GRASSROOTS RESEARCH AND ADVOCACY MOVEMENT (GRAAM)

Establishment and Implementation Plan

Prepared by Cornell Institute for Public Affairs for:

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<u>Acknowledgements</u>

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Executive Summary

Over the past three decades the Swami Vivekananda Youth Movement (SVYM) has worked to improve the living standards of local communities in Karnataka state through health and education services. In order to address continuing development gaps, SVYM members realized that they needed to devise more effective projects, which could better utilize the available human and natural resources to meet local needs. SVYM, therefore, aims to establish a complementary and independent organization to conduct grass-roots research, policy formulation and public advocacy in the areas of rural development, health and education. This organization will be called the Grassroots Research and Advocacy Movement (GRAAM), a policy research and advocacy institute with the primary function of conducting bottom-up research and translating findings into language useful to both academia and policymakers.

The following concept proposal consists of comprehensive organizational, budgetary, fundraising and implementation plans for GRAAM. The proposal was created through consultation between the Cornell Institute for Public Affairs (CIPA) International Capstone class and the SVYM leadership and reflects SVYM's vision for a research and advocacy organization.

In creating the concept proposal, SVYM asked the International Capstone class to identify the different steps that GRAAM must take before it is fully operational.

The concept proposal is organized into four broad areas:
- Organizational Structure
- Implementation Plan
- Budget Model
- Fundraising

The proposal considers the tasks required within the first 12 to 18 months in each of these four categories which must be undertaken to bring GRAAM to a point where it is ready for formal launch.

The Organizational Structure section details the staffing architecture of GRAAM, specifying the functions and responsibilities of 1) Board of Governors, 2) Director of GRAAM, 3) Support Staff, 4) Advisory Panel, 5) Council of Core Experts and 6) Research Teams. It is proposed that the Board of Governors consist of nine members. There will be a single Director of GRAAM and a permanent Support Staff of three members. The Support Staff will be composed of one Executive Assistant, one Fundraising Director, and one Director of Operations. The Advisory Panel will be staffed by outside experts and its number can fluctuate based on the needs of GRAAM. The Council of Core Experts will consist of five members, each with expertise in one of the following fields: 1) statistics, 2) development anthropology, 3) sociology, 4)

development economics, and 5) advocacy. Finally, the Research Teams will consist of at least one permanent specialist in each of the three main areas of study (health, education and rural development). The Organizational Structure section also provides detailed job descriptions for each GRAAM position, including their work duties/responsibilities and preferred qualifications. Alternative structures and recommendations, based on an analysis of similar organizations, have also been included to serve as auxiliary suggestions.

The Implementation Plan contains the schedule of events that will need to be undertaken to make GRAAM a physical reality. It includes the list and description of tasks in the first 12 to 18 months of the organization's inception which will take it to the fully operational level and formal launch. These tasks are detailed under three broad sections: – 1) Organization; 2) Operations; and 3) Funders, Partnerships and Budget Management. These sections are sub-divided into the nascent, intermediate and operational stages which create time lines for all implementation tasks and provide flexible, notional, and easy to follow work plans for GRAAM members. Some of the major tasks included under the Organization section are: formation of the board of governors and advisory panel; legal registration of GRAAM as a non-profit; tax exempt entity; creation of a web site; establishment of funding outreach and hiring of staff as need arises. The Operations section consists of selecting research projects and creation of advocacy and monitoring and evaluation mechanisms. The Funders, Partnerships, and Budget Management section details the ways in which GRAAM will establish and nurture its partnerships with funders and other research and advocacy organizations. It also suggests effective future strategies for resource management. The Implementation Plan ends with a helpful summary diagram of all the tasks for easy reference.

A spending plan, including outlay details and cost descriptions, is presented in the section detailing the Budget Model. The model is an interactive tool allowing GRAAM to update and change their inputs as necessary, giving estimates of alternative financial positions. Costs are divided into three categories: development, split-off and recurrent, marking the three different stages through which GRAAM will pass as it becomes a stand-alone entity. The model assumes a 6 percent inflation rate and posits the Indian Rupee to appreciate against the U.S. Dollar at an annual rate of 3 percent. The estimate for the initial development costs is Rs. 630,645, first year recurrent costs are estimated to be Rs. 4,658,700, with Rs. 4,446,000 spent to compensate direct labor. Included is a CD with the budget model for GRAAM to manipulate based on changes in cost structures and outlay expectations.

