

**DFID IUDD EngKAR Evaluation
India Country Visit
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Executive Summary

This report presents the findings of a Country Study in India as part of an evaluation of the Engineering Knowledge and Research (EngKaR) Programme of the UK Department for International Development (DFID). The evaluation included desk studies based on project documentation, interviews with project holders, DFID staff and other stakeholders in the UK and visits to India and Kenya to interview project holders, DFID staff and other stakeholders.

The country visits aimed to assess:

- whether in-country activities are appropriate and relevant;
- the extent to which programme activities assess and relate to local context – economic and political – and complement other initiatives both within and outside DFID;
- the effectiveness of dissemination to identified stakeholders;
- the influence on policy makers through improved decision making, policy formulation and needs specification;
- the extent projects have identified, and engaged with, potential users or beneficiaries of the research;
- actions and activities with a high degree of impact, that can be used to exemplify good practice and determine critical 'success factors' for future projects (SUCSESSES).

The India visit looked at documentation from 52 which were completed since 2001, interviewed staff from seven of them, and brought together 24 people including representatives from 4 of the 7 projects, other researchers, research users and active and retired policy makers in a workshop designed to verify the results of the interviews and generate recommendations for DFID. The main findings and recommendations are presented below.

Findings:

Is the programme appropriate and relevant?

Participants at the workshop felt that the list of project titles seems to cover the right issues, but that the research is fragmented and narrowly focussed within specific sectoral agencies. The programme seems to fund projects that are difficult to fund from indigenous Indian sources – especially cross-cutting research and communication activities, and technology for the poor - and provides a useful contribution to existing projects and policy processes. However, some participants at the workshop felt that the programme may be more relevant for UK-based researchers needing to produce publications, than for India policy and practice, and several project holders said that the projects, as originally designed, would have been irrelevant for the Indian context, but it had been possible to negotiate with their UK-partners to develop mutually useful projects.

Does the programme relate to local context?

While few projects included formal needs or context assessments, most emerge from existing work with well established partners already working in the field who are already well aware of the needs and context.

Is there enough engagement with users or beneficiaries of the research?

All projects engaged well with users, though the degree of engagement is different at different levels (community – local – national) at different stages. Some projects seemed to be looking for users to test new ideas out on, while others already had an on-going relationship with communities through which they had together identified the need to test a new technology or approach. While some projects did not have policy objectives and thought it was more important to focus on making a difference in local communities (which would then attract the interest of policy makers, most engaged with local policy makers

throughout the project lifetime, and with national policy makers through some sort of end-of-project workshop or seminar. A few have more sophisticated approaches for example establishing a project steering committee dominated by policymakers to guide the project throughout its life, and some had sophisticated policy advocacy activities including high profile national media work.

Are the results effectively disseminated?

Some of the older projects have done little more than produce a final report but most produce a range of communication outputs for various audiences. While some emphasise the importance of face-to-face dialogue through field visits, workshops and seminars others emphasise printed media and some use sophisticated approaches involving the media and/or IT/High Tech Media. Most participants at the workshop though felt that the results of the programme are more or less invisible outside the group of immediate stakeholders, and much more should be done. All felt that DFID India could play an important role in this area.

Is there evidence of policy impact?

It was difficult to assess this during the evaluation. Some of the older and more technology-focused projects didn't aim to influence policy. Of those with explicit policy aims, most project holders felt that the specific DFID-funded projects had little direct influence, but as part of longer term programmes, or by contributing to the project holder's personal reputation, had contributed to a longer term evolution of policy and practice in India. Research undertaken by one project into energy needs by the urban poor attracted the interest of an international donor wanting to fund a major project in the area, and serendipitously achieved substantial policy influence. Many project holders felt that more could have been achieved if DFID India supported the projects more effectively. Some project holders, and participants at the workshop felt that in many areas the Government of India already has good policies, but doesn't know how to, or doesn't have the resources to implement them.

Is there impact on poverty?

It was difficult to assess this during the evaluation. One project holder felt the research had no impact at all – “poor people are still being evicted from settlements as they become formalised” – other projects working directly with poor people claim income or life quality benefits for the communities they are working with. Most informants said that the main benefits will be realised later as the technology is more widely disseminated, or the policies are put in place.

Actions and activities which inhibit or can maximise impact

The projects which seemed to achieve the most, combined participatory action-research at community level with effective communication (and in one case policy advocacy) activities within on-going programmes with project partners who are already well respected policy activities in the sector. Most enjoyed working with their UK-based EngKAR partners and felt they brought useful technical expertise, opportunities to learn from elsewhere or scientific credibility, but clearly felt the junior partner in the work, and in some cases had to spend a lot of time convincing their UK-partners of the need to change project design to make it more locally relevant. There were several comments about DFID behaviour which undermined the impact, or potential future impact of work funded by the EngKAR Programme including rapidly changing policies and priorities, reluctance to fund research follow-up work, and DFID-I's inability to engage with the work. Many of these problems have been exacerbated over the last few years due to organisational changes in DFID-UK and DFID-I.

Recommendations:

How to optimize outcomes of existing projects

While the findings of this evaluation would suggest that much could be gained through project-specific support to communication and policy advocacy activities of the existing projects this is unlikely to be feasible. The emphasis for the existing programme should be to make sure as much knowledge is captured and made widely available as possible. Much of this is already being done by CIMRC. In addition it would be worth considering:

- Making a small amount of additional funding available for communication and policy advocacy activities of existing projects. Letting project holders know about this, and establishing mechanisms to ensure the resources are spent usefully.
- Establishing an e-mail list for projects working in India to make sure they are aware of other DFID EngKAR-funded projects and can get hold of project reports.
- Organising a high-level conference/workshop for EngKAR – funded project holders in India to provide a forum for them to showcase the results of their work to policy makers, practitioners and donors.
- Establishing a contact person in DFID-I who knows where to find more information about the projects on DFID and related websites and who can respond to requests for information from project holders, policy makers and other donors AND/OR commissioning an Indian organisation to provide this service.
- Encouraging DFID-I staff to take a practical interest in the existing projects and provide whatever limited support they can within their other work responsibilities.

How to strengthen dissemination and knowledge sharing activities in India

All of the above, plus:

- Developing a simple, framework for describing projects, including process and impact information that is:
 - Not going to change frequently
 - Layered (ie has summary information at different levels of detail linked to detailed project reports).
- Establishing a support network for people involved in DFID-funded work in India including an e-mail newsletter, a specific section of the Infrastructure Connect Website, and other services as required which might include regular seminars and conferences etc.
- Ensuring that (appropriate and effective) communication strategies are built into every project.
- Establishing new mechanisms to “join up” DFID funded research and programme work in India, and the Central Research Department and Policy Division in the UK.

Priority areas for DFID research funding in this area

- The key research questions in India have already been identified by each line department. DFID should base its programme on work within these themes, focusing on issues which will contribute towards the MDGs, and which focus explicitly on approaches which will benefit poor people.
- Topics which are likely to be important for DFID-I include: Climate Change; Water Resources: Local, state, National and Regional, especially groundwater / surface water availability for the poor; Equitable Services: the role of infrastructure development in sustainable, pro-poor growth; and Municipal financing.

How to improve research programme processes in India

- All informants felt that for DFID-funded research to be effective in India there should be much more interaction with DFID-I to assist with implementation, lesson learning and incorporation of the results into Indian and DFID policy, practice and programmes.
- Projects should be explicitly designed to strengthen Indian capacity. Proposals should describe the strengths of each of the partners, how they will each contribute, and should contain explicit capacity-building activities for both UK and Indian partners.
- Projects should be clearly located within longer-term programmes with clear strategies for scaling up or influencing policy (i.e. implemented by agencies with the commitment to take the ideas forward) and should link up with other research and policy work in India, with better communication of the results to line ministries.
- Projects should have realistic objectives with appropriate time-lines and budgets. They should be more action-orientated than pure scientific research with a shift of emphasis from the technology to communication and follow-up activities and should be interdisciplinary and inter-sectoral (because Indian government programmes are not).
- There should be an emphasis on close engagement with users. Policy makers and other stakeholders should also be involved as necessary. One way to do this is through a project advisory team involving all relevant departments and other stakeholders.

What is DFID's comparative advantage for infrastructural research in India?

DFID-funded research can play an important "catalysing role": funding otherwise difficult to fund research eg, with NGO's working closely with local communities, to identify technology for the poor, or providing scientific evidence to support implementation of big government programmes, or research that interfaces between government and civil society

1. Introduction

The EngKaR Evaluation as a whole

This report presents the findings of a Country Study in India as part of an evaluation of the Engineering Knowledge and Research (EngKaR) Programme of the UK Department for International Development (DFID). The evaluation was commissioned by DFID's Central Research Department (CRD) and covers the outputs and activities of the six EngKaR sector programmes over the period 2000 to 2004. The evaluation was carried out by Technopolis Ltd and the Overseas Development Institute (ODI) from July 2004 to December 2004 inclusive. The evaluation included desk studies based on project documentation, interviews with project holders, DFID staff and other stakeholders in the UK and visits to India and Kenya to interview project holders, DFID staff and other stakeholders. The Country visits took place in late November 2004.

EngKaR is a research for development programme divided into the six sectors of Infrastructure and Urban Development (IUD), namely: water; urban; energy; information and communication technologies (ICTs); geoscience; and transport. There are two, small, newer funds for cross-sectoral research and for the development of disability technology (not included in this study). The content of the research programmes is largely derived from a competitive bidding process traditionally held over an annual cycle. Proposals are made under theme headings relating to knowledge gaps identified within each sector. Commissioned research is also undertaken. The programme is currently funding approximately 180 projects spending £12m to £14m per year.

The evaluation as a whole sought to provide evidence regarding:

- The effectiveness of processes for identifying needs and opportunities;
- The added value and benefits of DFID inputs into the programme;
- The quality of the processes employed in running the programme;
- The quality and relevance of research outputs produced within each sector of the programme;
- The effectiveness of dissemination of programme outputs to identified stakeholders in both developing countries (DCs) and the UK;
- The value added in terms of poverty alleviation measures and other impacts on the poor;
- The extent of uptake by decision makers and other end users in developing countries (DCs).

And recommendations on:

- Possible strategies for future DFID funding in the areas of energy, water and sanitation, geoscience and transport research themes;
- Potential future areas of research not covered above;
- Process improvements that may be considered by DFID;
- Potential for strengthening dissemination and knowledge sharing activities;
- Potential actions to optimize outcomes of existing projects;
- Future evaluation activities.

The Country Studies

The country visits were primarily intended to generate information on:

1. An assessment of whether in-country activities are appropriate and relevant, and that knowledge gaps and poverty needs are addressed (NEEDS);

2. The extent to which programme activities assess and relate to local context – economic and political – and complement other initiatives both within and outside DFID. Context is crucial to whether engineering research has a broader impact; understanding context is crucial to maximizing research impact (CONTEXT);
3. The effectiveness of dissemination to identified stakeholders, including comparative review of the effectiveness of localised dissemination of targeted outputs, versus widespread dissemination of more generalised outputs (DISSEMINATION);
4. The influence on policy makers through improved decision making, policy formulation and needs specification (POLICY IMPACT);
5. The extent projects have identified, and engaged with, potential users or beneficiaries of the research – whether government, private sector or civil society – and any evidence of impact they have had (ENGAGEMENT / POVERTY IMPACT);
6. Actions and activities with a high degree of impact, that can be used to exemplify good practice and determine critical ‘success factors’ for future projects (SUCSESSES).

The country visits also hoped to identify ‘good news’ cases – aimed at showcasing high impact projects or groups of projects that exemplify the best that the programme has to offer.

The country studies included:

- A desk-study of available project documentation to assess how well the project had engaged and communicated with users and policy makers.
- In-country interviews with research performers, government officials, DFID officials and beneficiaries to assess the relevance, utility and impact of a sample of recently completed and on-going projects;
- In-country workshops with key research providers, users, policy makers and DFID staff to review the findings from the interviews and make recommendations for improved coordination, implementation, and communication of UK and country-programme based research.

The next section of this report presents the main findings and recommendations synthesised from all of these activities, followed by appendices providing further details as follows:

- A full list of projects in India 2000 – 2004 (Appendix 1);
- A summary of Projects Visited (Appendix 2);
- A Summary of Project Processes for Engagement and Impact (Appendix 3);
- A Summary of Project Processes for Communications (Appendix 4);
- Notes of the interviews with Project Holders, Other Informants and DFID India (Appendix 5);
- The Workshop Report (Appendix 6);
- The Workshop presentation (of initial findings etc) (Appendix 7)

2. Main Findings and Recommendations

General Comments / Caveats

- This review has looked at documentation from 52 EngKAR projects which were completed since 2001 or are still on-going. They include projects on Health Equipment (2), Urban Development & Housing (17), Energy (10), ICT (2), Transport (6), Water (15).
- The documentation is inconsistent, many project reports were not available from DFID UK. Furthermore it is almost impossible to assess the projects from the documentation – not even what they do and how they do it, and especially not impact on policy and practice.
- Before the visit, an attempt was made to assess from the documentation the degree to which projects had assessed user needs and the policy context, how well they had engaged with and communicated the results to users and policy makers, and their influence on policy and poverty. Analysis indicated that while most had undertaken some sort of user needs and policy context analysis, had engaged well with and communicated the results well to users, fewer had engaged effectively with, and communicated the results to policy makers. But “scores” and “descriptions” of these characteristics for individual projects based on the documentation often turned out to be completely wrong following interviews with project holders.
- Staff from seven projects were interviewed (one in the UK and 6 in India), including projects on disability technology, urban development & housing (2), energy (2), transport and water. Three other knowledgeable informants, and staff in DFID India were also interviewed.
- While relatively easy to learn about project process issues from the interviews, it was difficult to assess the project’s impact on policy, practice and poverty.
- The workshop brought together 24 people including representatives from x of the 7 projects, other researchers, research users and active and retired policy makers. There was a lively discussion with a wide range of (often contradictory) views expressed, with a general consensus that it was extremely difficult to make judgements based on the limited information available, and wide variation between the different projects.
- The main issues that emerged are described below.

Programme Relevance & Value

- Few of the non-project holders interviewed knew anything at all about the EnKAR programme, though some knew about other DFID-funded research programmes – the Forestry Research Programme (Gosain, Mitra).
- The impression is that the research is fragmented and narrowly focussed within specific sectoral agencies, there is little attempt to disseminate the results widely, and policy maker engagement focuses on junior administrators in line departments (Gosain).
- The list of project titles seems to cover the right issues (Workshop).
- DFID can however provide resources for projects that are difficult to fund from indigenous Indian sources – especially cross-cutting research and communication activities (Gosain, Mitra).
- While apex organisations (like IIT) can get resources locally for projects, Indian researchers in other organisations find it extremely difficult to get enough resources for the infrastructure and other requirements needed for good research.
- The research programme should give DFID a longer term view on Indian development issues – provided it can learn from it and absorb the results into its inevitably shorter-term programme (Mitra).
- DFID funded research can feed across to other agency programmes (Mitra).

