level Gender Resource Centres (GRCs). The contribution of GRCs was significant in the successful conduct of homeless survey. Also, the implementation plan prepared for the composite cash transfer schemes envisioned GRCs as key implementing entity at the local level in the proposed structure.
- **Appropriateness of the institutional arrangements for execution and implementation:** This project was managed and implemented by Mission Convergence/Samajik Suvidha Sangam, which is considered as most suitable entity to manage and implement project of this nature (i.e. convergence of social sector schemes, address service delivery issues of social protection schemes through single window). Besides, Project Management Unit was established for managing routine activities and also members of Project Steering Committee and Advisory Committee constituted of a varied mix of experienced officials, experts and academia in respective sectors. The selection of Community Health Department of St. Stephen's Hospital

as Mother Non-Government Organization for homeless survey, India Development Foundation for research inputs and SEWA Bharat as implementing agency was suitable to achieve the intended objectives.

- **Adequacy of monitoring and reporting mechanisms:** The progress of project's activities was assessed in Project Steering Committee meetings together with decision on future course of action and communicated the same to respective stakeholders.

## Effectiveness of the Project

On the basis of the below-mentioned observations, overall effectiveness of the ISSP is rated to be '**satisfactory**'.

- **Cost effective solution:** It was a credible attempt by GNCTD and UNDP to experiment with this innovative concept in the social protection arena. It was mid-scale project with reasonable (though not huge) budget mainly focussing on the designing of roll out plan of composite CT scheme; and validates & strengthens the same by conducting pilots. On the other hand, it intended to target policy level changes encompassing huge number of social sector schemes spanning across number of government departments. Thus, it can be concluded that it was definitely a cost effective way to address the identified problem.
- **Innovative activities:** As the name of the project suggests, innovation was at the core of this project and entire gamut of activities were aimed to provide a better solution to address the existing deficiencies in the social protection schemes. The project scores maximum as far as this indicator is concerned.
- **Scalability:** As mentioned earlier, the project aimed to design an implementation plan for composite cash transfer schemes and authenticate the same by conducting pilot, however the latter never transpired. The final implementation plan prepared for composite

cash transfer provided the requisite framework for Dilli Annashree Yojna and the same was validated by the successful operation of this scheme. Further, it was well accepted during Project Steering Committee meetings that sample size of cash transfer pilot in Raghbir Nagar was adequate for decision making, if required. Also, the methodology adopted for conducting the homeless survey was acclaimed by stakeholders and they suggested that the same could be scalable elsewhere with necessary modifications.

- **Factors that impeded achieving project outputs:** Some of the issues that affected effectiveness as already indicated in other sections of this report-emerged from delay in conduct of project activities, delay in approvals from GNCTD, lack of consensus of stakeholders, change of incumbency in implementing department among others. The project has managed to overcome these issues and progressed to achieve its objectives though *‘with some gaps’* and *‘over extended period’*; and consequently there was definite scope to improve its effectiveness.

## Impact of the Project

The project is subjectively rated as **‘satisfactory’** on the impact parameter.

- **Use of project outputs:** ISSP’s one of the main intended impacts was to create knowledge products to influence the government decision making process. Through the pilot in Raghbir Nagar, the project had generated credible evidences on the people’s perception and acceptability regarding cash transfer. It had also helped to dispel some of the widely held negative perception regarding such programme. The other main objective of the project was to show how and to what extent various human development indicators react with respect to composite cash transfer intervention. As other proposed composite cash transfer pilots were never implemented, the project does not provide statistically significant evidence on

this front. However, the implementation plan prepared for the launch of composite pilot was judiciously used for Dilli Annashree Yojna and the methodology adopted for homeless survey can be effectively used elsewhere.

- **Project’s impact on target groups:** For the first time, plight of the homeless people was given significant consideration that culminated into earlier discussed survey. Data from this survey (along with the data from vulnerability survey), was used in identifying beneficiaries for the proposed pilot composite cash transfer or possibly be used for other relevant interventions for this section of population. Because of the influence and end-use of the data, the homeless survey component of ISSP deserve *‘highly satisfactory’* ranking in the impact criterion of the OECD-DAC methodology. Besides, the majority of the beneficiaries of cash transfer pilot reported positive impact of this scheme.
- **Degree of support given by the government in integrating the project objectives and goals into the state’s development programme and other related projects and vice versa or how well the project fits into the state level development policy:** Though government of Delhi provided requisite support at the early period of the project but during the later stages the required backing and financial support provided was not satisfactory. Also, the reluctance for uptake of the pilots was clearly evident in this respect.

## Sustainability of the Project

Evidence analysed and arguments made below provide enough ground for rating the project to be *“moderately satisfactory”* on sustainability scale.

- **Adequacy of institutional arrangements (infrastructural, logistical) and financial implication of sustaining the project objectives beyond the project duration/after completion of UNDP funding:** For the project, Mission Convergence/Samajik Suvidha Sangam was implementing agency

with requisite technical assistance provided by UNDP. The institutional set-up was in place and only the initial framework and research inputs were required for initiation of cash transfer pilots which were provided by UNDP. This set-up can be certainly utilised for uptake of similar initiatives in the future. The financial implication to be borne by GNCTD, even for pilot composite cash transfer was huge and the same was estimated to be ₹60 crore. It was not approved due to varied reasons as discussed earlier. The issue of scaling up or rolling out was pushed backwards in the event of not launching of composite cash transfer pilot. Consequently, the future course of action regarding ownership by government in this regard was not discussed. However, outcome of this project – Dilli Annashree Yojna was launched by GNCTD and the government provided requisite institutional and financial support for the same.

- **Knowledge transfer:** UNDP conducted a 'Consultation Workshop' during January 2011

to discuss and obtain views on the methodology adopted for '*Family Vulnerability Index and Implementation Plan of a Conditional Cash Transfer Programme in Delhi*'. The research products prepared by India Development Foundation were mainly discussed during this two day workshop and recommendations were suggested for further refinement of methodology. Based on these suggestions, final implementation plan was prepared and submitted to Mission Convergence of GNCTD. Besides this, the products produced under this project viz. homeless survey report, reports pertaining to cash transfer pilot in Raghbir Nagar provide with requisite information and knowledge for taking up similar initiatives.

- **Significance of the results achieved for the country or region:** Activities undertaken as a part of this project hold significance for other states and countries with similar circumstances. In fact, this project provides enough ground work for uptake of similar activities in this arena.