The Fundraising section provides practical suggestions to GRAAM members that will help them formulate their funding strategies and obtain continuing funds to run the organization and perform its designated tasks of policy research and advocacy. To provide GRAAM members with the latest trends in fundraising strategies, the International Capstone class interviewed John Slocum at the MacArthur Foundation. The specific interview questions posed to him are provided in *Appendix A*. The most important point stressed during this conversation was the need to bring focused and

specific budget proposals to funders which should be tailored to their areas of interest. This would be very effective when presented with emphasis upon GRAAM's strength as an organization of national reach and scope that is affiliated with SVYM, an internationally known, respected and recognized name in development in India. A further point raised was the need for effective public outreach in order to build name recognition for GRAAM. In addition, a comprehensive list and database of potential funders are included.

Organizational Structure

Relationship between GRAAM and SVYM (TRAC)

The TRAC program within SVYM stands for Training, Research, Advocacy and Consulting. Within the program there are seven active projects:
1. Master Program in Management of Nonprofit Organizations (in conjunction with the University of Mysore)
2. Youth for Development
3. Project to Combat Child Labor
4. Youth for Education and Sanitation
5. Continuing Education and Training Center
6. Regional Resource and Training Center
7. Vivekananda Institute of Indian Studies (VIIS)

In its initial stages GRAAM will be incubated within TRAC for resource sharing. After certain conditions have been met GRAAM will separate from SVYM/TRAC and will become an independent institution. It will subsume TRAC's research, advocacy and consulting components.

Conditions for Separation
1. Financial feasibility.
2. Transition from local/state policy arena to national level.
3. Mutual agreement to separate between the director of GRAAM and the Board of Governors, approved by the director of SVYM.

Overview

Initially, GRAAM will be incubated within the TRAC program of SVYM. Staff from SVYM and TRAC will fill many of the positions within GRAAM until enough permanent positions are filled. The following is a summary of the components of GRAAM and the way in which they will interact with each other.

GRAAM will consist of five permanent sections and a varying number of non-permanent sections (depending on the number of projects being conducted simultaneously). The permanent sections are: 1) the Board of Governors, 2) the Director of GRAAM, 3) the Advisory Panel, 4) Support Staff, and 5) the Council of Core Experts.

The Board of Governors' initial responsibilities will be to cast the vote to establish GRAAM and to select the Director of GRAAM. They will not be responsible for any of the day-to-day operations within the organization (though it is expected that members of the Board of Governors will offer advice and input in certain circumstances). This responsibility will lie with the Director of GRAAM, who will also select the members of the Advisory Panel, Council of Core Experts and the support staff. The Director of GRAAM will work with the Advisory Panel and the Council of Core Experts to develop each project's research concept, framework, and advocacy strategies.

The support staff will consist of three permanent members as well as an attorney who will be kept on retainer. They will be responsible for logistical support, financial management, human resources management, fundraising, and documentation of GRAAM's activities. The attorney's primary functions will be to ensure that GRAAM's research projects meet particular ethical standards and to provide legal advice when necessary.

The Advisory Panel will consist of people outside of GRAAM (but with a permanent affiliation to the organization). It will include experts from academia, grassroots organizations, non-governmental organizations, community leaders, social entrepreneurs, business and industrial leaders, and government representatives from across the political spectrum. Their function will be to provide advice on projects from their perspectives within government, industry, academia, etc. The advisory panel will assist the Director of GRAAM in identifying particular points of interest and potential consequences of particular actions.

The Council of Core Experts (CCE) will consist of one expert in each of the following areas: 1) statistics, 2) development anthropology, 3) sociology, 4) development economics, and 5) advocacy. The CCE will select GRAAM's permanent researchers and will work in conjunction with the director, advisory panel, and permanent researchers on each of its tasks. The CCE will design each project's research framework, translate data into policy proposals to be distributed to lawmakers, and submit research findings and policy recommendations for peer review. The CCE will also design and implement

advocacy campaigns targeted at two audiences: 1) policymakers and other influential leaders; and 2) stakeholders and communities.

Research teams will be constituted on a project-by-project basis, but will be selected and led by a researcher who is part of GRAAM's permanent staff. There will be no less than one permanent researcher in each of the following three areas: 1) health, 2) education, and 3) development. The permanent research specialist will participate in all parts of the research project development and advocacy and will provide technical knowledge and assistance. The permanent researcher will be responsible for conducting community needs analyses and planning the details of each field research project.