- There is very little emphasis in Indian research on technology for poor people or development. A CSIR study on rural technologies in 1997 found little evidence that CSIR research had contributed anything (Kumar).
- Most (ICT) research in India focuses on high-tech solutions. There has been very little systematic assessment of the technology needs of the poor (Kumar).
- DFID-I recognises the need for research, and that valuable research needs to be longer term and more strategic. This can and does go on in parallel to DFD-I's development programme eg CLIFF In Bombay (DFID-I).
- Key topics for research in the future are likely to include: Climate Change; Water Resources: Local, state, National and Regional, especially groundwater / surface water availability for the poor; Equitable Services: the role of infrastructure development in sustainable, pro-poor growth; and Municipal financing (DFID-I).
- The programme may be more relevant for UK-based researchers needing to produce publications, than for India policy and practice (Workshop).
- Most of the projects, as originally designed, would have been irrelevant for the Indian context – many simply seek to try out ideas developed elsewhere in India. Fortunately it has been possible for Indian partners to negotiate with their UK-partners to develop mutually useful projects (workshop)

Needs assessment

- Some of the studies were really scoping studies or primary research (Urban Tenure).
- Some of the more technical projects undertook detailed needs assessments (SME Energy, Urban Energy).
- The Traffic Safety project could be described as 50% needs assessment, and 50% development and delivery of a road safety programme.
- Most emerge from existing work with well established partners already working in the field are already aware of the needs (Urban Housing, Vegetable Contamination)

Context assessment

- None of the projects undertook formal context assessments before starting or early in the project life.
- Some projects undertook a review of the existing legal and policy context (SME Energy) early in the life of the project while others collected this sort of information throughout the project with a view to incorporating the results in recommendations at the end (Urban Energy, Traffic Safety).
- But most projects are implemented by people who have been active in the field for some time and already know the political context very well and may even have contributed to it (Vegetable Contamination, Urban Tenure).
- Some issues are context free (eg pollution) while others are very context specific (eg watershed management). Others disagreed with this strongly saying all projects are highly context specific (Workshop)

User engagement

- All projects engaged well with users, but some projects seemed to be looking for users to test new ideas out on (SME Energy), while others already had an on-going relationship with communities through which they had together identified the need to test a new technology or approach (Urban Energy).
- While some projects have no further contact with users once the project is complete (SME Energy) others retain an involvement with communities and go on to explore other ideas (Urban Housing).

- Some projects regard their relationship with the users, and the goodwill and enthusiasm generated by the collaborative work, to be the most important mechanism to communicate the value of the approach to other practitioners and policy makers (Urban Energy).
- Stakeholder participation has become an expected norm in project design, but it is difficult, and may be counter-productive to seek to engage fully with all stakeholders for all projects (Workshop)
- The degree of engagement will be different at different levels (community – local – national) at different stages (workshop)

Policy Maker Engagement

- Policy makers in India tend not to be influenced by research. Most policy is politically driven, and research is driven by academic incentives (Urban Tenure)
- Some of the older and more technical projects do not seem to have engaged much with policymakers other than by working with them (KAFO, SME Energy).
- Most have engaged with local and national policymakers during the life of the project through visits, workshops, and seminars (Urban Energy).
- A few have more sophisticated approaches, for example the Vegetable Contamination project has established a project steering committee dominated by policymakers to guide the project throughout its life (a lesson they learned from the previous project which only engaged with policy makers much later on).
- The main aim of the projects should be to address the priority needs of poor people and come up with solutions that reduce their poverty. If projects do this, then policy makers will take notice (Workshop)

Communication and Dissemination

- Some of the older projects have done little more than produce a final report (and the SME Energy Project partner in India hasn't even seen it)
- Most produce a range of communication outputs for various audiences (Urban Safety).
- Some emphasise the importance of face-to-face dialogue through field visits, workshops and seminars (Urban Energy), though would like to do more through printed media if they had the resources (Urban Housing).
- Some are using sophisticated approaches involving the media (the predecessor to the Vegetable Contamination project had headline articles in the National Press) and/or IT/High Tech Media (Urban Safety).

Policy Influence

- Some of the older and more technology-focused projects didn't aim to influence policy, over and above generating some policy recommendation in the final report/workshop/seminar (SME Energy).
- Few of these projects claim a direct influence on policy, although some claim that very senior policymakers have expressed their interest and support (PKAFO).
- Some projects have emerged as a result of previous projects which contributed with other factors to creating a policy space and imperative for further work (Vegetable Contamination).
- Some projects, often by chance, have been noticed by other donors looking for new approaches, and have been taken up on a much larger scale than originally anticipated, providing models of practice which are more visible (Urban Energy).
- Many projects, as parts of an on-going programme of work, have contributed to a gradual process of policy reform (Urban Housing).

- Many project holders claim that the work contributed to enhancing their reputation and credibility as a result of which they have subsequently been asked to sit on Planning Commission Committees etc (Urban Tenure).
- Some project holders and other informants stressed the important role that donors can play in influencing policy despite the very low proportion of government expenditure they provide. USAID and the WB are good at this. (Urban Tenure).
- There is an increasing emphasis on commercial interests on policy making, especially in the urban sector (Urban tenure), and in engineering research (Kumar).
- Some informants stressed that in many sectors there are already good policies, it's implementation that is the problem (PKAFO, Urban Energy)

Poverty Impact

- One project holder pointed out that the work he had done on Urban Tenure had had no impact at all – “poor people are still being evicted from settlements as they become formalised” (urban tenure).
- Other projects that are working directly with poor people claim income or life quality benefits for the communities they are working with (PKAFO, Urban Housing, Urban Energy), though did not have empirical data.
- One project (SME Energy) claimed a study of the project's impact on poor people had been done, but he had never seen the final report.
- Most though claim that the main benefits will be realised later as the technology is more widely disseminated (PKAFO), or the policies are put in place (Urban Housing).

Process Issues

- It is difficult to combine work with NGOs and the commercial sector (KAFO)
- Most projects run slower than expected and achieve less of what they planned to achieve (KAFO), but many have unexpected spin off benefits (Urban Energy).
- Several complained that DFID is reluctant to fund follow-up activities after successful technology development & testing projects, especially if the approach is now no longer fashionable (KAFO) or potentially political (Vegetable Contamination).
- Most project holders regard the EngKAR projects as just one of a longer term programme of activities (Urban Tenure, Urban Energy), and DFID as a useful source of funds for things it is difficult to get funded locally (Gosain re FRP).
- Most projects enjoyed working with their UK-based EngKAR partners, who they felt either brought some useful technical expertise (Urban Safety), an opportunity to learn from elsewhere (Urban Housing), or scientific credibility (Vegetable contamination).
- Some complained that the projects had already been designed before they became involved, but were usually able to modify them (Urban Housing, Traffic Safety), very few seem to have been substantially involved in project design from proposal preparation stage (Vegetable Contamination), only one feels they were simply subcontracted to do a specific bit of research (SME Energy).
- The process of negotiating detailed project design with the UK-partner was a learning experience in itself (Workshop).
- The process of negotiation takes a lot of time, which reduces the already limited time available for the project. Projects should allow time for this and have more realistic time-lines (workshop)
- One project holder complained that their UK-based partner was unable to provide technical information that should have been easy to provide (Urban Housing).
- Some project holders have become involved in EngKAR projects because they already have relationships with UK-based researchers who can access EngKAR funds

(Vegetable Contamination, Urban Tenure). Others have been approached by EngKAR project holders who have heard about them or met them on the international conference circuit (Urban Housing). Some were found by UK-based researchers who were actively looking for partners in India for specific projects (Urban Energy, SME Energy). Others approached UK-based organisations looking for help (PKAFO).

- Most project holders were quite happy to let their UK Partner handle the relationship with DFID. One said that it is only OK if everything is transparent, especially about budgets (Urban Energy). Others felt they would like a more direct interaction and equitable “joint-contractor” status (SME Energy, Vegetable Contamination).
- There were several comments about DFID behaviour which undermined the impact, or potential future impact of work funded by the EngKAR Programme. These included:
 - DFID policies and priorities change quickly, and research that is fashionable one year is not fashionable the next making it difficult to get follow-up funds to capitalise on results (PKAFO)
 - DFID claims to want to fund work which has a policy impact, but is reluctant to fund the essential research follow-up work (Vegetable Contamination)
 - It is difficult to get DFID-I to take an interest in the work, when by doing so they could substantially increase its impact, sometimes because it's not a current priority (Urban Safety) or they don't have the time to visit project sites even when they're close to Delhi (Urban Energy).
 - One project complained that reports which they knew had been submitted by their UK Partner didn't get out to the country office (Urban Housing).
- There have been so many changes in DFID-UK and DFID-I over the last two years, that previously good linkages between DFID-I Advisers and EngKAR projects has become severed (DFID India).
- There used to be mechanisms within EngKAR to ensure that research was locally relevant (DFID-I).
- DFID-I would welcome the opportunity to engage with CRD to ensure that research in India is nationally relevant and useful. (DFID-I).

Recommendations to DFID (from the workshop)

- DFID-funded research can play an important “catalysing role”: funding otherwise difficult to fund research eg, with NGO's working closely with local communities, to identify technology for the poor, or providing scientific evidence to support implementation of big government programmes, or research that interfaces between government and civil society.
- But to be effective there should be much more interaction with DFID through the life of the project to assist with implementation, lesson learning and incorporation of the results into Indian and DFID policy, practice and programmes.
- The key research questions in India have already been identified by each line department. DFID should base its programme on work within these themes, focusing on issues which will contribute towards the MDGs, and which focus explicitly on approaches which will benefit poor people.
- Partnership: Proposals should describe the strengths of each of the partners, how they will each contribute to the project and should identify any gaps that need to be filled with other resources. Strengthening local partners should be an explicit part of the work.
- Projects should be clearly located within longer-term programmes with clear strategies for scaling up or influencing policy (i.e. implemented by agencies with the commitment to take the ideas forward) and should link up with other research and policy work in India, with better communication of the results to line ministries.

- Approach: Projects should have realistic objectives with appropriate time-lines and budgets. They should be more action-orientated than pure scientific research with a shift of emphasis from the technology to communication and follow-up activities. They should be interdisciplinary and inter-sectoral (because government programmes are not), and should be designed with sustainability in mind from the beginning, with proper monitoring and evaluation systems in place.
- Stakeholder engagement: Users should always be involved in the process. Policy makers and other stakeholders should also be involved as necessary. One way to do this is through a project advisory team involving all relevant departments and other stakeholders (eg vegetable contamination).

Appendix 1 – List of Projects in India 2000 – 2004

Projects marked with a star were interviewed.

* C1-P12	Pre-fabrication of Knee Ankle Foot Orthosis (KAFO) for low cost mass production and rapid fitting	Health
C1-P19	WorldMade wheelchairs Phase 1	Health
R6860	Guide to Good Practice in Core Area Development	Urban
R7138	Environmental Effects of Home-Based Enterprises	Urban
R7139	Transformation Dissemination	Urban
R7140	Affordable Shelter: Building That Grows	Urban
R7142	Rapid Spatial Planning for Investments in Urban Services	Urban
R7143	Capacity Building for Primary Collection of Solid Waste	Urban
R7171	Knowledge and Research Technical Transfer	Urban
R7233	Community Sustainable Development Indicators	Urban
R7234	Community Learning and Information Communication Centres (CLIC's)	Urban
R7292	Manual on Services for the Urban Poor	Urban
R7300	Income Generation Through the Provision of Integrated Sanitation Systems for Low-Income Urban Communities (Vacutug)	Urban
* R7395	Integrated Urban Housing Development in Kenya and India	Urban
* R7533	Innovative Approaches to Tenure for the Urban Poor	Urban
R7851	Regulatory guidelines for affordable shelter	Urban
R8063	Promoting Composting as a Business for the Urban Poor	Urban
R8326	Effective decentralisation State policy or municipal implementation? A scoping study	Urban
R6846D	Dissemination: Pico hydro for affordable village power worldwide	Energy
R7107	Windpump Commercialisation: Assistance to Existing Partners	Energy
* R7413	Mechanisms to Improve Energy Efficiency in Small Industries	Energy
R7659	Benefits of Improved Rice Husk Combustion	Energy
R7660	Extension Processes for Rural Energy (also in Rajpur)	Energy
R7662	Development of an Energy Appraisal Tool for Poor Communities	Energy
R7664	Facilitating the Establishment of Rural ESCOs	Energy
R8145	Modern Energy: Impacts on Micro-Enterprises	Energy
* R8146	Barriers to access to modern energy in slums	Energy
R8346	Gender as a Key Variable in Energy Interventions in Developing Countries: Are We Asking the Right Questions?	Energy
R8347	The economic impact of telecommunications on rural livelihoods	ICT
R7456	Improved Vehicle Maintenance Cost Relationships	Transport
R7476	Development of an urban safety management approach	Transport
R7780	Case studies to assess methodology for crash costing.	Transport
R8011	Promoting road safety through community education programmes	Transport
R8016	Enhanced accessibility for people with disabilities living in urban areas	Transport
* R8154	Promoting road safety through community education programmes	Transport
R6575	Gender Issues In The Management Of Water Projects	Water

R7123	Integration Of Aquaculture Within Irrigation System	Water
R7137	Integrated Planning And Management Of Water Resources	Water
R7386	Designing Water Supply And Sanitation Projects To Meet Demand: The Engineer's Role	Water
R7387	Institutionalisation Of Strategic Sanitation Practice	Water
R7804	Integrating drinking water needs in watershed projects (more widely known as WHiRL Water Households and Rural Livelihoods)	Water
R7980	Snow and Glacier Aspects of Water Resource Management in the Himalayas	Water
R8028	Gender issues in the promotion of hygiene and sanitation amongst the urban poor	Water
R8029	Improved risk assessment and management in urban piped water supply	Water
R8056	Capacity Building for Effective Decentralised Wastewater Management	Water
R8058	Community management of groundwater resources in rural India	Water
* R8160	Contaminated irrigation water and food safety for the urban and peri-urban poor: appropriate measures for monitoring and control from field research in India and Zambia	Water
R8169	Augmenting Groundwater Resources by Artificial Recharge (AGRAR)	Water
R8319	Charging to enter the water shop?	Water
R8320	Regulating Public Private Partnerships	Water

Appendix 2 – Summary of Projects Visited

Title	Sector	Location	Local Partner	Duration	Status	Cost	Type	Impact
C1-P12 - Prefabrication of Knee Ankle Foot Orthoses (KAFO) for low cost mass production and rapid fitting	Health	India	Local NGO	July 2001 – Dec 2003	Finished	£150,000	Tech. Dev. & Diss.	Technology developed but technical problems delayed testing & roll-out and not yet disseminated widely – needs follow-up. Some impact internationally.
R7533 – Innovative approaches to tenure for the urban poor	Urban	India & 14 others	University	Aug 1999 – June 2001	Finished	?	Basic Research (social) + Promotion	Very little, but may have contributed to Project Holder's reputation and influence and invitations to sit on commissions etc.
R8146 – Energy in Low-Income Urban Communities	Energy	India, Philippines South Africa	Local NGO	Jan 2003 – Dec 2004	Ongoing	?	Tech. Dev. & Diss	Technology developed and implemented (but funded by another donor) now being replicated widely.
R7143 – Mechanisms to Improve Energy Efficiency in Small Industries	Energy	India & Ghana	Local Consultant	July 1999 – March 2001	Finished	?	Tech. Dev. & Diss	Technology developed and tested in 2 potteries, but very little dissemination or impact.
R8160 – Contaminated irrigation water and food safety for the urban and peri-urban poor.	Water	India & Zambia	Local NGO	Aug 2003 – July 2007	Ongoing	£286,000	Basic research + Tech. Dev. + Policy	A continuation of previous work which increased scientific credibility of the NGO and its capacity to engage with policy makers and practitioners.
R7395 - Integrated Urban Housing Development in Kenya and India	Urban	India & Kenya	Local NGO	June 1999 – Mar 2003	Finished	?	Community-Development	Provided living proof of value of approach, which has been adopted by local and national policy makers.
R7476 - Development of an urban safety management approach	Transport	India & Indonesia	Local NGO	Oct 2001 – April 2002	Finished	£340,000	Basic Research + tech Dev + Diss.	Contributed to scientific credibility of NGO and capacity to influence policy makers and practitioners. Substantial uptake of lessons into policy and practice.

Appendix 3 – Summary of Project Processes for Engagement and Impact

This table assesses from project documentation each how each project approached Needs Assessment; Context Assessment; Policy Engagement; Policy Influence; User Engagement and Poverty Impact project on a scale from 1 to 5 (with 1 being little attention to the issue and 5 being high attention to the issue).