# Chapter 7: Conclusion and Recommendations

*This chapter summarises key concluding findings along with select important recommendations for UNDP and Government of Delhi.*

## Conclusion

For the most part, GNCTD-UNDP's joint endeavour ISSP project has yielded satisfactory results. The project had started with the objective of introducing a conditional cash transfer pilot in Delhi. However, the focus of the project had gradually shifted; and the resources of the ISSP project was mostly devoted towards (i) *identification and targeting* of eligible beneficiaries (i.e. vulnerable households) and (ii) *composite cash transfer scheme* - designing of a implementation plan, a roadmap for scaling up the same in other places, and a pilot to be conducted in an identified district of Delhi. Some of the above mentioned planned activities were implemented and some were partially completed or not completed. Alongside these, resources were also devoted toward conduct of a *pilot cash transfer scheme in lieu of Public Distribution System*. A number of activities performed under ISSP were of pioneer in nature (viz. Homeless Survey, pilot for cash transfer (in lieu of entitlement of ration under Public Distribution System) in Raghubir

Nagar, Implementation Plan) but progress of select activities was hampered due to certain gaps in the adopted approach and implementation strategy.

Given the merits and shortcomings of the individual components, this terminal evaluation has reviewed and subjectively rated the activities under identified outputs on the basis of five parameters. **Based on the findings, an average composite rating of 'satisfactory' is being subjectively calculated for the ISSP project.**

## Recommendations

The evaluation findings provide us with insights to list select recommendations to achieve better results for similar initiatives in the future. Key recommendations are suggested both to UNDP and Government, in order to facilitate them to strengthen their result oriented approach.

### Recommendations to UNDP

**Articulation of logic theory:** Proper logic theory is required for a programme to achieve its output in efficient and effective manner and to make

its impact sustainable. In the present context, though the nature of the project was different due to inherent innovative component but charting out clear pathways of change or laying down risks, assumptions definitely results in relatively fairer evaluation (or giving due credit to the project's achievements under the prevalent circumstances and foreseen limitations). The aspect was given due consideration while evaluating, but it is strongly recommended that creation of proper logic theory should be mandatory for any programme. Moreover, based on the risks identified in theory, the feasible risk mitigation plan can be prepared which in turn helps a programme to adapt with ease in ever-changing socio-economic and political atmosphere.

**Assess appetite of the government:** Prior to initiation of the project or during the early/inception phase, it is crucial to ensure financial commitment from the government (if required for the respective project). In the context of this project, it was seen that despite undertaking array of the preparatory activities for composite cash transfer pilot, the same could not be launched. One of the plausible reasons for this was lack of approval for budgetary support (for cash transfer component) by the government. Such issues are very crucial and thus required to be clarified prior to the commencement of the assignment.

**Proper documentation:** It is widely agreed that primarily proper documentation (i.e. maintenance along with accessibility of documents) is the reliable and feasible source of knowledge about the progress achieved against outputs and overall attainment of objectives. The remaining sources of information suffer from lack of permanence *per se* fading of institutional memory or transfers/mobility of personnel engaged in the project. This project suffered from lapses in this respect to certain extent (for e.g. difficulty in accessing documents from Mission Convergence/Samajik Suvidha Sangam, absence of centralised system for documentation) and thus calls for improvement in this regard in future endeavours.

**Monitoring & supervision:** Ensuring proper monitoring and supervision (M&S) of the progress of

project's planned activities is essential for achieving envisioned outputs. Though, Project Steering Committee tracked the progress and also suggested future course of action but more intensive effort was required in this regard. Inadequate M&S system was another cause for the observed delay and gap in achievement of project's objectives.

## Recommendations to Government

Concerted efforts on the part of government of Delhi under the areas mentioned below could have resulted in more positive output, outcome and impact of the project.

**Aligning with national and state level priorities and plan:** Prior to conceptualisation of any scheme, it is crucial for government to assess its alignment within the overall policy framework and planning agenda.

**Undertake proper groundwork and building of consensus:** The overhauling of implementing strategy of scheme needs to be based on sufficient credible evidence in the light of prevailing region-specific scenario. Additionally, the consensus building amongst various stakeholders should be ensured by adequately responding to suggestions from all quarters and subsequent modifications. In this perspective, it can be highlighted that the potential conflict of the Dillli Annashree Yojna with the newly launched National Food Security Act, 2013 (also known as Right to Food Act) passed on September 12, 2013 was not taken into account during conceptualisation and planning stage.<sup>50</sup>

**Commitment of budgetary/financial support:** For the success of any such scheme, the financial commitment is required as a first step. The entire preliminary exercise is rendered unproductive if the required financial support is not provided for its uptake at the implementation stage of the project.

<sup>50</sup> DAY was launched in December 2012, almost 9 months prior to passing of the Right to Food Act. However, the discussion about the new law was very active at the time of the launch; and ignoring its potential conflict was not a sign of prudent economic and administrative planning.

# ANNEXURES





# Annexure 1: Terms of Reference

## **Terminal Evaluation of Government of National Capital Territory of Delhi (GNCTD) and UNDP Project – Innovation Support for Social Protection**

**Project Title:** Innovation Support for Social Protection

**Project Number:** 00074948

**Implementing Partner:** Administrative Reforms Department, GNCTD

**Project Sites:** Delhi

**Project Duration:** 1 October 2009 to 31 December 2012

**Budget (USD):** USD 1,000,000

## **Introduction**

UNDP's Poverty Reduction programme is aligned with the Government of India's Eleventh Plan priorities and UNDP's Country Programme Action Plan (CPAP) signed between the Government of India (GOI) and UNDP. The CPAP focuses on 7 priority states - Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan and Uttar Pradesh and on disadvantaged groups including women, Scheduled Castes, Schedule Tribes, minorities, displaced persons and people with disabilities. In addition UNDP's Poverty Reduction Programme assists national and state governments to implement inclusive poverty reduction programmes. It supports programmes, policies and partnerships that promote income opportunities for

the poor people and helps them access financial products to protect these gains. UNDP supported the Government of the National Capital Territory of Delhi (GNCTD) to design, implement and operationalize a pilot for social protection schemes under its Mission Convergence programme.

## **Background**

UNDP supported the GNCTD through the Administrative Reforms Department and Mission Convergence to operationalize a pilot project on introducing innovation social protection schemes including conditional cash transfers. The UNDP's engagement in the pilot project was envisaged

initially for 2 years starting in October 2009 and was later extended to 2012.