Code	Project Title	Sector	Needs Assessment	Context Assessment	Policy Engagement	Policy Influence	User Engagement	Poverty Impact	Documents Consulted
C1-P12	Pre-fabrication of Knee Ankle Foot Orthosis (KAFO) for low cost mass production and rapid fitting	Urban (Health)	5 Assess the need of people in need of cheap, durable and convenient KAFO from a sample of 250 people (aged 4 to 40)	5 Assessment of individual needs of people in need of KAFO to allow them to lead normal life	2 Very little policymaker engagement but efforts to engage other stakeholders (professionals, manufacturers, NGOs & users)	3 Extensive publicity campaigns, and made the effort to introduced to Government of India ministry through participation in their Access 2003 programme	5 Individual needs of users were explored	5 Adoption of engineering knowledge to increase welfare of the disabled and provision of training to manufacturers will create new jobs	Websites: Infrastructure Connect, DFID Research; IUDD EngKar CD 2004; C1-P12 project factsheet
C1-P19	WorldMade wheelchairs Phase 1	Urban (Health)	5 25 million disabled people in developing countries have no access to cheap mobility	5 The project seek advice of 'end users' of the best wheelchair design and pass the findings to private sector to mass-produce them	NA	NA	4 Consultation with end users is the main activity of the project	2 High in the adoption of engineering knowledge to increase welfare of the disabled, but if the products are still too expensive (private sector production will involve profit-making activities) the effect will be low	Websites: Infrastructure Connect, DFID Research; IUDD EngKar CD 2004; C1-P19 project factsheet

R6860	Guide to Good Practice in Core Area Development	Urban	5 Help city planners and decision makers to make flexible planning guidelines which will include the integration of low income housing and small business	5 Assess the political, economical and social need of low income workers and small business to integrate their activities with new commercial developments	5 Provide policymakers with guidance in integrating low income workers and small business needs	4 Guidelines developed to suggest a range of planning and land redevelopment mechanisms that helps reconcile the interests of low income communities with those of the authorities and private developers through partnerships (will change practices)	5 Engage the project's users and beneficiaries in practical participatory planning studies to explore practical implementation of the approach in appropriate core area locations	5 Will enable low income communities to withstand commercial and political pressures for their relocation	Websites: Infrastructure Connect, DFID Research; IUDD EngKar CD 2004.
R7138	Environmental Effects of Home-Based Enterprises	Urban	5 A continuation of R6265, "Mixed uses in residential areas: a pilot study" which examined the characteristics of home-based enterprises and its effect in the lives of low income households	5 Assess the relevance of strategies which would allow the poor to have more effecting working life and enjoy the benefit of home-based enterprises	2 Very little involvement of policy makers (only as resource persons in interviews), suggestion of changes from the current plan was only given to local lead designers	1 Very little evidence of policy influencing activities or change in policy can be found from the reports	3 Users and beneficiaries were involved in the study as resource persons but the feedback loop is still lacking (very few evidence found from the reports)	5 High potential of impact on household income (especially for women and the elderly)	Websites: Infrastructure Connect, DFID Research; IUDD EngKar CD 2004, and project documents/ reports)

R7139	Transformation Dissemination	Urban	NA A continuation of a previous project (R4865B) which tries to disseminate its findings.	NA	4 Workshops in 4 countries were done to instigate government action towards the issue, in addition pamphlets, manual and books were prepared to assist planners and decision makers in implementing the approach	4 Paragraphs on user-initiated transformations have been included in the Zimbabwe National Housing Strategy. Other countries to follow suit.	2 <i>No evidence of activities involving dissemination of the approach to the communities</i>	NA	Websites: Infrastructure Connect, DFID Research; IUDD EngKar CD 2004
R7140	Affordable Shelter: Building That Grows	Urban	1 No evidence of needs assessment, try to promote the utilisation of bamboo as affordable shelter because they are available	2 Test and proof that bamboo building is simple to erect, strong, durable and cost-effective, but sustainability remains an issue	NA	NA	1 Little evidence of user engagement in project activities	2 Potential to provide income generating activities from bamboo cultivation, mat weaving and the simple, low-skilled construction methods	Websites: Infrastructure Connect, DFID Research
R7142	Rapid Spatial Planning for Investments in Urban Services	Urban	4 The planning methods was tested live in five countries	3 Case study was done in Indonesia before expanding it to Nepal, India and 2 African Countries	2 Informing urban planners with a new urban planning methods that guide investments in urban infrastructure, but not involving them in the research phase	5 On-line resource (downloadable) and production and distribution of hundreds of copies of a trainer's and user's manual to educational/training centres and government offices	2 Low, only in training	NA	Websites: Infrastructure Connect, DFID Research

R7143	Capacity Building for Primary Collection of Solid Waste	Urban	5 Done in the previous project: R6540, "Micro Enterprise Development for Primary Collection of Solid Waste".	5 Done in the previous project: R6540, "Micro Enterprise Development for Primary Collection of Solid Waste" in 4 South Asian countries.	2 Capacity building for municipal corporations and NGOs, involvement of decision makers is not clear from the literature	3 Toolkit developed but other effort to disseminate the toolkit further to influence policy was not done	4 Involving local collaborators in the research as well as the dissemination of the research result	4 Addressing household waste problems as well as provision of jobs for the urban poor	Websites: Infrastructure Connect, DFID Research
R7171	Knowledge and Research Technical Transfer	Urban	4 Searching for feedbacks from end users for a common good practice methodology for the dissemination of research knowledge	NA	NA	NA	5 Involving project beneficiaries (poor urban communities) to gather their views and information requirements	NA	Websites: Infrastructure Connect, DFID Research; Project reports
R7233	Community Sustainable Development Indicators	Urban	2 The research is trying to test a hypothesis, this exercise can be a need assessment if the result is positive	2 Testing hypothesis in 3 communities in India to explore local context to better meets the needs of low-income groups, promotes sustainable development and ensures more accountable/ effective public institutions.	1 Involving local communities with minimal involvement of local policy makers	1 Dissemination of result of project through website, mainstreaming to city development plan and workshops. Not directly to local governments/ NGO/communities	3 Involvement of local communities as resource persons and partners	NA	Websites: Infrastructure Connect, DFID Research

R7234	Community Learning and Information Communication Centres (CLIC's)	Urban	2 The project formulates models and tests mechanisms aimed at improving the transfer of knowledge, information and skills to communities and their partners	3 Potentially the project can build capacity for improved planning and management of urban infrastructure, services and facilities	4 Work with local institutions and policy makers to build their capacity in managing information communication	NA Not described in the websites	5 Involving all parties involved in community learning and information disseminations	2 Potentially reducing poverty by providing access to information, not a direct cause/effect	Websites: Infrastructure Connect, DFID Research; project reports and publication materials
R7292	Manual on Services for the Urban Poor	Urban	5 Evaluated the needs of services for the urban poor and put it on a manual for government, donors and NGOs	5 Provide government, donors and NGOs working with local communities to provide services which are in need by the communities	5 Worked with all parties involved in provision of services and provide ideas for the betterment of local communities	4 The manual has been judged relevant to respondents' work and more are using it	5 All parties were involved including the local communities	2 Potentially reducing poverty, no evidence on the reports yet	Websites: Infrastructure Connect, DFID Research
R7300	Income Generation Through the Provision of Integrated Sanitation Systems for Low-Income Urban Communities (Vacutug)	Urban	1 Not clear from the literature consulted how needs assessment was done	1 Not clear from the literature consulted how context assessment was done	2 Co-ordination with city planners	3 Change of attitude from local communities towards sanitation systems	2 Involving the community members as service providers and others as customers as well as beneficiaries	4 Job provision to members of community to make low cost integrated sanitation system for their neighbours	Websites: Infrastructure Connect, DFID Research
R7395	Integrated Urban Housing Development in Kenya and India	Urban	4 Tested two sectoral projects in India, gauge the need of Integrated Urban Housing (IUH)	4 Trained 200 artisans to be employed in micro-enterprises to build IUH, 200 houses assisted in building or improving shelter (according to the need of the community)	2 Worked with various policy makers working in urban planning, but more focus to members of the communities	1 Progress have been slow and influencing policy have been difficult	4 Work closely with artisans but have difficulty in persuading the 'customers' of IUH to improve their shelter	4 Job creation to artisans	Websites: Infrastructure Connect, DFID Research; Project Reports and Books published as a result of this project

R7533	Innovative Approaches to Tenure for the Urban Poor	Urban	3 The project seek to secure land tenure systems for urban low-income groups and reducing distortions in urban land and housing markets	3 Securing tenure for the urban poor means basic need of their livelihood is also secured	3 The project seek to provide policy makers with intermediate tenure systems to improve security of tenure for urban low-income groups	3 The project demonstrated that there is a wealth of statutory, customary and 'intermediate' tenure systems	5 Involving urban low-income groups as resource persons and policy makers as facilitators	5 Potentially securing income generating activities for urban low-income groups	Websites: Infrastructure Connect, DFID Research
R7851	Regulatory guidelines for affordable shelter	Urban	5 Tested a hypothesis that regulatory frameworks inhibit rather than facilitate access to legal, planner and affordable shelter for the urban poor	5 The project argued that most poor households try to obtain modest initial standards (below the legal limits) of housing which they then improve slowly as resources become available, which was true after testing it in 5 countries	5 The project implemented surveys, interviews, workshops and reports which involved all stakeholders	1 Limited progress has been achieved	5 All stakeholders were actively involved	NA	Websites: Infrastructure Connect, DFID Research; project reports and publication materials
R8063	Promoting Composting as a Business for the Urban Poor	Urban	1 No needs assessment done	1 Benefits of composting was taken for granted	NA	NA	4 Work with local communities to reduce solid waste by composting	5 Income generation activities for local communities to make and sell compost as fertilisers	Websites: Infrastructure Connect, DFID Research
R8326	Effective decentralisation State policy or municipal implementation? A scoping study	Urban	5 A scoping study to set parameters for further research and to assess the needs of decentralisation in developing countries	5 Assess the political, socio-economic and planning strategy for decentralisation	NA Not a focus at this stage	NA	2 Involving State and Municipal staff as resource persons	NA	Websites: Infrastructure Connect, DFID Research

R6846D	Dissemination: Pico hydro for affordable village power worldwide	Energy	5 Socio-economic assessment was done to existing schemes	5 The project seek guidance from specialist especially collaborating organisations and pico-hydro network members	NA	NA	3 Seek to have socio-economic impact by generating low-cost electricity	1 Involving private companies to invest rather than community based	Websites: Infrastructure Connect, DFID Research
R7107	Windpump Commercialisation: Assistance to Existing Partners	Energy	5 The project assessed the need for renewable energy in developing countries	5 The project prepared a complete wind pump design package suitable for local condition and undertaken local market study	NA	NA	1 Very small engagement of end user, only involved in market assessment	2 Potentially reducing poverty through provision of electricity to enhance local production, ability of low-income families to pay for the electricity produced is still a question	Websites: Infrastructure Connect, DFID Research
R7413	Mechanisms to Improve Energy Efficiency in Small Industries	Energy	1 No evidence of needs assessment implemented by this project	3 The project explore the mechanisms, both technical as well as policy and institutional, for improving energy use efficiency in small industries	3 Recognising that regulators have a role in promoting the uptake of more energy efficient technologies and practices and needs to be supported with technical assistance	1 No evidence of policy influence yet	3 Work closely with small and medium-sized enterprises in India and Ghana	NA	Websites: Infrastructure Connect, DFID Research and Oneworld; DFID Energy Newsletter

R7659	Benefits of Improved Rice Husk Combustion	Energy	3 Identified that energy is obtained from rice husk is the largest (22%) in the countries of study and that majority of furnaces operate at low levels of efficiency (around 20%) leading to considerable waste	3 The project is trying to reduce the wasteful use of biomass fuels, on which a vast number of poor depend	2 Try to persuade donor agencies to focus on improving access to relatively simple and cheap technology that is already available	1 No evidence of policy change yet	2 Involving the low-income communities in the study and feedback of the result of the study	NA	Websites: Infrastructure Connect, DFID Research
R7660	Extension Processes for Rural Energy (also in Rajpur)	Energy	5 A need assessment project in itself. Tying to bring the subject of rural energy into mainstream extension networks	5 Done extensive context assessment by reviewing of existing training materials for institutes, and a worldwide (e-mail) survey of PRA practice, also organised workshops with trainers and practitioners of participatory processes	2 Produced tools and guidelines and disseminated it to partners, to selected training institutes, to respondents of the survey	2 Concluded that there is an overuse of PRA in India which began to produce negative effect. In Ghana the tools and guidelines are helpful	3 Involvement of training institutes and members of communities as resource persons	NA	Websites: Infrastructure Connect, DFID Research; project reports and publication materials

R7662	Development of an Energy Appraisal Tool for Poor Communities	Energy	5 The project analysed the energy needs of communities and the potential supply side options; it also implemented a scenario based approach to decision making	5 This project developed and demonstrated a tool 'Empower' that facilitate the selection of appropriate combinations of modern energy services to provide sustainable solutions for poor communities	1 Not engaging policy at this level, next step (new project) is proposed	NA	2 Limited involvement of end users in developing 'Empower' tools	NA	Websites: Infrastructure Connect, DFID Research
R7664	Facilitating the Establishment of Rural ESCOs	Energy	4 Identified a number of financial models and the range of benefits offered by current rural energy service companies (RESCOs), through a literature search and a number of site visits	3 Identified a number decision strands which are common to the wide range of RESCOs and incorporated it to the RESCO Design Tool	3 Provides tool to decision makers to support the establishment of RESCOs and so aid the formation of replicable commercial enterprises	1 Limited evidence of policy influence	1 Visits to RESCO in South Africa and India to collect data	NA	Websites: Infrastructure Connect, DFID Research
R8145	Modern Energy: Impacts on Micro-Enterprises	Energy	3 Conducted literature review to reveal a general assumption that modern energy services have a positive impact on the establishment and growth of micro-enterprises	3 Developed a robust methodology for evaluating the impact of modern energy on the establishment and growth of micro-enterprises in poor communities	4 The aim of this research project is to identify and quantify linkages between modern energy and micro-enterprise activity in order to inform policy and maximise the effectiveness of future interventions	3 Evidence of the use of methodologies by policy makers, government officials, development planners, donor agencies and development banks. Evidence of income generation by micro-enterprises	5 Involvement of micro-enterprises, policy makers, government officials, development planners, donor agencies and development banks	2 A number of micro-enterprises started (many failed), evidence of income generation	Websites: Infrastructure Connect, DFID Research

R8146	Barriers to access to modern energy in slums	Energy	5 Interviewed a range of stakeholders, and to conduct focus group discussions with residents of low income areas to gauge access and affordability of electricity services	4 Identified that provision of electrical supplies is tied to urban planning procedures and where supplies are available, bureaucratic requirements cause problems	3 Find that liberalised electricity supply industries, electricity distribution can be disengaged from local politics and that the private sector can take risks associated with investing in distribution networks in areas with no stability or security, which would be unacceptable to publicly accountable local government institutions	2 Community based connection programmes was introduced but with limited success	3 Work more with low-income communities, limited work with decision makers and private sectors	NA	Websites: Infrastructure Connect, DFID Research; project reports and publication materials
R8346	Gender as a Key Variable in Energy Interventions in Developing Countries: Are We Asking the Right Questions?	Energy	2 Conduct conceptual review on gender and energy policy for researchers, and asks what approaches to policy research could help make the linkages among gender, energy and poverty more understandable and more convincing to policy makers and practitioners	2 Evidence of trying to understand 'knowledge systems' around the project	1 Limited policy engagement, more of conceptual and theoretical approach	NA	1 Work more with researchers not much with other parties	NA	Websites: Infrastructure Connect, DFID Research

R8347	The economic impact of telecommunications on rural livelihoods	ICT	2 Desk based research on provision of rural telecommunications services through pro-poor policy environment created at national government level	3 The project highlighted the important part ICT is playing in socio-economic development and that people's utilisation of ICT is not just dependant on national decision makers	5 held a number of stakeholder meetings followed by research design meetings with key decision makers in India, Mozambique and Tanzania	5 National decision makers in the research countries have incorporated detailed ICT policies into National Development policies/Strategies	5 Work closely with key decision makers and informants	NA	Websites: Infrastructure Connect, DFID Research
R7456	Improved Vehicle Maintenance Cost Relationships	Transport	4 Extensive research on maintenance costs, spare part costs, and new vehicle price in developing countries	3 Identifying market characteristics (prices, taxes and subsidies) in developing countries that affect prices	4 Informing decision makers and city planners on improved accuracy of the Highway Development and Management Model (HDM4) and the efficiency with which funds for road construction and maintenance are allocated, and develop better vehicle maintenance and operating policies	1 Results of the research were made available to the HDM community and to the wider transport community through the project report and the Transport-Links website, but no evidence of policy change yet	1 Limited engagement with users	NA	Websites: Infrastructure Connect, DFID Research
R7476	Development of an urban safety management approach	Transport	2 Conducted a desk based literature review	3 Conduct case studies on road hierarchy/land use, traffic flows, accident statistics, consultation, design of (low cost) engineering interventions	1 Dissemination workshop of research results in Bangalore (India)	1 No evidence of policy influence	1 Limited user engagement, work only with key informants	NA	Websites: Infrastructure Connect, DFID Research; project reports and publication materials

R7780	Case studies to assess methodology for crash costing.	Transport	3 Assessed that the cost of road accidents was about US\$65 billion per annum, slightly higher than the total amount of official aid received by developing countries from all bilateral and multilateral agencies combined	3 Data collected to estimate each of the components contributing to the costs of road crashes in each of the study countries	NA The aim of the study is to provide better inputs to project evaluation not to change policy	NA	1 Limited work with key informants	NA	Websites: Infrastructure Connect, DFID Research
R8011	Promoting road safety through community education programmes	Transport	1 The need for road safety is taken for granted	1 Road users negligence of road safety is taken for granted	NA The aim of the project is to provide community education programmes for improving the safety of vulnerable and poor road users, not to change policy	NA	5 Work extensively with communities in countries of study	NA	Websites: Infrastructure Connect, DFID Research
R8016	Enhanced accessibility for people with disabilities living in urban areas	Transport	5 Assessing issues around access and the specific mobility needs of people with various disabilities in the developing world	5 The research team used qualitative methods to identify problems, practices and approaches; and collect documentation on good access practices being implemented in Europe, Latin America and Southern Africa	3 The project strengthen effective advocacy by the disability sector in order to raise awareness	3 Guidelines were prepared to address the issue of disabilities and access to transport by providing practical guidance on advocacy, cooperation and basic policy development, limited impact assessment done	4 Work closely with end users, not with other parties	NA	Websites: Infrastructure Connect, DFID Research

R8154	Promoting road safety through community education programmes	Transport	4 Reviewed papers on road accident modelling from the UK, USA, Canada, Sweden, Finland, Australia, New Zealand, South Africa, India and Ethiopia	3 Identified Three possible types of modelling, which reflect the kind of data that users already have to collect and inputted into HDM (the Highway Development and Management model). Will be put on trial in India and Tanzania.	1 Still on modelling and trial stage, no policy engagement	NA	2 Work closely with road users (as key informants) and road planners/decision makers in trial countries	NA	Websites: Infrastructure Connect, DFID Research
R6575	Gender Issues In The Management Of Water Projects	Water	5 Conducted literature review of worldwide experience, institutional policy and theoretical analysis	3 Field studies were done in Nepal and India to see the discrepancies between policy and practice	4 Identified that there is a wide gulf between policy and practice, even in organisations that appear to be gender-sensitive	1 No activities yet to narrow the gap between policy and practice	5 Work very closely with all parties involved	NA	Websites: Infrastructure Connect, DFID Research; project reports and publication materials
R7123	Integration Of Aquaculture Within Irrigation System	Water	5 Evaluated technical and institutional constraints to integrated management of canal systems for aquaculture and irrigation	1 No evidence of context assessment done	2 Provide guidance for decision makers on management of canal systems	1 No evidence of impact from the literature yet	2 Work with officials and users of canal/irrigation system	NA	Websites: Infrastructure Connect, DFID Research
R7137	Integrated Planning And Management Of Water Resources	Water	4 Evaluated belief and decision systems in integrated development and management of water resources	5 Analysed the impacts of different management strategies or actions on a wide range of factors	4 The project provide an effective stakeholder engagement technique that can be used as a tool for conflict resolution	1 No evidence of policy change/influence can be found from the literature	3 Work closely with watershed committee and users	NA	Websites: Infrastructure Connect, DFID Research

R7386	Designing Water Supply And Sanitation Projects To Meet Demand: The Engineer's Role	Water	5 Review of current international practices and promising approaches to designing to meet demand for water including scope and constraints	5 The project had explored the differing approaches needed for sanitation. Conducted case studies from Nepal, South Africa, Tanzania and India	3 Conducted workshops to test draft guide and monitored use on project(s) with key decision makers and other stakeholders	1 No evidence of policy change/influence can be found from the literature	1 Desk based review, limited interaction with other parties except in workshops/seminars	NA	Websites: Infrastructure Connect, DFID Research
R7387	Institutionalisation Of Strategic Sanitation Practice	Water	1 The need for Strategic Sanitation Practices (SSP) is taken for granted	NA	3 Dissemination of SSP through distribution of manuals, conduct workshops and working with local training institutions to develop training courses designed to encourage greater use of SSP	1 Not much evidence found from the literature consulted of implementation of SSP	3 Work with Municipal officials	NA	Websites: Infrastructure Connect, DFID Research
R7804	Integrating drinking water needs in watershed projects (more widely known as WHiRL Water Households and Rural Livelihoods)	Water	5 Extensive research on water management in study areas	5 The project conducted assessment, planning, management and monitoring that draw on best practices from semi-arid areas of India and South Africa	3 Piloted 4 approaches in India and work closely with decision makers	2 Still in the process of evaluating impact, but early indication of success have emerged	5 Work very closely with all parties involved in water management	2 Potentially increase income for poor people from the cost saved to have access to water	Websites: Infrastructure Connect, DFID Research, WHiRL; Reports and book published based on this research

R7980	Snow and Glacier Aspects of Water Resource Management in the Himalayas	Water	3 Basic research to assess the seasonal and long-term water resources in snow and glacier fed rivers originating in the Himalayas and to determine strategies for coping with impacts of climate change induced deglaciation on the livelihood of people in the region	3 Data collection and model development of glacier resources and movements	NA	NA	1 Collected list of potential beneficiaries for dissemination of research result	NA	Websites: Infrastructure Connect, DFID Research
R8028	Gender issues in the promotion of hygiene and sanitation amongst the urban poor	Water	5 The first phase of this project involved a thorough and extensive review of literature related to the topic of gender and sanitation, particularly in relation to the	5 The second phase was spent in developing an understanding of the policies, strategies and practice of a wide range of governmental and non-governmental	4 Work very closely with all parties (policy makers, professionals, practitioners, NGOs, donors) involved in urban sanitation	4 Detailed fieldwork has now been designed and is being implemented in selected areas of Dhaka and Chittagong in Bangladesh and Sangli, Maharashtra and	5 Work on day-to-day basis with end users	2 Potentially increase health status of the urban poor and thus enable them to be more productive	Websites: Infrastructure Connect, DFID Research
R8056	Capacity Building for Effective Decentralised Wastewater Management	Water	urban poor in India and Bangladesh and review	agencies and programmes working in the sanitation sector	3 Prepared policy guidance material for planners,	Qutubullapur in Andhra Pradesh, India	5 Worked together with poor communities to	NA	Websites: Infrastructure Connect, DFID Research
R8029	Improved risk assessment and management in urban piped water supply	Water	background information, assessed and approved forms of piped water treatment technologies and the framework for the Safety Plan (MSP) requirements	The framework, and criteria in India and Uganda relating to decentralised wastewater management	decision makers, organised workshops designed to assist and present urban planning international seminars as well as in scientific	1 Bulk of the work are still in developing the framework, little impact on policy yet	5 solve waste water Worked closely themselves processing plants	NA	Websites: Infrastructure Connect, DFID Research; project reports and publication materials
R8058	Community management of	Water	5	5	publications	3	4	NA	Websites:

	groundwater resources in rural India		Detailed case studies were undertaken in three states to assess the impacts on, and responses to, groundwater overabstraction by rural communities and to explore the potential for community management of groundwater resources	Field studies and desk studies, including a review of literature on the management of common pool resources and hydrogeology and issues of scale of groundwater exploitation	The project has produced guidance based on the project findings, aimed at government, donors and NGOs, which locates the findings, in terms of the feasibility of community-based responses, in the wider context of groundwater management debate in India	Evidence of increased awareness of the problems observed in workshops	Work closely with end users		Infrastructure Connect, DFID Research
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R8160	Contaminated irrigation water and food safety for the urban and peri-urban poor: appropriate measures for monitoring and control from field research in India and Zambia	Water	5 Conduct scientific investigations in source-pollutant-impact relations and assess the potential of suitable low cost monitoring techniques as a tool for poor communities to measure the quality of wastewater for irrigation	5 Conduct farmer field studies and policy analysis to explore context of research	1 The project aimed to improve awareness of appropriate methods for monitoring sources of pollution and assess appropriate measures for monitoring and control of source-pollutant-impact relationships associated with industries	2 As the project is in its initial stages, no results for heavy metal contamination of crops are available yet	3 Work with end users with difficulties (contaminated water are the only water available to them)	NA	Websites: Infrastructure Connect, DFID Research
R8169	Augmenting Groundwater Resources by Artificial Recharge (AGRAR)	Water	4 Conducted physical monitoring and characterisation, gathered preliminary socio-economic data	5 Field trial in three comparative research sites to provide contrasting hydrogeological, meteorological and socio-economic environments	NA	NA	1 Work mainly with NGOs and universities to increase their knowledge and capabilities	NA	Websites: Infrastructure Connect, DFID Research
R8319	Charging to enter the water shop?	Water	5 Conducted interview and focus group discussion with urban poor communities	5 Field trial in two countries to enable households to access the convenience and reduced costs of a piped water supply	2 The project is still in an early stage, preliminary findings proved that pipe connection is still expensive for poor households	NA	3 Work with end users and other parties in field trials	NA	Websites: Infrastructure Connect, DFID Research

R8320	Regulating Public Private Partnerships	Water	3 Conduct an inception phase workshop	2 Held discussions with all parties to assess the ability of PPP to deliver viable tariffs which enable financeable asset investment focussed upon the needs of all consumers	1 The project is still in early stage, but it is planned that to disseminate research directly to the policy-makers will be done through various presentations on economic regulation of water for the poor at Asian Development Bank's Water Week	NA	1 Little evidence that the project work with end users	NA	Websites: Infrastructure Connect, DFID Research
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Appendix 4 – Summary of Project Processes for Communications

This table assesses from project documentation each how each project approached various aspects of communications on a scale from 1 to 5 (with 1 being little attention to the issue and 5 being high attention to the issue).

Code	Project Title	Sector	With target group	With policymakers	Dissemination of results	Comms impact assessment built into project
C1-P19	WorldMade wheelchairs Phase 1	Urban (Health)	5 Feedback from users during field trials was integrated into wheelchair design	2 Little attention (?)	5 Produced report, training package. Developed links with companies/academic institutions. Info on CD-ROM and internet to local partners.	? (Not as far as I can see)
R6860	Guide to Good Practice in Core Area Development	Urban	3 Pilot urban development studies and workshops in Delhi, Cairo, Jakarta and Recife	2 Little attention (?) despite the fact that local government has a key role to play in facilitating the approach	3 Good practice guide. A methodology for preparing development briefs.	? (Not as far as I can see)
R7138	Environmental Effects of Home-Based Enterprises	Urban	3 Participant observation, informal discussions, and interviews with officials.	2 Little effective planning of how to do this although policy change is key goal of project.	5 Workshops in communities, exhibitions, action, wide dissemination of findings	3 Indirect assessment through implementation
R7139	Transformation Dissemination	Urban	2 Communities or NGOs do not seem to be involved	4 4 country workshops to influence policymakers	3 Code of practice for local planners. Book. Report.	1 (Not as far as I can see)
R7140	Affordable Shelter: Building That Grows	Urban	3 Beneficiaries and NGOs have responded to project.	1 Doesn't seem to be considered.	4 Poster, manual and video to be disseminated at end of project. Seminar.	1 (Not as far as I can see)
R7142	Rapid Spatial Planning for Investments in Urban Services	Urban	4 Testing of the draft practice guide and trainer's manual in 2 live projects	2 Sent out reports to govt offices	3 Distribution of hundreds of copies of a trainer's and user's manual to training centres and government offices	2 Indirect assessment through live projects
R7143	Capacity Building for Primary Collection of Solid Waste	Urban	5 Toolkit. Targeted, brief outputs. Action research.	3 Indirect	5 Close links with collaborators	1 (Not as far as I can see)

R7171	Knowledge and Research Technical Transfer	Urban	5 Developed methodology for local feedback of Research	2 Not evident in plans	5 In communities	1 Not as far as I can see
R7233	Community Sustainable Development Indicators	Urban	5 Community participation	2 Indirectly through DAC	3 Website, handbook, promoted through DAC	1 Not as far as I can see
R7234	Community Learning and Information Communication Centres (CLIC's)	Urban	4 Information and skills to communities and partners	2 Not evident in plans	3 Probably, though not evident	1 Not as far as I can see
R7292	Manual on Services for the Urban Poor	Urban	5 (Target group is policymakers)	5 Specifically targets govt, donors and NGOs	5 To target group	2 Indirect assessment through sporadic feedback
R7300	Income Generation Through the Provision of Integrated Sanitation Systems for Low-Income Urban Communities (Vacutug)	Urban	3 Seem to have worked closely with communities (?)	1 Not evident in plans	1 Not evident in plans	1 Not that I can see
R7395	Integrated Urban Housing Development in Kenya and India	Urban	5 Worked with communities	3 Worked with some policymakers	2 Not evident in plans	4 Local impact assessment (though not specifically on communication aspect)
R7533	Innovative Approaches to Tenure for the Urban Poor	Urban	5 Worked with communities	2 Not evident in plans	3 Through networks (eg Global Campaign for Secure Tenure)	1 Not as far as I can see
R7851	Regulatory guidelines for affordable shelter	Urban	3 Targeted relevant agencies	2 Attempts made but apparently (on the whole) not successful	5 Training video, reports, manual	4 International workshop to evaluate lessons learned (though not specifically on comms aspect)
R8063	Promoting Composting as a Business for the Urban Poor	Urban	4 Pilot projects	1 Not evident in plans	5 Guidelines, distribution of handbook, website, journal article	1 Not as far as I can see
R8326	Effective decentralisation State policy or municipal implementation? A scoping study	Urban	3 In-country consultation	1 Not evident in plans	3 Probably distribution of papers, though not evident in plans	1 Not as far as I can see
R6846D	Dissemination: Pico hydro for	Energy	5	1	5	1

	affordable village power worldwide		Collaboration with targeted engineers	Not evident in plans	Downloadable manual, newsletters, targeted courses. Manual has been popular	Not as far as I can see
R7107	Windpump Commercialisation: Assistance to Existing Partners	Energy	4 Work with partners and planned test projects	1 Not evident in plans	3 Wind pump design package	1 Not as far as I can see
R7413	Mechanisms to Improve Energy Efficiency in Small Industries	Energy	4 Work with local SMEs	2 Mentioned, but not evident in plans	1 Not as far as I can see	1 Not as far as I can see
R7659	Benefits of Improved Rice Husk Combustion	Energy	3 Demonstration unit set up	1 Not evident in plans	4 Dissemination visit to Bangladesh	1 Not as far as I can see
R7660	Extension Processes for Rural Energy (also in Rajpur)	Energy	4 Field-testing of participatory tools	1 Not evident in plans	1 Not evident in plans	1 Not as far as I can see
R7662	Development of an Energy Appraisal Tool for Poor Communities	Energy	4 Focus on inclusive approaches	1 Not evident in plans	3 Linked to a separate dissemination project	1 Not as far as I can see
R7664	Facilitating the Establishment of Rural ESCOs	Energy	2 Field visits	3 Are thinking of collaborating with policy 'champions'	2 Dissemination workshops	2 Indirectly through sporadic feedback from users
R8145	Modern Energy: Impacts on Micro-Enterprises	Energy	1 Not evident in plans	1 Not evident in plans	2 Dissemination at end workshop	2 'Lessons learned' at end workshop
R8146	Barriers to access to modern energy in slums	Energy	4 Focus on strong local relationships	2 Perhaps, but not evident in plans	4 Set of targeted policy reports	1 Not as far as I can see
R8346	Gender as a Key Variable in Energy Interventions in Developing Countries: Are We Asking the Right Questions?	Energy	1 Not evident in plan	1 Not evident in plan	3 Through network of researchers	1 Not as far as I can see
R8347	The economic impact of telecommunications on rural livelihoods	ICT	4 Careful communication with stakeholders	3 Project explicitly aims to influence p-ms, but cannot tell from the summary what the strategy is	3 Project aims to communicated results, but cannot tell from summary how this will happen	2 No mention, but still early days