The Mission Convergence is an innovative endeavour of the GNCTD that aims to recast the process of social policy formulation and delivery of welfare benefits through convergence of various existing social benefit schemes of the government. The idea is to develop a holistic approach towards poverty reduction with the objective of community empowerment. The mission intends to achieve this by expanding the coverage of the beneficiaries to include socially, geographically, and occupationally vulnerable people, providing one window for all their needs, and streamlining their access to entitlements. Drawing on the learning of Mission Convergence, a pilot project involving design and testing of cash transfer instruments was rolled out as a specific policy and operational initiative under the Mission Convergence.

## Project Outcomes

The project Initiation was designed in consultation with GNCTD with the objective of the following outputs:

- To provide technical and financial support to the GNCTD to initiate preparatory activities for launching the innovative social protection schemes
- Assessments of schemes and capacities
- Setting up a technical secretariat with an advisory group to support GNCTD
- Stakeholder consultations
- Identification of pilot districts, potential beneficiaries and potential partners
- Developing the details and feasibility of the design for cash transfer instruments
- Development of monitoring, capacity development and other tools
- Development of a long-term programmes and road map to launch CCTs in selected districts including institutional arrangements

- Facilitate operational linkages with technical organisations such as the UNDP's International Poverty Centre for Inclusive Growth in Brazil, international experts as well as organisations researching/applying cash transfers in India and other countries.

## Objectives of the Evaluation

Consistent with UNDP's evaluation policies, the Terminal Evaluation has five main objectives:

- Evaluate results and impacts, including an assessment of sustainability;
- To provide a basis for decision making on actions to be taken post-project;
- To assess the effectiveness and efficiency of resource use; and
- To document, provide feedback on, and disseminate lessons learned;

The Final Evaluation is intended to be a systematic learning exercise for project partners. The exercise is therefore structured so as to generate and share experiences and practical knowledge. To achieve this, the evaluation will take place in a consultative rather than an advisory manner. It will also identify and document lessons learned and make recommendations that might improve design and implementation of similar projects, or maximize the impact of the Livelihood Promotion project going forward. It is important to emphasize that the process is not about finding fault or a proxy for measuring individual or institutional performance.

From the point of view of the design and implementation of the project, the key stakeholders are:

- Administrative Reforms Department, Government of National Capital Territory of Delhi
- Mission Convergence (Samajik Suvidha Sangam)
- NGOs/CBOs associated with the project
- Academicians/Experts on social protection issues associated with the project



- Communities in the field districts
- UNDP India country office

## Scope of the Evaluation

The scope of the evaluation is closely related to the following objectives:

### Appropriateness of the project's concept and design

Assess the appropriateness of the project's concept and design and the project's effectiveness in realizing its immediate objectives and the extent, to which they have contributed towards developing networks, enhance research and action research capacities, improving monitoring and evaluation system and the capacity of the Government in achieving its long-term development objectives.

In particular, the mission should assess whether:

- The problem was identified correctly;
- The project approach was sound, and the identification of stakeholders, nodal agencies, operational partners, beneficiaries and users of the project results was done appropriately;
- The underlying assumptions were accurate and the objectives were the correct ones for solving the perceived problem;
- The objectives and outputs were stated precisely and in verifiable terms; the objectives were achievable;
- The linkages between objectives, inputs, activities, outputs, expected outcomes and impact was logical;
- The relationship between different project elements (outputs, activities etc.) were logical and commensurate with the time and resources available;
- The adequacy of the quantity and quality of project inputs relative to the targeted outputs;
- The project was relevant to:
  - The development priorities of the Government of GNCTD; and
  - The UNDP areas of focus.

### Review efficiency and adequacy in implementation and management of the project

In particular, the mission should review the following:

- The quality and timeliness of - inputs, activities, responsiveness of project management of changes in the project environment and of the monitoring/backstopping of the project by all concerned parties;
- Evaluate whether project design allowed for flexibility in responding to changes in the project environment;
- How well the project used its resources (including human and financial) to produce outputs and carry out activities;
- Whether the project strategy was clearly articulated and followed; a work plan was prepared and followed and the timeliness of the project inputs deployed in relation to the annual work plans;
- The factors that impeded or facilitated the production of the outputs;
- The extent to which local expertise (by gender), indigenous technologies and resources have been used;
- The appropriateness of the Institutional arrangements for execution and implementation, in particular the following:
  - How well the project was managed;
  - The adequacy of the monitoring and reporting mechanisms;
  - The adequacy of the government commitment to the project;
  - Whether stakeholders have a sense of ownership of the project;
  - The efforts made by the host institutions to ensure participation of different stakeholders

in the implementation process and the extent of their participation; and

- Whether there were any conflicts of interest among stakeholders, and if so, the steps taken to resolve these conflicts.

## To review the results of the project

In particular, the mission should:

- Review the achievements of the project and assess their effectiveness in solving the perceived problems;
- Assess whether the project has produced its outputs effectively and efficiently;
- Assess the quality of the outputs and how they are being utilized (i.e. assess project impact);
- Assess whether the project has achieved or impeded the progress of the project in achieving its desired results;
- Determine the effect of the project on target groups or institutions;
- Assess any unforeseen effects on non-target groups and any unintended effects caused by the project;
- Assess the adequacy of the project self-monitoring;
- Assess the significance of the results achieved for the country or region;
- Determine the degree of support given by the Government in integrating the project objectives and goals into the national development programme and other related projects, and vice versa how well the project fits into the national development policy.
- Whether mechanisms been put in place to ensure the sustainability of project results?
- How successful has the project been in maintaining interest of the NGOs, government sector, relevant research institutions and other financial institutions?

## Document Lessons Learnt

Identify and document lessons learned (including lessons that might improve design and implementation of other UNDP projects). In particular, the mission should describe the main lessons that have emerged in terms of:

- Development of innovative action research methodologies
- Contribution to refining the social protection policy framework
- Strengthening country ownership/drivenness;
- Strengthening stakeholder participation;
- Application of adaptive management strategies;
- Efforts to secure sustainability;
- Knowledge transfer; and
- Role of M&E in project implementation and its effectiveness.