R7456	Improved Vehicle Maintenance Cost Relationships	Transport	3 Early consultation over research methodology	2 Not written into the research report, but presumably will happen later down the line	4 Project reports and a website	1 Can't see one
R7476	Development of an urban safety management approach	Transport	4 Training, manuals, seminars, guidelines	4	4 1-day workshop to disseminate findings	1 Can't see one
R7780	Case studies to assess methodology for crash costing.	Transport	2 Not evident in summary	2 Not evident in summary	3 Report and guidelines available on web	1 Can't see one
R8011	Promoting road safety through community education programmes	Transport	5 Careful communication throughout	3 Communication not so evident with p-ms	4 Guidelines on web	4 Good practice report
R8016	Enhanced accessibility for people with disabilities living in urban areas	Transport	4 Workshop, demo projects	3 Working paper	4 Guidelines, demo projects, workshop	1 Can't see one
R8154	Promoting road safety through community education programmes	Transport	2 minimal	2 Not apparent	2 No mention of active dissemination	1 Can't see one
R6575	Gender Issues In The Management Of Water Projects	Water	3	4 Articles, national level workshop	5 Clear dissemination strategy. Project extended to complete this	3 Can't see one, but project was extended to ensure proper dissemination
R7123	Integration Of Aquaculture Within Irrigation System See. http://www.dfid.stir.ac.uk/dfid/kar/guidelines.pdf	Water	3	4 Guidelines for p-makers	4 Website including link to guidelines	1 Can't see one
R7137	Integrated Planning And Management Of Water Resources	Water	4 Stakeholder engagement techniques developed	4 Further action planned	4 Guidelines disseminated globally	1 Can't see one
R7386	Designing Water Supply And Sanitation Projects To Meet Demand: The Engineer's Role	Water	3 International guidelines produced. Local guidelines planned	2 Not evident in summary	3 Report and practical guidelines produced	1 Can't see one
R7387	Institutionalisation Of Strategic Sanitation Practice	Water	5 Comprehensive dissemination process at the heart of project objectives	5	5	2 Can't see one

R7804	Integrating drinking water needs in watershed projects (more widely known as WHIRL Water Households and Rural Livelihoods)	Water	5 Advocacy materials	5 Outputs include papers, guidelines and training	5 Website and comprehensive dissemination plan	1 Can't see one
R7980	Snow and Glacier Aspects of Water Resource Management in the Himalayas	Water	3 Still early stages, but dissemination plans are being made	3	3	1 Can't see one
R8028	Gender issues in the promotion of hygiene and sanitation amongst the urban poor	Water	5 A series of workshops planned to disseminate findings and gather feedback	5 Local partnerships formed to develop practical dissemination strategies	5 Project plan includes the development of appropriate dissemination mechanisms	2 Can't see one, but maybe it exists
R8029	Improved risk assessment and management in urban piped water supply	Water	4	4 Workshops and several papers published	3	1 Can't see one
R8056	Capacity Building for Effective Decentralised Wastewater Management	Water	5 Communication is at the heart of the project objectives.	5 Outputs include guidance material for p-makers, and a video training module	4	2 Can't see one, but maybe it exists
R8058	Community management of groundwater resources in rural India	Water	2 Little evidence of active dissemination	2 Series of seminars	2 Findings are disseminated through contacts involved in the research	1 Can't see one
R8160	Contaminated irrigation water and food safety for the urban and peri-urban poor: appropriate measures for monitoring and control from field research in India and Zambia	Water	3 Early stages, but planning for dissemination has started	3	3 Website planned amongst other initiatives	1 Can't see one
R8169	Augmenting Groundwater Resources by Artificial Recharge (AGRAR)	Water	4 Research plan includes discussion with target communities re. findings	4	4 Website and various publications	1 Can't see one
R8319	Charging to enter the water shop?	Water	3 Planned global workshop	3 Planned guidelines	3 Still early stages, but plans are afoot	1 Can't see one
R8320	Regulating Public Private Partnerships	Water	4 Communication and participation central to the approach	5 An explicit strategy of direct communication with p-makers	4 International workshops, high profile presentations etc	1 Can't see one

Appendix 5 - Interview Notes

1. Project Holders

C1-P12 - Prefabrication of Knee Ankle Foot Orthoses (KAFO) for low cost mass production and rapid fitting

Main sector of Activities: Disability and Rehabilitation

Person Interviewed: Kamala Achu (Female)

Position: Executive Director, Jaipur Limb Campaign, 404 Camden Road, London N7 OSJ

Background: ?

Date: 10th November 2004

1. Project Outline:

This aimed to improve the lives of adults and children who suffer the effects of polio. Together with Mobility India, the project researched and developed a system to mass produce light weight caliper components - Prefabricated Knee Ankle Foot Orthosis (PFKAFO) - to reduce costs, to deliver the service quickly (early intervention to help prevent secondary disabilities) and create the means for approach to be replicated throughout India through the government, private sector and groups supported by Mobility India. The project worked with a private sector company to develop a plastic moulding process to supply cheap, ready-made and easy to fit plastic alternatives to heavy metal calipers (that are often not tolerated well by children)

2. Implementation

The project was implemented pretty much according to plan, though there were many technical organisational and technical problems with the plastics company (secrecy and mould problems etc), which slowed things down and limited the number that could be fitted and tested. Over 2500 plastic callipers were fitted, 220 professionals trained, and a publicity campaign through trade fairs and a TV commercial. The project achieved what it set out to do, but now needs a second dissemination phase (see below).

3. Needs Assessment?

JLC always works with southern partners like Mobility India. Mobility India approached JLC for help to explore this approach. There was no explicit needs assessment for this project. Mobility India knows the need (50 million disabled people in India need prosthetics or orthotics & existing technologies are expensive, often rejected, and often just not accessible to the poor – except in residential institutions, or through charity “camps”). While the incidence of polio is now very small, there are a large number of victims who will need orthotics for life. No market studies were done to assess the potential for the plastics company to sell the PFKAFOs profitably before the project.

4. Context Assessment?

Mobility India is one of the main players in the context – though focuses more on helping disabled people by working with the government, private and charitable organisations than working on the policy and high level programme issues. There are no other organisations working systematically on these issues in India. India has good policies and strategies for dealing with disability right down to District level (essentially free access to all who need help), but is unable to put them into practice. Many private sector clinics sell expensive imported orthotics to rich people.

5. Policymaker Engagement?

Little engagement with policy makers other than by working with them (see above) and by trying to get the new PFKAFOs into training courses at the national institutes.

6. Evidence of Policy Influence

Little evidence of policy influence, though is evidence of interest by policy makers (Mahila Gandhi expressed interest in the PFKAFO at a trade show).

7. User Engagement

Very good user engagement in the process through Mobility India more than 2500 were fitted and tested during the project (aimed for 8,000, but there were many problems with manufacture & supply etc). Also close engagement with the supplier, government and NGO staff involved in work on disability through workshops and training courses etc.

8. Dissemination

See above. Main emphasis was on active dissemination through the trails with partners, through training courses for staff from NGOs, the private sector and the national institutes (government) and through lobbying the Indian Society of Prosthetics. It is a difficult market to sell the idea to though. While NGOs are very keen because it is better and cheaper than existing technologies, private sector suppliers prefer to sell expensive imported equipment, and the government has little money and rigid bureaucracy. An application for Phase II funding to do this in 2003 was turned down (see 10 below). It has not been possible either for Mobility India or the JLC to raise resources for this elsewhere as most international donors are increasingly reluctant to fund NGOs to do this kind of programme. The technology was presented at an Annual Conference of the International Society of Prosthetics in Hong Kong, which wants to develop the idea further by adding an articulated foot, though JLC thinks it would be better to focus more energy on disseminating the existing model rather than trying to improve the technology itself.

9. Poverty Impact

???

10. Is there anything else you want to tell us?

DFID's (EngKAR's?) original approach to disability work has shifted from looking at technology and service provision to a rights-based approach working with Disabled People's Organisations, relying on the state and private sector to deliver appliances and services rather than NGOs. An application by JLC for a second phase project to disseminate and build on the results of the first phase, and look for economies of scale through CNC moulds etc was turned down in 2003. JLC thinks DFID should be prepared to finish what it started and invest in the necessary dissemination and follow-up.

R7533 – Innovative approaches to tenure for the urban poor

Main sector of Activities: Urban Development

Person Interviewed: Professor Amitabh Kundu (Male)

Position: Professor, Centre for the Study of Regional Development, Jawaharlal Nehru University, New Delhi, 110067

Background: ?

Date: 17th November 2004

1. Project Outline:

A multi-country study into urban land tenure systems and the likely impact of programmes to streamline legal and administrative systems to provide legal tenure. The project aimed to test de Soto's prediction that improved legal and administrative frameworks will facilitate economic growth and development.

2. Implementation

The project was implemented in 3 phases. The first phase was pure research and resulted in a book. The second phase was designed specifically to try to engage policy makers with the results of the study. A third phase (after the EngKAR project funding had finished) aimed to develop practical plans and policy recommendations. Much of this is captured in a special edition of Habitat International (Habitat International 28 (2004) Pergamon Press).

3. Needs Assessment?

This was a social rather than technical study. There was no formal needs assessment. It grew out of the shared interests of Geoffrey Payne and Professor Amitabh in Urban Development, to test the prevalent narrative in India that improved legal and administrative frameworks are good for the poor.

4. Context Assessment?

There was no formal context assessment. Professor Amitabh has been working on these issues for years. He has a profound understanding of the political context, knows many of the key actors personally and is frequently asked to sit on Planning Commission Consultative Groups on urban development issues.

5. Policymaker Engagement?

There were no specific activities with policy makers though a wide range of information materials were produced (see below).

6. Evidence of Policy Influence

None (according to Professor Amitabh). Although he went on to describe how he had been invited to sit on the Justice Nanawati Commission of Enquiry into Urban Poverty (probably because of his long association with the field and his newspaper articles rather than specific publications from this project), to help produce a BBC TV programme about urban poverty shot in the study area (though probably because Geoffrey Payne's wife works for the BBC) and to an international conference on Urban poverty in Johannesburg (with world leaders participating by video-link) (though again probably because of personal contacts rather than this study).

7. User Engagement

Not relevant for this study.

8. Dissemination

The project produced a wide range of outputs including a book, BBC film, policy briefs, pamphlets, articles in Indian newspapers and economic journals etc, but there were no workshops or seminars, or any specific communication strategy.

9. Poverty Impact

None. Poor people are still being evicted from the slums

10. Is there anything else you want to tell us?

Policy makers in India are not directly influenced by research. The long-running Indo Dutch research programme with the ICSSR has emphasised dialogue with policy makers at all stages from research formulation (which Prof. Amitabh thinks is a bad idea since policy makers can then distort it to their own ends) to workshops with Secretaries and Joint Secretaries to discuss the results. A recent evaluation which included interviews with many policy makers failed to find a single one who had even heard of the programme.

It is not possible to demonstrate a simple connection between research results and policy in India and academics make very little impact. Most policy making is politically driven, and lacks empirical support. Eg the Recommendations of a Planning Commission Committee on labour liberalisation chaired by Montek Ahluwalia which recommended opening up the service sector (shopping malls etc) to foreign direct investment was “toned down” by a subsequent Committee because it was not politically acceptable and both camps lacked the empirical evidence to support their case. A consultative group set up since the last election by the Planning Commission (a well established mechanism in India to bring research-based evidence into policy making) was dissolved because one member from one of the left-wing parties objected to the presence of foreign advisers (WB, USAID etc), although their inputs have been welcomed in the past.

Donors and NGOs can play an important role in bringing evidence to the notice of Policy Makers, not because of the money they bring (Overseas Aid is a very small part of Govt expenditure), but because they can afford to take policy makers on overseas visits, or training courses and run high-profile workshops and seminars with well known academics etc. USAID seems to be particularly good at this. DFID has been good in the past at creating spaces where academics and policy makers can get together to “think outside the box”. But they need people and resources to do this.

The emphasis on private sector development has introduced a different commercial approach to Urban Planning in India. The recent 18 page Bombay Urban Master Plan was produced by McKinsey (people say this is because Montek’s son works in McKinsey), where generating a “vision” (often imported from abroad – eg the Johannesburg City Development Plan) is more important than traditional research-based approaches to urban planning.

R8146 – Energy in Low-Income Urban Communities

Main sector of Activities: Energy

Person Interviewed: Mrs Reeva Sood, Executive Director, Priyanka Awasthi, Assistant Director, Marfi (?), Project Coordinator (?)

Organisation: The Indcare Trust, Plot R-66, Colonel Bhatia Marg, Green Avenue, Vikas Nagar, Hastal, New Delhi, 1110059

Date: 17th November 2004

1. Project Outline:

The project aimed to undertake research in India, The Philippines and South Africa to gather evidence to promote pro-poor policy in public service provision to improve the access and affordability of electricity services to the urban poor.

2. Implementation

- Following substantial face-to-face discussions between Gamos and the IndCare Trust to establish the principles of the collaboration, and the development of an MoU, the proposal was developed by e-mail. On the first visit Gamos and InCare staff held discussions with a wide range of stakeholders (community, service providers and policy makers - including the Minister!) to identify project areas and approach and focus group discussions in each area. (There followed a review of electricity industries and pro-poor policy instruments, drawing on other utilities and key players in partner countries.) After similar preliminary work in the Philippines and South Africa, Gamos organised a workshop in India in which the project partners compared results from the preliminary surveys in each country and developed detailed household surveys. Following this IndoCare undertook the survey in 3 communities (220 households), and a preliminary data analysis. Gamos undertook further analysis in the UK, and prepared a preliminary report for discussion at a workshop for all stakeholders in India. Gamos is currently finalising the report in the UK, after which it will be returned to IndoCare for translation and distribution (in appropriate forms) to all stakeholders.

3. Needs Assessment?

Yes – meetings with all stakeholders at all levels, and focus-group discussions at community level identified electricity supply as a key problem.

4. User Engagement

Complete – users have been involved in all stages, from needs identification through the research phase to developing and implementing the pilot scheme. User engagement is one of IndCares guiding principles.

5. Context Assessment?

Yes – through the discussions described above, and the literature review.

6. Policymaker Engagement?

Yes – as described above. IndCare has been working with poor urban communities in Delhi for many years, running projects for a wide range of organisations including Municipal Departments, Utility Companies, The Government of Haryana, action Aid, USAID and the Ministry of Health. They work through women's groups (16,000 members in Delhi) and provide microfinance. They are highly respected, but have deliberately retained a low profile and have retained their focus on community-level work. They have good access to senior policy makers up to Ministerial level. They were able to engage policy makers interest in this project from the beginning – setting up initial meetings with them as the project was being designed, and at workshops when the results of the study were presented.

7. Evidence of Policy Influence

While it has generated substantial interest locally, the project has not yet achieved any impact on policy or practice in the survey areas. However IndCare's reputation attracted the attention of a USAID-funded project wanting to trial new forms of electricity supply to poor urban areas. They succeeded through a selection process from over 300 NGOs, of which 40 were asked to make presentations, to work with the USAID project to implement a trial project involving c.700 houses. The fact that they were able to incorporate the results of the Gamos in their presentation probably helped them to win the project. IndCare insisted on using its own "community-development" approach in the project, and developed an electrification system based on the results of the Gamos study. The pilot project has been a great success and both USAID and NTPL (the recently privatised electricity provider) have asked them to help with other schemes.

8. Dissemination

Lots – through the discussions and workshops etc, and more tailor-made information materials will be developed for all stakeholders from the final report. The USAID/NTPL pilot project also provides the "living proof" of the results.