In its reporting of the project's results, the evaluation mission should highlight the following aspects:

- The extent to which national project personnel have been or are being trained, and whether there is enough capacity and human resource to fully take over all technical and professional responsibilities from expatriate project personnel.
- The adequacy of institutional arrangements in attaining the long-term objective of the project. Also the infrastructural, logistical, and financial implication of sustaining the project objectives beyond the project duration/after completion of UNDP funding.
- Assess whether the RBM and performance indicators have been used as project management tools.
- Impact of the project upon beneficiaries/users, particularly with respect to setting protected area management on a sound footing with the support of the local communities.
- Effectiveness of the project's linkages, liaison, coordination and impact upon related activities

in environment and nature conservation being undertaken in the country.

- The project's assistance, relationship, relevance to and coordination with the pre-existing Project management system and staff.

### *Project Specific Learnings*

- Determine the project's contribution to enhanced level of knowledge and trends and directions of social protection strategies among the policy makers and practitioners created through the research and action research supported by the project.
- Assess the institutional capacity developed under the project at the Ministry/Department.
- Assess the impact of national, regional, state and local level networking established under the project to support wider stakeholder dialogue and exchange of information within India.
- Assess the impact of innovative social protection initiatives supported in the state.

### *Assess Project Progress on Cross Cutting issues*

The evaluation will also examine the progress of the project in the cross cutting themes of capacity development, decentralized governance, promoting gender equality and inclusion.

### *Other Specific Project Issues to be addressed*

- Has the project imbibed innovative approaches and made any policy level interventions to replicate such projects, in future?
- Sustainability of each activity, especially the M&E systems developed under project;
- Collaborative approach between the State Government Departments for future design of such projects, if any.
- Involvement of local communities, NGOs, CBOs, disadvantaged groups and women groups;
- Fund flow arrangement in the project;
- Implementation strategy, networking for smooth functioning and difficulties faced, if any, in

applying project's approach in new socio-ecological situations and their solutions; and

- Information exchange/sharing at the local, regional and national level, if any;

### *Recommendations*

The team should come up with recommendations regarding specific actions that might be taken to improve the efficiency, effectiveness and impact and management arrangements of similar future projects, if taken up.

## **Products expected from the Evaluation**

### **Evaluation Report**

The outline and main finding of the evaluation mission should be completed and handed to UNDP during the final de-briefing session. The final draft report should be produced according to the structure outlined in the UNDP Guidelines for Evaluation.

At the end of the evaluation, the team leader will submit the draft evaluation report to UNDP. Based on the comments of the stakeholders, the team will finalize and submit the final version of the report to UNDP, New Delhi within ten days of receipt of comments.

While the Consultants are free to use any detailed method of reporting, the Evaluation Report should contain at least the following:

- Title Page
- List of acronyms and abbreviations
- Table of contents, including list of annexes
- Executive Summary
- Introduction: background and context of the programme
- Description of the program – its logic theory, results framework and external factors likely to affect success

- Purpose of the evaluation
- Key questions and scope of the evaluation with information on limitations and de-limitations
- Approach and methodology
- Findings
- Summary and explanation of findings and interpretations
- Conclusions
- Recommendations
- Lessons, generalizations, alternatives

In addition, the final report should contain the following annexes:

- Terms of Reference for the evaluation
- Itinerary (actual)
- List of meetings attended
- List of persons interviewed
- List of documents reviewed
- Any other relevant material

## Success Story

The team is also expected to write and Success Stories (not more than two pages) after interacting with the community, beneficiaries/beneficiary organizations that can be useful for the advocacy purposes.

## Methodology and evaluation approach

The evaluation will be conducted in a participatory manner working on the basis that the primary purpose of the evaluation is to assess the results (outcomes), impacts, performance (on the basis of the indicators identified in the Results matrix) and sustainability of the project. For this to happen, the mission will start with a review of the key project documents, notably Minutes of the Project Steering Committee,

Quarterly and Annual Reports and any other reports and correspondence that seems relevant.

The evaluation approach will combine methods such as documentation study (desk review); interviews and field visits. All relevant project documentation will be made available to the evaluation team by the project management team, facilitated by UNDP. After studying the documentation the Consultants will conduct interviews with all relevant partners including the beneficiaries. The consultants are expected to hold discussions with Department of Administrative Reforms, GNCTD, Mission Convergence, CBOs/ NGOs, communities, institutions, experts associated with the project. Validation of findings with stakeholders should happen through circulation of initial reports for comments or other types of feedback mechanisms.

Throughout the period of the evaluation, the Consultants will liaise closely with the concerned UNDP officials, Administrative Reforms Department and any members of the team of experts under the project and the counterpart staff assigned to the project. The consultants can raise or discuss any issue or topic they deem necessary to fulfill the tasks. The Consultants, however, are not authorized to make any commitments to any party on behalf of UNDP or the Government.

The Consultants should provide details in respect of:

- Documents reviewed;
- Interviews;
- Field visits;
- Questionnaires, if any;
- Participatory techniques and other approaches for gathering and analysis of data; and
- Participation of stakeholders and/or partners.

The project progress and achievements will be tested against following evaluation criteria:

(i) **Relevance** – the extent to which the activity is suited to local and national development priorities

and organizational policies, including changes over time.

(ii) **Effectiveness** – the extent to which an objective has been achieved or how likely it is to be achieved.

(iii) **Efficiency** – the extent to which results have been delivered with the least costly resources possible.

(iv) **Results/impacts** – the positive and negative, and foreseen and unforeseen, changes to and effects produced by a development intervention.

(v) **Sustainability** – the likely ability of an intervention to continue to deliver benefits for an extended period of time after completion.

The Project will be rated against individual criterion of relevance, effectiveness, efficiency and impact/ results based on the following scale:

- Highly Satisfactory (HS): The project has no shortcomings in the achievement of its objectives.
- Satisfactory (S): The project has minor shortcomings in the achievement of its objectives.
- Moderately Satisfactory (MS): The project has moderate shortcomings in the achievement of its objectives.
- Moderately Unsatisfactory (MU): The project has significant shortcomings in the achievement of its objectives.
- Unsatisfactory (U): The project has major shortcomings in the achievement of its objectives.
- Highly Unsatisfactory (HU): The project has severe shortcomings in the achievement of its objectives.

As for sustainability criteria the evaluator should at the minimum evaluate the “likelihood of sustainability of outcomes at project termination, and provide a rating for this.