9. Poverty Impact

700 poor families now have reliable electricity (though the economic and social benefits have not been quantified).

10. Other issues

The IndoCare head office is only one and a half hours from the centre of Delhi, where most of the Donors and Development Agency HQs are located, yet they find it difficult to get agency staff to take the time to visit them (someone from DFID who was invited to one of the workshops said "I'd like to drop in for an hour so so, but I can't afford to spend the whole day just getting there and getting back"). They are frustrated that good evidence of effective ways of improving livelihoods in urban areas within Delhi itself is often invisible to development agencies. "They should be looking for success stories and good ideas. It's not our job to sell the ideas to them. Our job is to do the community-level work".

There are few policy constraints to replicating this approach more widely. The Delhi Electricity Regulator Commission has approved the sort of connection used in the pilot project and has set the price (but this approach can only be used in areas where land is not registered). The private utilities are keen to sell electricity to poor people in informal settlements. The major constraints to widespread adoption are the amount of time, energy (and skills) necessary for the all-important community mobilisation effort (without which the utility companies are usually thrown out of the settlements), and the development of new systems within the utilities themselves to handle these different contracts.

R7413 – Mechanisms to Improve Energy Efficiency in Small Industries

Main sector of Activities: Energy

Person Interviewed: D.P. Gupta (Male)

Background: Engineer

Position: Director

Organisation: Industrial Development Services

Date: 18th November 2004

1. Project Outline:

The project aimed to 1) develop technical, institutional and market mechanisms to increase the adoption of energy efficient technologies and practices for small scale industries in India (SME ceramics firms) and Ghana (SME sawmills), and 2) monitor the effects of these technologies on the workforce and local population against a number of indicators including employment levels, working conditions, local pollution, etc.

2. Implementation

ITC approached IDS to identify possible locations for the project, and then sub-contracted them to implement the project in collaboration with ITC and PRI (Canada). The project included field visits to Kunj, discussions with factory owners and workers, local administrators, and relevant government departments. A survey instrument was designed and field tested, then applied with 10-15 small factories. The petroleum Research Institute was contracted to undertake technical energy studies which identified 3 major sources of energy wastage: poor burners, poor insulation and poor management of the firing temperature and duration. Discussions with equipment suppliers identified technical solutions to the first two, and a ceramics expert from the UK visited to advise on optimal firing regimes (temperatures, duration etc). An "ideal kiln" was designed, installed and tested in 2 factories, along with improved process management systems. A draft report was produced and discussed with all stakeholders at a seminar, but IDS has never seen the final report, and is not aware of any follow-up.

3. Needs Assessment?

IDS undertook a preliminary scoping exercise looking at a wide range of energy intensive small scale industries including glass, ceramics and others. The ceramics industry was selected as the best option. Further scoping work identified Kunj as the best locations (largest concentration of producers, and the least well developed). Discussions were also held with the Ministry, with the Central Glass and Ceramic Research Institute (CGCRI), and with the Kunj Potteries Manufacturers Association (KPMA). AI expressed strong support for the project.

4. User Engagement

Substantial time was spent with pottery owners and operators in the Kunj area in initial discussions, information gathering, collaborative work (on 2 potteries) and discussion of the results. The owners were very interested (cost saving?), though some of the artisanal operators were initially hostile to any change. According to IDS, as the project progressed, everyone in the local area became very interested and other potteries started to adopt the approaches (although there has been no follow up so this has not been confirmed). Equipment suppliers were also involved in the project.

5. Context Assessment?

There was no formal context assessment, but PRI (Canada) had previously done a lot of work on poverty alleviation in India, and had identified SMEs as having potential for development which would have a direct impact on poverty among the workers. IDS had been working on SMEs and energy issues for several years and was well aware of the political context. Environmental issues were becoming more important in India at that time, and there were plans to provide an LPG station in the Kunj area. So it seemed a sensible thing to be doing.

6. Policymaker Engagement?

IDS's ToR for the project did not describe any policy work. Nevertheless both local (The Local Administration & Pottery Association) and national (ministry and CGCRI) policy makers were involved in the initial discussions.

7. Evidence of Policy Influence

The project did not aim to influence policy, but the final project seminar did come up with some policy recommendations to promote wider uptake. These included the establishment of a capacity to provide technical support services to small scale pottery owners including advice on marketing, technology choice, materials and quality control etc. Everyone at the seminar was very keen on this idea, but IDS is not aware if this has gone any further.

8. Dissemination

There was much verbal dissemination of ideas during project implementation with a wide range of smallholders, but no special information materials were produced. A draft report was produced for the final seminar, but IDS has never seen the final report (ITC was responsible for this), and is not aware of any further dissemination of the lessons.

9. Poverty Impact

IDS believes that PRI undertook surveys during the project that showed an impact on poverty and/or quality of life for the pottery workers, but has never seen the results.

10. Other issues

IDS were essentially sub-contracted to work on this project. They felt they had no control over aspects of the project outside their specific ToR. This is not the norm for their work. They are usually either the primary or at least joint contractor on any project, and therefore have much more control over project development, completion and any possibilities for follow up. IDS provides engineering and economic consultancy services, and runs development and training programmes. They are not really involved in policy development or promotion.

R8160 – Contaminated irrigation water and food safety for the urban and peri-urban poor: appropriate measures for monitoring and control from field research in India and Zambia

Main sector of Activities: Water

Person Interviewed: Ravi Agarwal, Director

Organisation: Toxics Link

Date: 18th November 2004

1. Project Outline:

The project aims to assess heavy metal contamination of water resources in urban and peri-urban (UP) areas of India and Zambia in order to improve production of safer foodstuffs, *without* compromising the livelihoods of poor farming communities. It will include scientific investigations in source-pollutant-impact relations, the potential of suitable low cost monitoring techniques to measure the quality of wastewater for irrigation and to support control of pollution at source. Farmer field studies and policy analysis will lead to recommendations of technical as well as institutional measures to mitigate the problem.

2. Implementation

The project has only been running for a year. So far water, soil and vegetables have been tested in 3 sites and found to contain high levels of contamination with heavy metals. Work has not yet started on other project components: testing low-cost testing kits; identification of source of chemicals; PRA with communities to identify disease incidence; study of contributory factors; search for and testing of bio-remedies; and policy advocacy for heavy metal contamination standards, and alleviation measures.

3. Needs Assessment?

There was no formal needs assessment for this project, but it is a focus area for Toxics Link (so they know the needs well) and grew out of previous work including two collaborative projects with ICL – one on Ozone, the second on heavy metal contamination of vegetables. There has been very little systematic work in this area and recognition of increased incidence of heavy-metal toxicity-related health problems. There is a recognised need for more empirical research in this area to provide evidence for policy and practice.

4. User Engagement

The field work in Varanasi is being done with communities which are concerned about the issue and have already been helping The Indian Institute of Technology, Laboratory at the Banaras Hindu University to collect samples for a previous project. The project will “hire a PRA specialist to make sure the community-level work is done properly”. The project is also working closely with all other stakeholders including research laboratories, policy makers and local leaders.

5. Context Assessment?

Again there was no formal context analysis, but TL are leaders in this area in India & know the context very well. It is a hot topic. The previous work with ICL which identified high levels of heavy metal contamination of vegetables created quite a stir. The discovery of pesticides in Cola sparked a Parliamentary Enquiry which identified the critical need for better policies in this area. Although there was a lot of research into pesticide contamination of food in the 80s and early 90s which resulted in the banning of some of the most toxic agro-chemicals, there has been less work recently (and some done by government labs has never been published because it shows very high levels of contamination). There is increasing distrust of government work in this area and a need for independent research and policy advice. The Delhi Clean Air programme (conversion of public transport to CNG) illustrates the high level of concern about environmental health hazards.

6. Policymaker Engagement?

The project has established a project advisory team to guide the project throughout its life including policy makers, practitioners, reps from the labs and other researchers. They learned from the previous project where they only engaged with policy makers after the study was complete that it would be much better to work with them throughout. They will present and discuss the preliminary survey results and policy background work with them. They expect the advisory team to help directly and advise the project team on how best to engage with the wider policy community as the project proceeds.

7. Evidence of Policy Influence

None yet from this project – but lots from the previous one (see above). They have started to do some background work on the evolution of the issue, evolution of policies, and legislation in this area.

8. Dissemination

For this project a workshop and a stakeholders conference has been planned to held in January next year in Delhi where electronic presentations and a range of materials for different audiences including a brochure, a policy document and previous findings of the project will be circulated. They used a wide range of approaches of dissemination in the last project, including headline news articles in the press. Which led to Parliamentary Questions and the establishment of a new Commission in the group under the Ministry of Environment and Forests, to monitor the vegetable samples throughout the country. The study was highly regarded academically and has been widely quoted.

9. Poverty Impact

No direct impact on poverty yet, but if successful the project will have a direct effect on poor communities where the approaches are tested (reduced disease, reduced cost of agricultural inputs, higher incomes etc.

10. Other issues

Toxics links is an environmental NGO with an explicit focus on policy advocacy. It has been operating for about 10 years and receives funding from a wide range of donors. They aim to be "...an information exchange and support organisation that uses research and advocacy to strengthen campaigns... (Against pollution & toxic wastes etc). They recognise the importance of generating scientifically robust and credible evidence and building a solid reputation for reliable evidence-based advice and comment.

The current project emerged through a partnership with ICL during the two previous projects. ICL brings international standards of research which adds to TL's credibility with local research institutes (and helps improved standard within them). TL provides good contact with communities and well developed approaches to policy advocacy to enhance the impact of the research, and "the team really works well". Personalities are also important.

TL and ICL were both surprised when DFID turned down a proposal for follow-up work to the previous study which would have enabled them to establish a "Forum" to promote changes in policy and practice to reduce the level of contamination of food. They heard that DFID doubted that they would be able to do this. They were surprised that DFID took this view when they claim to be interested in research which does have an impact on policy and practice. "It seemed a bit perverse". ICL handles the relationship with DFID, which has worked out fine so far, but TL thinks this could prove a problem if they didn't have such a good relationship with them. TL is also a bit confused by the relationship between DFID-I and DFID-UK and would like to be able to establish better relationships with DFID-I.

R7395 - Integrated Urban Housing Development in Kenya and India

Main sector of Activities: Urban

Person Interviewed: Dr Vinay Lall (Director – Male), Professor Stuti Lall (Associate Director)

Background: Economists

Organisation: Society for Development Studies, India Habitat Centre, Core 6A, IIInd Floor, Lodhi Road, New Delhi -110 003

Date: 19th November 2004

1. Project Outline:

This project aimed to identify and promote a sustainable shelter delivery strategy for the urban poor to be adopted by national and local government in Kenya and India.

2. Implementation

The project grew out of a chance encounter with Theo Schilderman from ITDG who had already obtained money from EngKAR and was looking for a partner in India. The project, as designed, didn't fit SDS's economic infrastructure approach that it had already started in Alwar, Rajasthan. ITDG's approach focused too much on housing (the technology) and not enough on economic development and empowerment, which SDS regard as the essential precursor to people investing in housing. ITDG was prepared to be flexible though, and the approach adopted in Alwar was very different to the approach adopted in the Kenya case study.

The focus for the first 2 years was on income generation. 25 self-help groups were established and a savings and credit club. Women in the area had traditionally done piece work on leather sandals which was badly paid. SDS provided training in embroidery and machine stitching, and linked the women to market outlets. They also provided literacy training. Following a visit to the Kenya project where they saw more efficient pottery kilns with dramatically reduce breakage rates during firing, they found someone locally to help them build a better kiln and improve the productivity and range of products from a local pottery. Women took loans from the credit scheme, initially for the normal unexpected expenses and for their small businesses, but later on also started to invest in some household improvements – covering the drains, improving the kitchens (gas stoves) and plastering etc. One group built a communal latrine. More substantial investment in housing though was difficult because the houses were communally owned, people had no title deeds and there were too few to interest the banks who were running loan schemes for house improvements. (In retrospect, there should have been money in the project budget to provide a loan fund for this).

The project though attracted the interest of local bureaucrats and policy makers, and international donors (the pottery project won a UNDP award of \$50,000), and with the support of local and state-level policy makers they intend to use this money to start an R&D Centre for Informal-sector Economic Development.

3. Needs Assessment?

There was no formal needs assessment. The project evolved through a convergence of work at SDS and ITDG. SDS has been working in urban development since 1984. Even before then Dr Lall had been involved in many urban development advisory projects. He had developed a view on housing and urban development, especially in secondary towns that economic development must come first, and then people will invest in housing when they have dealt with other more pressing problems (health, education & social responsibilities etc). This "economic infrastructure" approach had attracted some criticism from HABITAT and the architect-dominated town planners, who tended to focus more on

housing and the environment than on the people who live there. He was asked as part of a national programme to develop secondary towns to look at towns in Rajasthan. He thought that the best way to demonstrate the validity of his approach would be through a small community-level pilot project, but was unable to raise any funds from the government, so he started looking for funding from donors. His presentation at a HABITAT conference in Florence attracted the interest of Theo Schilderman who was unhappy with his existing partner in India for this project, and approached Dr Lall.

4. User Engagement

Lots of community-level involvement – see above.

5. Context Assessment?

Again, no formal context assessment was undertaken, but SDS and Dr Lall have been among the main actors in the policy debate in this area for many years .

6. Policymaker Engagement?

Dr Lall is very well connected with policy makers at all levels in India, and in the International community. They engaged with local policy makers from the start of the project, by establishing a project steering committee chaired by the District Collector. They had regular seminars in the project area involving local stakeholders and in Delhi involving Delhi policy makers. SDS's principle is to encourage ownership by policy makers and implementing agencies as early as possible, and give them some control. They took the DC on the project visit to Kenya. The idea of the R&D Centre grew out of a stakeholder workshop in Alver where participants decided to establish the "Alver Local Urban Observatory" as part of the preparation of HABITAT III.

7. Evidence of Policy Influence

While Alver town has always been part of the national programme to develop secondary towns, the programme has now been extended to include other villages and towns in Alver District, which includes the project sites. The R&D Centre Model has been adopted for 10 other cities by the WB and HABITAT III.

8. Dissemination

SDS produces a wide range of posters and other information material when it has the funds to do so. Much more dissemination of the ideas happens through local meetings, exchange visits, and national and international workshops and seminars.

9. Poverty Impact

There has been some social and economic impact on the women in the pilot projects, but this has not been measured. There will be more if the model is replicated more widely. There would have been even more if DFID-I had played a larger role at State Level. The DC was prepared to allocate land to the R&D Centre, but as all Government Land is owned by the State he needed to get State Government approval. This is the sort of thing that DFID can encourage very easily, but is difficult for a District Level Bureaucrat or an Indian NGO.

SDS think the main benefit of the project is that people are more aware of the value and importance of shelter – that it is an important part of development, but not the first priority for spare cash. It is the first project to take a really integrated approach to poverty alleviation and housing. It is the beginning of a new approach which will yield benefits later.

10. Other issues

SDS is a private not-for-profit organisation, established in 1984 to provide policy and practical advice to the government on development issues. Key programmes include housing and urban development (Regional Coordinator and Global Training Centre for

HABITAT II and III); composite credit; property taxation; and small-scale enterprise development.

They were amazed that I couldn't find any project documentation at DFID. ITDG had always scrupulously sent them copies of all the reports they sent to DFID. DFID has a problem with institutional memory because it is based on individuals who take their knowledge with them when they move on.

The main problem with expatriate researchers is that they don't spend enough time with the people in the countries they are researching. They tend to commission local researchers to do the work and make short visits to collect the results. The British housing and urban development research community seem to have spent more time on the ground in Africa, and to assume that lessons learned there are transferable to India.

While SDS liked Theo Schilderman very much, and he was always flexible about project implementation, SDS were frustrated that ITDG couldn't provide any practical help with the new pottery kiln (and ITDG staff member who had visited said it wouldn't be possible to do anything without enough space for it. The space simply wasn't available, and in the end they got advice from elsewhere and built the new kiln on some spare land.

The main benefit from being involved in the ITDG project was that it brought in some resources, and provided some international connections (eg the visit to Nakuru).