## Evaluation Team

The evaluation team/Consultant should be familiar with, and use, the results based monitoring approach of UNDP. The evaluation team/Consultant is expected to have expertise and experience in evaluation of development programmes and specialists in policy analysis and research on social protection programmes/schemes and capacity/institutional assessment. The Evaluation Team Leader/Consultant will coordinate evaluation process to ensure quality of the report and timely submission.

Bids containing the CVs of the proposed Team members are invited from the Institutions, Consultancy firms and Individual Consultants. The CVs should clearly state the:

- Professional background with a minimum of 8 years of relevant experience;
- Demonstrated skills and knowledge in participatory monitoring and evaluation processes;
- Extensive experience in monitoring and evaluation of development projects supported by donors;
- Knowledge of institutions, policies and legislations on livelihoods promotion strategies;
- Proficient in writing and communicating in English. Each consultant to bring his/her own
- computer/laptop and related equipment.

## Specific tasks of the evaluators

In particular the Evaluation Team will be responsible for:

- Desk review of existing management plans, survey/research/evaluation reports and database.
- Conduct fieldwork together with counterpart and interview stakeholders, implementing agencies and institutions to generate authentic information/opinions.
- Write and compile reports.



- Make a presentation of the entire findings highlighting achievements, constraints and realistic recommendations to decision makers and stakeholders.
- Finalize the evaluation report.
- A section explaining the organizations/Individual Consultants competence and experience in handling similar assignments supported by documents.
- Proposed strategy/methodology, work plan, timeline and budget for the assignment

## Application Details

### Technical and Financial

Interested agencies are requested to go through the ToR and send separately (sealed) the following documents:

#### *Technical*

- Proposed methodology and work plan (maximum five pages).
- Detailed profile of expertise and experience of the organizations/evaluators. *Financial*
- Detailed budget for the work plan,

#### *Contents of the Proposal to be submitted*

- Background information about the organization/individual, registration certificate and financial capacity statements (in case of organization), other projects handled and CVs of the persons that will be engaged in the assignment.

## Implementation Arrangements

### Evaluation schedule

The evaluation team/consultant should mention the total number of days required to undertake the evaluation including the visits to project sites and interaction with the implementing agencies and other stakeholders. The Evaluation team/consultant shall finalize the exact schedule of the various stages of the Evaluation in consultation with UNDP. At the end of the evaluation the Evaluation Team/Consultant will submit and present the draft report to UNDP and Administrative Reforms Department, GNCTD. After incorporating the comments, the team leader will submit the final report to UNDP, New Delhi (including an electronic copy). If there are discrepancies between the impressions and findings of the evaluation team and the aforesaid parties, these should be explained in an Annex attached to the final report.





## Annexure 2: List of Persons Interviewed

Name	Designation	
	During Project Period	Present
Mr. Rakesh Mehta	Chief Secretary, GNCTD	State Election Commissioner
Ms. Rashmi Singh	Mission Director, SSS	ED, National Commission for Empowerment for Women
Mr. G.C. Lohani	Deputy Director, SSS	
Mr. Vishwa Mohan	Deputy Director, SSS	Add. Chief Electoral Officer
Sambit Rath	IDF	IDF
Bhibhu Mohapatra	IDF	IDF
Dr. Amod Singh	St. Stephen's Hospital	St. Stephen's Hospital
Mr. Prasanta Pradhan	Specialist, Programme Implementation	
Ms. Prema Gera	Asst. Country Director, UNDP	
Mr. Ratnesh	Programme Analyst, UNDP	
Mr. Hari Mohan	Programme Associate, UNDP	



# Annexure 3: Short Notes on Knowledge Products

## **Rationalisation of Schemes - An approach** (Prepared by IDF, December 2010)

A study on 'Rationalisation of Schemes' was undertaken to review the existing social sector schemes of GNCTD in order to suggest a way for their rationalisation and integration. The focus of this exercise was to address as '*how to improve the access of beneficiaries to schemes that aim for certain social outcomes, how to prevent duplication of effort in the implementation and, how to make it easier for potential beneficiaries to identify, and authenticate, themselves to the government*'. Instead of focusing on the government and its ease in functioning, the emphasis was on the beneficiaries of programmes and their ease in accessing these programmes. This approach was chosen to reduce the respective errors of inclusion (those for whom the programme is intended – 'get in') and exclusion (those for whom a programme is not intended – 'stay out').

The research agency reviewed 110 schemes, administered by 12 departments of the GNCTD. The development-based schemes of the GNCTD were divided across twelve sectors, viz. General Education, Technical Education, Welfare of SC/ST/

OBC/Minority, Health, Nutrition, Public Health, Water Supply and Sanitation, Urban Development, Social Welfare, Labour & Labour Welfare, Housing, Science Tech & Environment.

Further, the schemes were classified into three groups: horizontal, vertical and operational. The horizontal segmentation is typically across three primary interventions essential for an individual – health, education and livelihood. Vertical segmentation maps interventions across the lifecycle of individual.<sup>51</sup> Finally, operational segmentation distinguishes between schemes that are on-going (schemes requiring periodical budget outlay) as against one-time costs (mostly capital expenditures to build and support essential infrastructure). *This research paper develops a methodology that addresses the three aforementioned aspects.*

A case is made for integration of schemes. Schemes are first classified as basic, supporting and enabling.

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<sup>51</sup> The life cycle approach to welfare schemes emphasise that an individual is seen as a dynamic entity that has different requirements at different stages of her life, and thus the programmes are sensitive to respective phases. While viewing an individual in a life-cycle continuum, if some of the disadvantages follow an individual all her life, the targeting system should allow for seamless transition from one stage of the entitlement-holder's life to another.

Schemes that enforce basic rights like right to health, education and food are termed as 'basic'; those that promote equal opportunity through economic support to women or minorities are termed as 'supporting'; and those providing safety nets to withstand shocks as 'enabling'. The research agency suggests that the framework of integration should be such that, if a particular scheme is a refinement of another, then only incremental costs are incurred to administer the 'refined scheme'.

The rationalisation of schemes takes into account vertical (across life cycle) and horizontal (across deprivation) integration of schemes to arrive at a final list of schemes that address an individual's deprivation in her respective life cycle stage.<sup>52</sup> Once schemes have been identified for integration within sectors, attempt can be made for integration across sectors.

Integration of schemes necessitates that required information was not duplicated. The role of technology for this purpose is envisioned to be instrumental. Further, the report highlights that the MC plans to have an MIS/IT system for a common centralized databank, along with a biometric card. This would contain family/individual related relevant information, and the same would be updated on a regular basis.