It would be better in the future if:

- the local partner is fully involved in developing the project from the beginning
- there is less emphasis on physical targets and more on the process and on learning
- there is greater flexibility and a longer time frame
- there are resources in the budget to provide loan funding for shelter improvements.

R7476 - Development of an urban safety management approach

Main sector of Activities: Transport

Person Interviewed: Rohit Baluja, Director

Background: Shoe Manufacturer

Organisation: Institute of Road Traffic Education

Date:

1. Project Outline:

The purpose of this project was to introduce effective urban safety management approaches targeted at vulnerable road users in Asia, S.E Asia and Africa.

2. Implementation

The project came about because TRL were in India with GRSP (?) and heard about IRTEs work on road safety in villages. They asked him what the shortcomings were, he said that he was only able to do very small scale projects because of lack of funds. TRL said they would be interested to work together on a substantial project to demonstrate the benefits of improved road safety. TRL had different ideas to IRTE. They thought it was mainly a public awareness problem – that the solutions were already well known, and it was just a matter of community education etc. IRTE felt the problems were different in India and that the project needed a substantial research phase, then needed to link with other aspects (engineering, road design and infrastructure) as well as just education and the resulting project was designed by IRTE. It included:

- Monitoring road use, analysing accident data, community interviews and making a film about road safety on a 7½ km stretch of road through a village in Goa.
- Making a film illustrating the road safety problems.
- Discussions with all stakeholders about how to reduce accidents, particularly at accident hot spots
- Community education, teacher education, classes in schools, redesigning junctions & bus stops, educating the police, plays and skits, posters, leaflets and brochures in all local languages etc etc
- Monitoring progress (reduced accidents in the village, but more in neighbouring villages)
- National workshops and seminars

3. Needs Assessment?

Very thorough – see above.

4. User Engagement

Total – see above.

5. Context Assessment?

IRTE knows the context extremely well – is analysing policy and legislation related to road safety.

6. Policymaker Engagement?

IRTE works with all the relevant policy makers and practitioners: local administrators; the police; National Road Safety Council; National Committee on Road Safety etc etc

7. Evidence of Policy Influence

Informed by this project, but based on IRTE's longer term programme there have been substantial changes in national road safety policy and practice:

- IRTE is the only NGO whose staff are allowed to wear (police) uniforms.

- They run a fleet of specially built vans which measure vehicle speed and video dangerous driving, which they station at black spots with the police to book offenders;
- they have an e-mail hot link to the traffic police HQ which automatically issues driving offence tickets to drivers caught speeding and who didn't stop;
- Their village road awareness education programme has now been adopted as a national programme
- They write the curriculum for the National Police academy
- The establishment of a National Accident Investigation and Research Centre (AIRC) in Goa which teaches police how to investigate accidents

There have also been international developments (informed by, but not solely due to IRTE's work) including:

- Commissions to develop a road safety plan for Bangladesh
- The establishment of a UN Convention on Road Safety
- The establishment of the World Road Safety Network

8. Dissemination

Vast amount – in addition to the above they have published conference and workshop reports, training manuals, good driver guides, posters etc etc etc.

9. Poverty Impact

?????.

10. Other issues

IRTE is a non government non profit organisation established in 1992 by a shoe company owner who, having travelled all over Europe, was appalled by the lac of safety awareness on Indian roads. He covers 25% of the costs from the profits of his shoe business and gets most of the rest from the Government of India. Only a very small proportion of the organisation's income comes from foreign donors.

He has been frustrated trying to find someone in DFID Delhi who is interested in Road Safety and disappointed that when TRL visited for the final project workshop (and visited DFID Delhi) it was impossible to find anyone interested enough to come to it.

He thinks there is a fundamental mis-match between UK-based research organisations (like TRL) who are looking for (inevitably) short-term projects as a business opportunity, and organisations like IRTE which have longstanding programmes.

2. Other Informants:

Professor A.K.Gosain, Department of Civil Engineering, Indian Institute of Technology Delhi

Date: 15th November 2004

Gender: Male

Background: Engineering

Main sector of Activities: Water Resources

1. Awareness of the DFID EngKaR programme

Knows about DFID-funded research, but not the EngKaR programme specifically. Is working on an FRP-funded project.

2. Assessment of the programme:

a. Relevance

Very fragmented – projects tend to work with specific sectoral agencies (irrigation or forestry). Depends on contacts and implementing agency. Some with NGOs are good, others unimplementable. Tend to be very research-focused. All are identified by FRP partners in the UK. Most focus on Forestry & planting trees. Little attempt to generate evidence for use locally.

b. Outputs and dissemination

Very little effort at dissemination. Most just produce a report without any plan for how this will be taken up. The reports often don't get outside the small circle of people that are actually involved. Even relatively large projects (eg FRP project in Himachal Pradesh on watershed management) tend not to collect empirical evidence of impact. Villagers are happy to have more greenery around, but the benefits are not quantified.

c. Engagement with policy makers and practitioners

Most projects only engage with line department managers, and rarely go outside the department. There is very little attempt to engage with the wider range of stakeholders that are all involved in the area/sector/activity. It's very difficult for staff to spend time on non-essential work. It's only NGOs that do this – because it is their specific job. If the proposal to decentralise watershed management to Panchayats goes ahead this problem will get worse as decision making gets increasingly fragmented. Central agencies will need new mechanisms to exert control and much better information systems to ensure that people can make the right decision. Climate change will make things worse again.

3. Has FRP research had any impact on your work?

FRP helps by providing resources. IIT knows who should be involved and what should be done, and can usually get resources for specific bits of research. Have established a network of researchers, practitioners and policy makers interested in technology incubation in water resources. Less than 10% of the resources used by this group come from outside India. Resources from FRP can be used for the linking activities that are difficult to raise funds for locally.

4. Has any other engineering research had any impact on your work?

Ashvin gets some support & guidance from external groups eg through a collaborative programme with Texas A&M University on Hydrological Modelling software. He has a good knowledge of other national and international research in the sector.

5. How does engineering research influence policy and help reduce poverty?

Despite huge investment through the Universities and Central Research Laboratories, engineering research has had little direct impact on poverty. Much of the results sits in reports on shelves, there is little connection with policy makers, the time lag is too great, lack

of continuity etc. It's very difficult to develop coherent programmes funded by the Dept of Science & Technology. They are interested in spending the money, and the easiest way to do it is through specific technical research projects. To have any impact need also to work with policy makers and implementing agencies across a wide range of line departments at National and State level.

6. What is the role for foreign actors?

Donor funded projects could help by looking at those systemic issues in their projects; introducing global ideas; funding things which are difficult to get funded locally; supporting engagement and dissemination and policy makers to encourage the uptake of new ideas; and by strengthening local capacity . But they are often reluctant to do this because it's difficult to fund this kind of work and to establish programmes with multiple agencies.

7. What is DFID's comparative advantage?

Has had no direct experience of working with DFID.

8. What should the future priorities for DFID be?

As described in 6. They do not need to fund basic research, but should focus on all the other things necessary for the research to be taken up: "taking the extra step".

9. Is there anything else you want to tell us?

Dr Kinsuk Mitra, President, Winrock International, India

Date: 19th November 2004

Gender: Male

Main sector of Activities: (Of the areas within IUDD EngKaR: Water Resources, Energy, ICT, Transport)

1. Awareness of the DFID EngKaR programme

Knows about DFID-funded research, but not the EngKaR programme specifically. Is working on an FRP-funded project (with IIT).

2. Assessment of the programme:

Thinks the research programme is useful because it gives DFID an alternative longer term and broader view on a set of issues which should inform its programmes – but only if it actually does this. But there seems to be some institutional issues within DFID that make this difficult. To be useful the research needs to be applied, but not limited to immediate policy and programming issues. It may take 10 years for research to feed into policy and programmes.

3. Has FRP research had any impact on your work?

The FRP project has helped Winrock to frame other programmes – eg their collaboration with IIT has provided useful inputs into a much more project-focused Watershed Management Project (with IIED).

4. Indian Research

Indian research doesn't feed effectively into policy because i) the research funding allocation is driven by geographical and political issues rather than by policy needs ii) Indian Policy Makers are not really evidence-orientated and iii) academia is driven by academic incentives. Many academics are becoming more development orientated though because it's one of the few sources of additional money for research and other benefits (better computers, expensive periodicals etc). Until quite recently the government has focused on internal or academic sources of policy advice. There has been little room for external

independent policy research institutes. The new government seems to be more open to new ideas and has set up a lot of committees with representatives from the NGO sector.

5. What is the role for foreign actors?

Donor funds account for a very small percentage of research and development expenditure in India, yet they seem to be able to exert a lot of pressure. Most of the major policy shifts have been catalysed through external assistance. Donors can fund more immediately policy relevant research and also help to pull together existing knowledge.

6. What should the future priorities for DFID be?

DFID should invest in research which is strategically relevant and will feed into their development programme. That needs a long time horizon. Staff in country seem to change very frequently and are tied up in day to day administrative issues. Decentralisation of responsibility to the Country Offices takes decision making nearer to the focus of the programme, which must be a good thing, but they need the right kind of staff with a long term institutional knowledge of the issues, who can get above the day to day detail and make clear strategic choices.

Dr P.V.S. Kumar, Scientist, National Institute of Science, Technology and Development Studies

Date: 20th November 2004

Gender: Male

Main sector of Activities: ICT & Rural Development

The National Institute of Science Technology and Development Studies, one of the 38 institutes/laboratories of the Government of India's Council of Scientific and Industrial Research (CSIR), focuses on the interaction between science, society and the state.

Engineering research in India is driven by academic and commercial incentives. There is relatively little uptake of technologies developed by local research, and what is developed is mainly in the commercial sector. An **evaluation of rural technologies of CSIR in 1997 found very little uptake of CSIR-research¹**.

There is relatively little interest and funding available for research on rural or urban technologies that might be appropriate for poor people. CSIR's earlier "societal" mission has been forgotten in a more commercial approach focusing on patenting commercially valuable technologies.

In the ICT sector there has been little research on the actual information needs of poor people. One study found that a single telephone line with handsets in 20 houses in a village made a huge difference to people's lives. There is an over-emphasis on high-tech solutions.

The All India People's Science Network was set up in 1984 after the Bhopal incident by scientists who wanted to mobilise science and technology for the benefit of the poor. It is a network of c. 30 local NGOs (eg the Delhi Science Forum) which do little bits of research and technology development with funds from National and State Councils of Science and Technology. They have decided not to accept money from overseas donors.

¹ Abrol Dinesh K. ; Kumar P.V.S. ; Menon Usha ; Pulamte L. (1997) Evaluation of Rural Technologies of CSIR.

4. DFID India

Date: 16th November 2004

Name: Ian Curtis (Snr IUDD Adviser), Matthew Ridout (IUDD Adviser), Peter Smith (IUDD Adviser?)

Background: All had been London-based IUDD Advisers until about 2 years ago and had been involved in the EngKAR programme.

General Comments about changes in DFID London and DFID-India

Until two years ago EngKAR proposals were screened in London then sent out for comments by in-country staff. They took this quite seriously and there was substantial dialogue. This hasn't happened for the last 2 years while the role and organization of UK-funded research has been under review. In-country staff feel they have not been kept informed about what was going on. While there have also been changes in Policy Division in the UK, in-country teams have now developed good working relationships with UK-based Teams, and have collaborated on some policy research (eg by the Rural-Urban Change Team). Meanwhile relations with the UK-based research organizations involved in the on-going IUDD research has become more difficult as they have become disaffected by the changes in research management. People in the UK are spending more time thinking about the implication of changes than about what needs to be and is being done.

Meanwhile DFID-I is also changing. They are under pressure to focus on key programmes and spend less time on "peripheral things (like research)"; sectoral specialists are being drawn into State programme management teams, have less time for technical issues, and the previous matrix management (geographical management vs sectoral advisers) is vanishing. Most funding is going through the State and Special Programmes (eg Education and Health), and remaining Livelihoods Programmes (AP, MP, and Orissa). Much of the work on infrastructure focuses on "leveraging" pro-poor outcomes from other donor-funded programme (eg Power Sector Reform with the WB/ADB; Water Sector with UNICEF etc; Urban Programme (AP, Calcutta etc) with the ADB). DFID-I has set up Trust Funds with the WB and ADB for this purpose.

Engagement with on-going IUDD EngKAR projects

Currently, while there is some engagement with existing EngKAR projects it is very piecemeal and opportunistic. There is little incorporation of the results of EngKAR research into DFID-I policy or programmes, but DFID-I can sometimes capitalise on a specific bit of research which is relevant to ongoing work (eg Water Research in Chennai is feeding into WB-funded programmes). They see their role as a facilitator between researchers and the other donors.

The previous EngKAR programme had used a number of approaches to try to ensure that the programme met local needs. ITAD (Donald Brown) had organised workshops with local researchers to identify needs in a number of countries. The Environmental Health Research Centre had been established with satellites at country level around the world, as was the Water Resources Research Centre (OASIS), which also aimed to link the research with national, regional and global water policy issues.

Research vs Programmes

DFID-I recognises the need for research, and that valuable research has to include a longer term and more strategic approach and in-country institutional development, that could be seen as the responsibility of country programmes. This is not a problem in DFID-I (but might be in other countries), and there are examples of substantial long term research activities going on in parallel with country programme activities, which are mutually beneficial (eg the Country-led infrastructure Finance Facility (CLIFF) in Bombay. The key issue is that this work shouldn't distract the country office from delivering its own programme and targets.

Future engagement with CRD

DFID-I would welcome a broad-based discussion with CRD about the role of research and possibility of collaboration between CRD, Country Programmes and Policy Division. They suggested that Paul Spray should come out for discussions during one of their in-weeks. They would like to have the chance to respond to the key research themes that have been identified by the CRD, to provide a country-level perspective on both content and process & would be prepared to make time available for this if they felt it would add value to the research for DFID-I.

Key Topics

Key topics for research in India include:

- **Climate Change:** although this is not currently a priority in the DFID-I Country Strategy Paper, it is a big priority for the UK Government, DFID UK and the Indian Government, and DFID-I needs to find out more about what others are doing and identify what its role should be.
- **Water Resources:** Local, state, National and Regional, especially groundwater/surface water availability for the poor.
- **Equitable Services:** the role of infrastructure development in sustainable, pro-poor growth (over 70% of India is still rural and there will be a massive donor investment in infrastructure over the next few years).
- **Municipal financing:** though more lesson learning from other experiences than new research.