## Summary Statistics of Delhi's Vulnerable Population (Prepared by IDF, December 2010)

The GNCTD conducted a household survey in the 'vulnerable' areas covering all nine districts of Delhi. The survey was conducted in two phases i.e. Phase I in August-September, 2008 and Phase II in May-July, 2009.<sup>53</sup> A total of 92,4,019 households were covered through the two phases of the survey.

<sup>52</sup> The report gives illustrative examples of integration of schemes that fall in the categories of health, education and social welfare. For instance, 13 education related schemes such as Free Supply of Text Books in Government Schools and Subsidy of School Uniforms of the Students of Government Schools can be replaced by the Sarva Shiksha Abhiyan scheme by way of horizontal integration.

<sup>53</sup> Data for Phase III was not included in this assignment, as the same was not submitted to IDF (either on-going/not compiled).

The purpose of the survey was to collect information which would eventually lead to the construction of an index that intends to measure the degree of vulnerability of these households, based on non-income measures of vulnerability. The index would help rank the households and to reveal as to which were most exposed and susceptible to risks in society and finally to launch specific and targeted social security schemes. Three types of vulnerability namely; locational, social and occupational were identified/defined.<sup>54</sup>

Using a door-to-door approach, the survey took the form of a census of all the households classified and residing in notified and non-notified slums and resettlement colonies falling under 'F', 'G' and 'H' categorization of colonies of the Municipal Corporation of Delhi (MCD). The survey was designed such that all potentially vulnerable households residing in these areas would be covered in three different phases. Gender Resource Centres (GRCs) were the primary nodal point for conducting the survey. The GRCs in the identified colonies were notified and trained to conduct this survey within their purview. They recruited local residents as opinion leaders to conduct the survey.

The data collected in Phase I covered 24 variables and 27 variables were captured in Phase II. A revised questionnaire was used in Phase II which also included all the variables covered in Phase I. Both the phases did not have an exactly overlapping set of variables (and subsequently values). The aggregate statistics was prepared for the two phases, only for all those variables that were available in both phases and have the same number of variable value classifications.

The summary statistics is presented across the following dimensions - demographic, types of residence, education and occupation, health, public utilities and inclusive growth. To make the findings comparable across other studies as well as to make identification and targeting easier for policy makers, the aggregate results were prepared at the district level.

<sup>54</sup> Approved criteria was specified in cabinet decision followed by an order from the ARD (number 1421, dated 27.8.08).

## A Multi-Dimensional Vulnerability Index (Prepared by IDF, December 2010)

A Multi-dimensional Vulnerability Index was prepared by IDF to define a measure of the degree of vulnerability across households which were covered in the Vulnerability Survey. The index took into consideration both the extent (spread) and the depth (acuteness) of the incident vulnerabilities. This distinction among households would allow the government to offer different levels of cash transfers based on the differing degrees of vulnerability. The index was prepared on the basis of existing theoretical literature on multi-dimensional poverty measures, primarily influenced by the work of Alkire and Foster (2008).

Many household characteristics or dimensions make a household vulnerable; some dimensions more significant than others. Further, any one of these characteristics may not be sufficient to make a household vulnerable but different combination of dimensions lead to vulnerability. Hence, each dimension that could lead to vulnerability was identified; and different aggregations of these dimensions were considered to identify a vulnerable household.

Two sets of 3 dimensions (i.e. occupation, health status and level of education) were identified - one set for the household head and, another set for an adult member who is currently not a student. A vulnerability score for each household was developed on the basis of these dimensions. This score varied from 0 to 8, with the vulnerability increasing as the number increases.

Since households captured in the Vulnerability Survey were pre-selected based on their residential address; thereafter more interest was to identify their degree of vulnerability (least vulnerable to most vulnerable) rather than whether or not they were vulnerable. Using a set of criteria as proxies, 'definitely vulnerable' households were identified. It was assumed that a household satisfying any

one of these conditions, i.e. a definitely vulnerable household needed some minimum support.

Based on the scores developed for each household covered by the Vulnerability Survey, a vulnerability index for each district in Delhi was constructed. This index allowed districts to be ranked in systematic way depending on their degree of vulnerability.

## Implementation Plan for a Cash Transfer Scheme in Delhi (Prepared by IDF, December 2010)

Post formulation of an approach for rationalisation of the schemes under GNCTD and creating a Vulnerability Index, IDF devised an implementation plan of the proposed cash transfer scheme. A comprehensive desk review of 49 schemes operated by the GNCTD was undertaken. The existing resource allocation, service delivery mechanisms and targeting practices of schemes were mapped. This helped create the logic for calculation of the cash transfer amount.<sup>55</sup>

The benchmark CT amount was calculated from the existing schemes of the Delhi Government. For each dimension (based on which the vulnerability score had been calculated), all existing schemes were first listed and CT amount per month was calculated. Listing the schemes under each dimension also highlighted the duplicity of benefits across schemes.

It was proposed that the 'definitely vulnerable' to get an amount of ₹1000, which was calculated on the premise that this amount was required for overcoming occupation related vulnerability. The cost incurred per unit in providing supplementary nutrition (SNP-ICDS) was taken as the basis for the CT amount provided to children, mothers, and adolescent girls in the reproductive and child health care phase. For students enrolled in schools, a CT amount for textbooks, uniforms, and transportation was proposed to be given provided they fulfil certain conditions. And for social security based support,

<sup>55</sup> The operating principle adopted here was to ensure that the participants in the scheme should at least get as much as they ought to be getting prior to this new set-up.

such as those for widows or disabled people, a CT amount equivalent to the existing schemes' would be provided.

All cash transfers were proposed to be made as following: (a) The amount for being definitely vulnerable goes to the head of the household; (b) The amount for all vulnerabilities specific to an adult goes to the adult member; and (c) All cash transfers meant for the child goes to the mother; if the mother was not there, then it goes to the head of the household.

Applying the calculated CT amount to the data of the 9,24,016 households yielded the annual transfer required in Delhi. Considering all un-carded (no APL, BPL or Antyodaya) households (comprising 55 per cent of the survey population), the total annual amount estimated to be ₹909 crore. If all vulnerable (carded and un-carded) households were to be given the cash transfers, the total annual amount was worked out to be ₹1,814 crore.