Appendix 6 - Workshop, India Habitat Centre, 23rd November 2004

Participants

Project Holders

- Ms. Reeva Sood, Ms. Manpreet Kaur & Ms. Priyanka Awasthi, The Indcare Trust
- Mr. Ravi Agarwal, Chief coordinator, Toxics Link
- Ms. Pratiba Singh, Toxics Link
- Dr Vinay Lall & Dr. Stuti Lall, Society for Development Studies

Policymakers, Practitioners and Researchers

- Prof. L.S. Bhatt: Ex Professor School of Planning and Architecture, New Delhi
- Mr. S.K. Sharma: Ex Member Central Ground Water Board, Govt of India, New Delhi
- Mr. R.K. Gupta, Director – Hydrology, Central Water Commission, New Delhi
- Dr. D. K. Bishwas: Ex Chairman Central Pollution Control Board, New Delhi
- Dr. J. K. Moitra: Entrepreneur (Ex CPCB Scientist), working in the area of EIA
- Dr. Kinshuk Mitra : President Winrock International India
- Ms. Usha Rao: Program Analyst – GEF, UNDP India
- Mr. Kapil Narula, Tata Energy Research Institute
- Mr. Pratap Chandnani: Entrepreneur in the area of Small Hydro power
- Prof. A.K. Gosain Professor of Civil Engineering IIT Delhi, Dept. of Civil Engineering
- Ms. Anvita Anand: Researcher, Transportation Research and Injury Prevention Programme, IIT, Delhi
- Dr. Virendra Sharma, DFID India

Programme

- 11:00-11:45: General introduction to the workshop & participants
- 11:45-12:15: The IUDD EngKAR Programme and the Evaluation including methodology and RAPID Framework and Summary of Evaluation Results (Presentation 1)
- 12:15-13:00: Discussion 1 – The results of the study:
- is the programme appropriate for India?
- does it engage with all stakeholders?
- evidence of impact and approaches to maximise impact
- 13:00: Lunch
- 14:00–14:15: Process Issues (Presentation 2)
- 14:15-15:15: Discussion 2 - Recommendations for DFID on eg:
- What can be done to maximising the outcome of existing projects (including Improved dissemination and knowledge sharing activities)?
- What are the key research/policy/practice issues in the sector now and in the future?
- What is DFID's comparative advantage?
- Are there better ways of doing it?
- 15:15 Tea & Close

Notes of Discussions

1. The results of the study

There was general agreement with the points made in the presentation and notes, but many participants noted that it may be different in different sectors and it would be good to disaggregate the results (but there's not enough data), and that it is all very context specific - what works in one context may not work in another. Other (often contradictory) points included:

- The programme is largely irrelevant to India. The projects are working on the right issues, but is very small and the impact is very limited. Maybe it provides a mechanism for UK-based research institutes to do some research and publish some papers. There is no direct link with policy or technology. Many projects are simply trying to transfer technology developed elsewhere to India. It is difficult to challenge the UK agenda. There is no link to DFID-India. It would be better if the local partners identified the problem.
- The partnership (in the vegetable contamination project) worked very well – it brought scientific rigour and credibility. The process of negotiation with the partner about project design was a learning experience in itself. Proposals sometimes don't focus enough on communication activities, they are often added later. Impact depends on the relationships with partners. (The vegetable contamination project learned from the previous project that much more interaction with policy makers was needed early on.
- It is difficult to comment on a programme with so little information. But that illustrates a problem – very little is known about DFID programmes in India. The list of project titles looks appropriate. It seems there hasn't been enough engagement with users, policy makers and other stakeholders. It would be interesting to hear from the project beneficiaries. It seems that not enough is done to maximise the impact of individual projects. Project priorities must be set in discussion with the stakeholders. The general sectoral focus seems OK, but what do the stakeholders want to do within them? In Global Environment Fund projects there is a long project preparation process to ensure all stakeholders are consulted. But this takes a long time, and the situation has often changed between the time of the initial project idea and the implementation of a project (which can be 2 years). Projects need enough time if they are to achieve an impact on policy. But do we really want all projects to have an impact on policy? And how do we measure it?
- It is difficult to engage effectively with stakeholders, even with the best of intentions. Different stakeholders play different roles in different projects. Many projects don't even present the final results to the original stakeholders. How do we define "good engagements".
- Some issues are context free (eg pollution), while others are highly context specific (eg watershed management). There needs to be a very good understanding between the Indian and UK partners to ensure the right balance between ideas from outside and the local context.
- When I said the programme is largely irrelevant to India, I was referring to the original project proposals that the UK-based researchers arrived in India with (urban housing). In our case it was possible to modify the proposal. UK and Indian partners need to make sure they understand the project, the context and each other properly. But there is often not enough time to do this. It is also difficult to work closely with bureaucrats on DFID-funded projects if DFID itself doesn't talk to them.
- It's not fair to say that projects often fail to achieve as much as planned, when the timelines are too short and much time is wasted in negotiation with the UK partner to make the project more locally relevant (eg in the urban housing project). Also resources are often very limited.

- The degree of engagement will be different at different levels (eg community – local government – national government). It is more important that there is continuous involvement of stakeholders right through from project inception to completion and communication of the results.
- The overall programme looks appropriate. It is working on the key issues. But the issue of DFID visibility is irrelevant. The important thing is that the right kind of work gets done, not whether it carries a DFID flag on it. The key must be to respond to the needs of the local people. UK partners should be aware of the principles of the programme. Maybe there should be a workshop in the UK for all DFID-funded project partners. The main thing is that projects engage well with users and focus on making things work. Impact on poverty should be the main agenda. This is what will convince policy makers.
- UK partners should start to discuss with Indian partners earlier, before they have developed fixed ideas, then negotiate a mutually satisfactory approach for all partners.
- There is a danger here of generalising too many things. Comments might be different for similar projects in different programmes. “Product”-based programmes may not be so local context specific as “knowledge”-based programmes. There has to be a negotiation between the partners. All partners have something to offer or they wouldn’t be partners. Need to be flexible.

Discussion 2 - Recommendations for DFID

- It was suggested that some terms in the report and presentation should be changed:
 - “delays” rather than “achieved less than expected”
 - “process” rather than “implementation”
- There should be much more interaction with DFID through the life of the project to assist with implementation, lesson learning and incorporation of the results into policy.
- Better communication of the results to line ministries (as is done in the water sector)
- A project advisory team involving all relevant departments and other stakeholders to advise the project (vegetable contamination)
- A project advisory team involving all relevant departments and other stakeholders to advise the project (vegetable contamination)
- Projects should clearly be located within longer-term programmes with clear strategies for scaling up or influencing policy.
- Users should always be involved in the process
- Strengthening local partners should be an explicit part of the work.
- Proposals should describe the strengths of each of the partners, how they will each contribute to the project and should identify any gaps that need to be filled with other resources.
- Projects should be designed with sustainability in mind from the beginning.
- There should be proper monitoring and evaluation systems in place.
- Time lines, and resources should be realistic
- There should be a shift of emphasis from the technology to communication and follow-up activities.
- More action-orientated than pure scientific research.
- Implemented by agencies with the commitment to take the ideas forward.
- There are existing systems for research in India to influence policy and practice. Successful applied (technology) projects (eg systems to remove arsenic from water) will be replicated by National and State Government. Knowledge-based research is published in peer-reviewed journals then abstracted. The abstracts are an important source of knowledge when problems emerge and commissions (etc) are set up to find solutions. Research should be done with the government.

- Others disagreed, saying that research should be independent of the government - but this is very difficult in India.
- Much research is not used: eg although there had been much work done by government institutions on chemical contamination of vegetables, nothing was done until an independent organisation published the results of these studies in the newspapers. Then the government scientific machine swung into action and developed the necessary policies and practices. DFID-funded research can play an important “catalysing role”.
- DFID can also fund otherwise difficult to fund research with NGO’s working closely with local communities.
- The Watershed Programme provides an example of a major government programme with potential for great impact on poverty, where many NGOs are claiming better ways of doing things without any evidence. Scientific research is necessary to clarify the situation. The DFID Forestry Research Programme is funding IIT to do this.
- All agreed that DFID funding can be extremely useful to fund:
 - Things it’s difficult to get funded locally
 - Research rooted in the community – exploring technical solutions to needs that poor people have identified
 - Research that interfaces between government and civil society
 - Research that informs the implementation of large-scale government projects
- To maximise impact, projects need to produce scientifically valid and credible evidence, package it well for different stakeholders, and play an advocacy role with policy makers. This may require several different actors over a long period.
- It’s important that DFID-funded research links up with other research and policy work in India.
- The key research questions in India have already been identified by each line department. DFID should base its programme on work within these themes
- All DFID-funded research programme should also:
 - Be undertaken in partnership with and seek to build the capacity of local stakeholders
 - Contribute towards the MDGs
 - Be interdisciplinary and intersectoral (because government programmes are not)
 - Focus explicitly on approaches which will benefit poor people.

Appendix 7 – Workshop presentation

odi Research and Policy
in Development Programme

DFID EngKAR Evaluation
India Country Visit

John Young - ODI

8th to 10th March 2004, New Delhi, India, ODI c/o DFID, 25, Avenue, 2004

Slide 1

The Evaluation

Slide 3

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The Evaluation

- Phase 1 in 2001 – clarification of programme outputs.
- Phase 1 (started in 2002, suspended in 2003, re-started in 2004):
- Technopolis & ODI
 - Programme management & intervention logic
 - Technical value & performance
- Country visits
- Report to DFID in Dec 2004, for new research programme 'call' in 2005 & 'projects' from 2006

Slide 5

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To provide recommendations on:

- Strategies for future research in energy, water and sanitation, geoscience and transport
- Other areas of research
- Process improvements
- Strengthening dissemination and knowledge sharing activities
- Optimizing outcomes of existing projects
- Future evaluation activities

Slide 7

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Outline of the Workshop

- Registration and Coffee
- Introductions
- The Evaluation and the results so far
- Discussions & Groups to discuss the results
- Lunch
- Discussions and Groups to develop recommendations for DFID
- Close and Tea

Slide 2

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DFID IUDD EngKar Programme

- Research programme of Infrastructure and Urban Development Department.
- 6 Sectors: Water, Energy, Urban, ICT, Geoscience, and Transport (+ Disability Technology)
- c 160 projects, c £12-14m per year to:
 - Deliver practical solutions to specific problems
 - Generalisable and widely applicable
 - Help build local capacity

Slide 4

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Overall evaluation questions

- Processes for identifying needs and opportunities
- The value and benefits of the programme
- The quality of the programme processes
- The quality and relevance of research outputs
- Dissemination of results in developing countries and the UK
- Impact on poverty
- Uptake by decision makers and other end users in developing countries (DCs)

Slide 6

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Country Visit Questions

- Whether activities are appropriate and relevant (**Needs**)
- Fit with local economic and political issues and other initiatives (**Context**)
- Dissemination to immediate beneficiaries and other stakeholders, (**Dissemination**)
- Influence on policymakers (**Policy Impact**)
- Engagement with stakeholders (**Engagement**)
- Impact on poverty (**Poverty Impact**).
- Identify approaches which seem to have worked well (**Successes**)

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'Country-focused' recommendations:

- How to optimize outcomes of existing projects.
- How to strengthen dissemination and knowledge sharing activities in country.
- Suggestions for research funding in energy, water and sanitation, geoscience and transport
- Potential other areas of research
- Process improvements
- The optimal role for DFID-funded research

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Results so far

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International Study (so far)

- Communications:
 - EngKAR agents not clear to stakeholders
 - Emphasis on reports and academic commitments
 - Poor KM and Learning in programme
- Other issues:
 - Country offices too busy to engage
 - Country offices not interested in research
 - "Decentralised" ICT programme seems to have worked well

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Programme Statistics

- 52 projects (see list)
 - Disability Technology (2)
 - Urban Development and Housing (17)
 - Energy (10)
 - ICT (2)
 - Transport (8)
 - Water (15)

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Country Visits - Process

- Identify countries – India and Kenya
- Review of documentation
- Meetings with project holders
- Meetings with other stakeholders
- Stakeholder workshop to:
 - Validate / Refute & Enrich the findings
 - Generate recommendations for DFID
- Discussions with DFID

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International Study (so far)

- Process:
 - Complicated and expensive
 - Little monitoring and interaction
 - Little evidence of programme logic
- Projects:
 - Supply & technology driven
 - Lack of engagement with end users
 - Dislocation with DFID programmes
- Poverty Focus & Impact:
 - No enough emphasis on poverty
 - Small-scale and unsustainable projects
 - Little capacity building

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Country Study - Disclaimers

- Documentation incomplete and often not available
- Analysis based on project documentation VERY unreliable
- Difficult to even understand, let alone assess a project from just one interview
- Interpretation of comments by informants from a very small sample of projects

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Projects visited - 1

- **Prefabrication of Knee Ankle Foot Orthoses (KAFO)** – Technology developed but not yet disseminated widely
- **Tenure for the urban poor** – useful social study, may have contributed to evolution of policy.
- **Energy in Poor Urban Communities** - Technology developed and implemented, now being replicated widely.
- **Energy Efficiency in SMEs** - Technology developed and tested, but very little dissemination or impact.

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Projects visited - 2

- **Contaminated irrigation water and food safety**
- continuation of previous work, just starting.
- **Integrated Urban Housing** - Living proof of approach, which has been adopted widely
- **Road Safety** – High credibility for the approach which has been adopted into policy and practice.

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A Framework for analysis

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A framework for analysis

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Organisation of comments:

- **Context:**
 - Programme relevance for India (and DFID India)
 - Needs & Context assessments
- **Links:**
 - User engagement
 - Policy maker engagement
- **Evidence:**
 - Communication and dissemination
 - Impact on policy
 - Impact on poverty

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Relevance for India & DFID India

- Infrastructure, water and energy are priority issues in India
- Research funding in India emphasises commercial approaches
- DFID India works on infrastructure with/through other donors
- Programme is very small (of Indian programmes), but:
 - Supports a focus on technology for the poor
 - Provides resources for difficult to fund activities
 - Offer feed into existing research programmes.

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Needs & Context assessments:

- Few have formal needs assessments but:
 - Some are studies (urban tenure)
 - Some have formal assessments (SME energy)
 - Most emerge from existing work (veg. cont.)
- Few have formal context assessments but:
 - SME Energy reviewed legal & policy context
 - Some collect info during the project (traffic safety)
- Most projects are implemented by people with existing programmes who know the context well.

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Engagement with stakeholders

- Usually good engagement with users but:
 - Some looking for users to test ideas (SME energy)
 - Others working with users, looking for ideas to test (urban energy)
- Good engagement with policymakers but:
 - Some only 'liaise' with them (SME energy)
 - Some 'involve' policymakers (urban housing)
 - Some co-advocacy (veg. content)

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Communication and dissemination

- Some only produce a final report (SME Energy)
- Most produce a wide range (road safety)
- Some emphasise face-to-face through visits, workshops & seminars (urban energy)
- Some would like to do more printed communication if had resources (urban housing)
- Some sophisticated strategies including the media (veg. content)

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Impact on policy

- Some had no policy aims (SME Energy)
- Few claim direct influence
- Some emerged in programmes as a result of some previous policy influence (eg. urban tenure)
- Some are just lucky (urban energy)
- Many contribute to general process of policy reform (urban housing)
- Work enhances holders reputation (urban tenure)
- Donors can play an important role (urban tenure)
- Problem is implementation not policy (pkato)

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Discussion & Group Work

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Recommendations for DFID

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Implementation Issues - 2

- Partnerships:
 - Some build on existing relationships (e.g. vegetable container, Urban Tenure)
 - some are new (Urban Housing)
 - a few are weak (urban tenure, SME Energy, SME Energy)
 - Some are purely UK based organisations (e.g. PKATO)
- DFID behaviour undermines impact:
 - preference to initiate large scale PKATO, reluctance to fund follow up work (vegetable container)
 - DFID staff are busy with projects (Urban Energy, DFID have other priorities (e.g. health)) reports not best
- Relationship with DFID dominated by UK partners.

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Impact on poverty

- "None" – poor people are still being evicted (Urban Tenure)
- 700 poor families now have affordable electricity (Urban Energy)
- Few undertake studies (of SME energy)
- Most claim the benefits will be realised later on widespread dissemination (PKATO) or policy change (urban housing)

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Discussions

1. Is the programme appropriate for India?
 - Programme relevance for India (and DFID India)
 - Needs & Gaps assessments
2. Does it engage effectively?
 - User engagement
 - Policymaker engagement
3. Do projects maximise impact?
 - Communication and dissemination
 - Impact on policy
 - Impact on poverty

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Implementation Issues - 1

- Difficult to work with NGOs & commercial sector (KATO)
- Projects slow & achieve less than planned, or unexpected benefits (Urban Energy)
- Most are part of longer term programmes (Urban Tenure)
- UK partners bring:
 - technical expertise (Urban Energy)
 - experience from elsewhere (Urban Housing) or sector (e.g. credit to vegetable container)
- Project design: mainly in the UK, but:
 - is often local (Urban Housing, Vegetable)
 - may be designed locally (e.g. vegetable container)
 - may be (SME Energy) – even project selection

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Implementation Issues - 3

- Recent changes in DFID-UK and DFID-I have damaged previously good linkages between DFID-I Advisers and engKAR projects (DFID Inc's)
- Previous mechanisms to ensure that research was locally relevant have collapsed (DFID-I)
- DFID-I keen to engage with CRD to ensure research is relevant and useful (DFID-I) (Difficult to work with NGOs & Commercial Sector (PKATO))

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Discussion & Group Work

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Discussions

1. How to maximise the outcome of existing projects (including improved dissemination and knowledge sharing activities)
2. What are the key research / policy / practice issues in the sector now and in the future?
3. Are there better ways of doing it?
4. What is CIDI's comparative advantage?

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