The design of CT was been done keeping in mind primarily the demand side, that is, the beneficiary point of view. However, the co-responsibility of the state was also factored in. The state's responsibility pertains to ensuring that the targeted group gets the benefits (by creating awareness and ensuring access), and the use of technology to update

records of the targeted population at every stage of the lifecycle. The state was also responsible for monitoring at each stage.

- The role of technology is highlighted by the use of a dynamic data base. All raw data on households had already been digitized by GNCTD. It was proposed that if households were given unique digital identities, all age related eligibility criteria could be automatically updated. The data base will dynamically work out the cash amounts each year.
- With regard to monitoring, the co-responsibilities were to be verified by various functionaries/ stakeholders periodically. The overall onus of verification of the co-responsibilities lay on the staff of the GRC supervised by the DMU/Deputy Commissioner (DC) office. This was proposed to be done regularly on a quarterly basis for which the GRC needs to submit a Quarterly Review Report (QRR) in a suggested format for their respective catchments.

The implementation plan provisioned for social audit and transparent system that encouraged peer review and development of apparatus for social control. For grievance redressal on regular basis, Bhagidari channels or a specialized channel based on the Bhagidari concept was proposed.

# Annexure 4: Survey Questionnaires

## Terminal Evaluation of Government of National Capital Territory of Delhi (GNCTD) and UNDP Project: Innovation Support for Social Protection

### SCHEDULE FOR HOUSEHOLDS WHO PARTICIPATED IN THE DELHI CASH TRANSFER PILOT

#### Instructions for Investigators

1. Explain the purpose of the survey in a short and effective manner to the respondents. Ensure that the respondent is agreeable to share information voluntarily. Post completion interview, express gratitude to the respondents.
2. **Interview should be held only with the woman member of the household in whose name Bank A/C was opened and cash transferred.**
3. Collect qualitative responses in blank spaces provided in the questionnaire or in separate sheet (while writing in a separate sheet, clearly mark the question number). Read out the written statement to the respondent to ensure accurate recording of the responses.
4. Common Abbreviations: CT- Cash Transfer
5. Common Responses: Refused to say (97), Do not know/Can't say (98), Not Applicable (99)

#### Section A: Household Identification

A.1	Serial no. in the list	
A.2	Name of the respondent*	
A.3	Address	
A.4	Mobile no.	
A.5	BPL card no. (if any)	
A.6	KOD no.	
A.7	FPS no.	
A.8	Name of Investigator	
A.9	Date of Interview	

\* Respondent should be the female member in whose name bank account was opened.



Section B: Respondent and Household Characteristics							
B.1	Household type and Card Number for the following year						
B.2	Year	Category [BPL-1, AAY-2, APL-JRC-3, APL-S-4]	Card No.	Remarks (if Card types has changed)			
	2011						
	2014						
B.3	Religion [ <i>Hindu – 1, Muslim- 2, Christian-3, Sikh-4, Other (specify)</i> ]						
B.4	Caste [ <i>General-1, Scheduled Caste-2, Scheduled Tribe-3, Other Backward Class-4</i> ]						
B.5	Details of household members (codes are provided below)						
S.No.	Name	Sex (code)	Age	Relation to the head (cde)	Education (code)	Marital status (code)	Employment Status (code)
1.	Respondent	Female					
2.							
3.							
4.							
5.							
6.							
7.							
8.							
9.							
10.							
Item	Code						
Sex	Male-1, Female-2						
Relation with the head of the household	Self – 1, Spouse – 2, Son/daughter – 3, Son/daughter in law – 4, Parents – 5, Brother/ Sister – 6, Grandson/Granddaughter – 7, Others Specify						
Education Code	Illiterate-1, Some schooling but below primary-2, Primary-3, Middle-4, Secondary-5, Higher Secondary-6, Graduate or above -7						
Marital status	Unmarried – 1, Currently married – 2, Widow/Widower – 3, Divorced/separated – 4						
Occupation	Self-employed – 1, Government – 2, Private job – 3, Casual labour – 4, Others specify						
B.6	Any addition/ loss of members to the household since 2011						
	Type	Number				Remarks	
	Addition						
	Loss						

Section C: Beneficiary Mapping		
C.1	Were you offered to avail of the CT scheme in 2011? [Yes-1, No-2]	
C.2	Did you choose to avail the CT scheme implemented? [Yes-1, No-2]	
C.3	If No (code 2 in C.2), specify reasons (qualitative responses):	
	<b>If Yes (code 1 in C.2), specify the principal reasons (multiple responses possible)</b>	
C.4	a. Preferred cash in hand over PDS [Yes-1, No-2]	
	b. Unsatisfied with PDS as not getting full monthly quota in general [Yes-1, No-2]	
	c. Unsatisfied with PDS as monthly quota was inadequate [Yes-1, No-2]	
	d. Unsatisfied with PDS because of poor quality ration [Yes-1, No-2]	
	e. Unsatisfied with PDS because of uncooperative behavior of the ration shop owner [Yes-1, No-2] (e.g. refusal to sell ration, giving excuses like out of stock, etc.)	
	f. Unsatisfied with PDS because of repeated visit to ration shop to get monthly quota [Yes-1, No-2]	
	g. Curious about the scheme/ Wanted to see whether cash in lieu of PDS better for the family [Yes-1, No-2]	
	h. Any other reasons (specify)/ OR If, qualitative responses do not fit in the above categories:	
C.5	If Yes (code 1 in C.2), which of the following component of the CT scheme you were offered with [Only bank A/C-1, Bank A/C and CT-2, None of these- 3]	
C.6	How were you made aware of this CT scheme by SEWA? [Mass awareness campaign-1, door-to-door campaign-2, when visited SEWA office-3, Others – 4 (Specify)]	
<b>If 'Bank A/C and CT' (code 2) in C.5, specify the following details:</b>		
C.7	Owner of the bank A/C [Respondent/ Eligible adult female-1, Other member-2]	
C.8	Name of the Bank:	
C.9	Whether made aware of the cash amount at the time of opening the A/C [Yes-1, No-2]	
C.10	Experience regarding opening of the bank A/C [Opened smoothly-1, Faced some difficulties from the bank-2]	
C.11	Whether faced any problem while withdrawing cash from the bank [Always-1, Sometimes-2, Never-3]	
C.12	Please describe the challenges/ issues faced while opening and/ or withdrawing cash from the bank:	
C.13	Whether received support from SEWA Bharat while opening/ operating the bank A/C [Yes-1, No-2]	
C.14	Please describe the type of support received from the SEWA Bharat while opening/ operating the bank A/C:	
C.15	Frequency of CT to the bank A/C during the period of scheme (i.e. Jan-Dec 2011) [Monthly-1, Bi-monthly-2, Quarterly-3, Irregular intervals-4]	

C.16	Total number of CT received in the bank A/C during the period of scheme (i.e. Jan-Dec 2011)	
C.17	Whether specified amount was debited to bank A/C in every transfer [Yes-1, No-2]	
C.18	Amount of money received per transfer [If 'Irregular intervals' (code 3) in C.14, record amount transferred in all cases in the blank space of the questionnaire]	₹
C.19	Status of the bank A/C [Stopped using after the pilot-1, Wanted to continue with it but unable because of no cash flow-2, In use at present-3]	
<b>If 'Only Bank A/C' (code 1) in C.5, specify the following details:</b>		
C.20	Owner of the bank A/C [Respondent/ Eligible adult female-1, Other member-2]	
C.21	Name of the Bank:	
C.22	Whether made aware of the purpose of the A/C by SEWA Bharat [Yes-1, No-2]	
C.23	Usage pattern of the A/C [Never used-1, Did some transactions, but mostly dormant-2, Actively used the A/C for some time but stopped later-3, Still using it actively-4]	
C.24	If Code 2 or 3 or 4 in C.22, who was operating and/or deciding about the use of the A/C [Respondent-1, Husband/ other adult male member-2, Jointly-3]	
C.25	If Code 2 or 3 or 4 in C.22, please describe the purpose of the A/C (qualitative response):	

Section D: Household Consumption and Cash Transfer Scheme			
Please collect the following details for beneficiary household who had received CT through bank A/C (code 2 in C.5)			
D1	Please specify the items on which the cash was mostly spent		
	Item	Response [Yes-1, No-2]	Remarks
	a. Cereals (Rice, wheat, etc.)		
	b. Sugar		
	c. Kerosene		
	d. Other food items		
	e. Education		
	f. Medical expenses		
	g. Durables/ household items		
	h. Debt repayment		
	i. Miscellaneous		
D.2	Who mainly decided whether and/ or how the money should be spent [Respondent-1, Husband/ other adult male member-2, Jointly-3]		

Section D: Household Consumption and Cash Transfer Scheme		
D.3	Opinion about the amount of cash amount received (per transfer) to buy ration in comparison to the earlier amount of ration given under PDS. [ <i>Amount was more than needed if full monthly quota of ration was bought from market-1, Amount was just enough/ somewhat short if full monthly quota of ration was bought from market-2, Amount was well short of need if full monthly quota of ration was bought from market-3</i> ]	
D.4	If transferred cash was somewhat/ well short of need (code 2 or 3 in D.3), extra amount needed to purchase the monthly quota of ration (approximately)	₹
D.5	Ever considered about withdrawing from the scheme and returning to normal PDS [Yes-1, No-2]	
D.6	If Yes (code 1), D.5, specify the reasons (qualitative responses):	
D.7	<i>Details about the transition from the CT pilot scheme after Dec 2011 to original PDS:</i>	
	s. Time required to re-active the ration card (in days)	
	b. Opinion about the process of re-activating the ration card [ <i>Smooth-1, Faced some difficulties-2</i> ]	
	c. Opinion about the purchase of ration from PDS shops [ <i>Smooth-1, Faced some difficulties initially-2</i> ]	
	d. If responses in D.7.b or D.7.c is 2, collect qualitative response from the respondent	
D.8	Do you think that quality of service delivery from the PDS shop improved after the pilot scheme [Yes-1, No-2]	
D.9	If offered today, willingness to participate in such cash in lieu PDS scheme again [Yes, but with increased cash amount-1, Yes and with similar amount-2, No, even with increased cash amount-3, Not decided-4]	
D.10	If response in D.9 is 1, specify the preferred total amount of CT	₹
D.11	Overall opinion about the CT scheme:	
	a. Implementation of the scheme [ <i>Satisfied-1, Not Satisfied-2</i> ]	
	b. Role played by SEWA Bharat [ <i>Satisfied-1, Not Satisfied-2</i> ]	
	c. Role of the government/ public officials [ <i>Satisfied-1, Not Satisfied-2</i> ]	
	d. Impact of the CT scheme on household finance [ <i>Positive as extra cash was available after purchase of ration-1, Positive as enough ration could be bought-2, No such impact-3, Others (specify)</i> ]	
	e. Please record qualitative opinion (if any) about the scheme:	

### Section E: Present Household Consumption Expenditure for Select Items

Please collect the monthly/ weekly consumption pattern for the following item (collect data for last 30 days or last 7 days whichever is suitable for the respondent)

Item	Recall (last 7 days-1, last 30 days-2)	Quantity Purchased-PDS	Rate – PDS (₹)	Quantity-Purchased-Market	Rate –Market (₹)
a. Rice (kg)					
b. Wheat (kg)					
c. Sugar (kg)					
d. Kerosene (ltr.)					
e. Any other item bought from ration shop					

### Section F: Additional Preference Revelation for Conditional Cash Transfer

F.1 Would you be willing to participate in a conditional cash transfer scheme if your household is eligible for the same? [Yes-1, No-2]

Which of the following conditions would you like to enroll to complete/ find beneficial to participate in to receive a cash transfer →F.2

How much cash amount would you expect from the Government on successful completion of the conditions/ for what cash amount would you be keen to complete the conditions for the cash transfer?→F.3

How will you use this money? What items will you buy from this money? [Food items, school uniforms, books and stationary, saving, etc.]→F.4

	F.2[Yes-1, No-2]	F.3[Amount in INR]	F.4[Use]
<b>Education</b>			
a. 95% monthly school attendance			
b. High school (Class 12) completion			
<b>Health</b>			
c. Institutional Delivery (Maternal)			
d. 3 antenatal checkups (Maternal)			
e. Routine Immunization (0-5 years old)			
f. Regular health check-up (school going children)			
<b>G. Remarks from the Investigator</b>			







*This final evaluation of GNCTD-UNDP's ISSP project is a systematically structured exercise to generate and share experiences, document lessons learnt, and provides insight into practical knowledge gained in the due course of the project. 'Final Report' contains the evaluation findings based on desk review, stakeholders' consultations and household survey; and using OECD-DAC evaluation criteria.*



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