The *Alternative Structures* section below analyzes three other organizational structures – one general (theoretical) mid-sized organization and two nonprofits (the Children's Defense Fund and the Sustainable Development Policy Institute). These three structures provide options for GRAAM to consider when forming its own structure. It should be noted that specific portions of these organizations are considered in this portion of the report. There are pros and cons to each, which are noted in their respective sections. The elements that have been taken and added to the originally proposed GRAAM organogram are: (1) adding a segment on stakeholders at the top of the GRAAM organogram, (2) consideration of post-trigger point split by geographical establishment of satellite offices, and (3) creation of a second flow chart that specifically enumerates tasks as related to sub-offices within GRAAM.
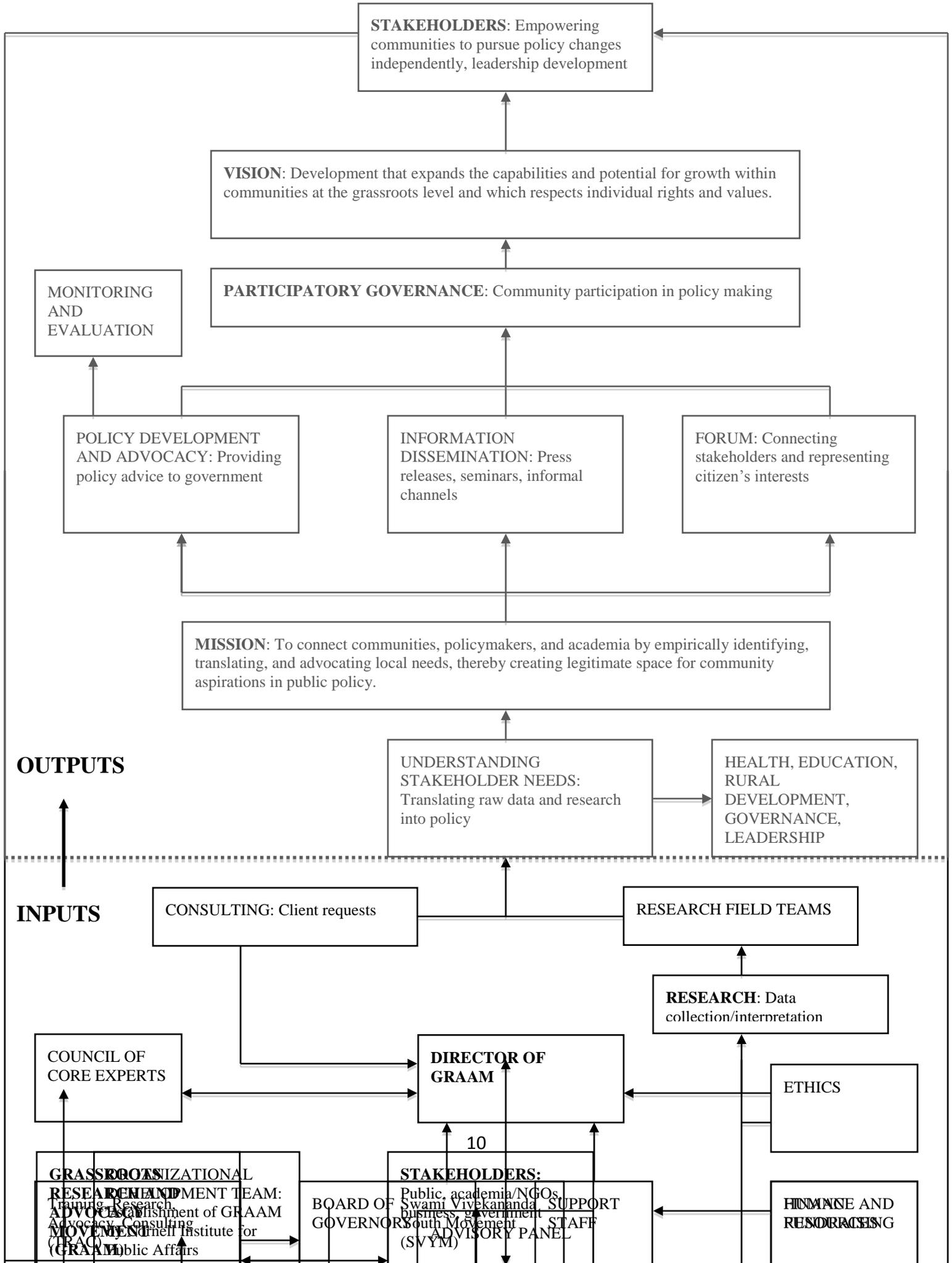
STAKEHOLDERS: Empowering communities to pursue policy changes independently, leadership development

VISION: Development that expands the capabilities and potential for growth within communities at the grassroots level and which respects individual rights and values.

MONITORING AND EVALUATION

PARTICIPATORY GOVERNANCE: Community participation in policy making

POLICY DEVELOPMENT AND ADVOCACY: Providing policy advice to government

INFORMATION DISSEMINATION: Press releases, seminars, informal channels

FORUM: Connecting stakeholders and representing citizen's interests

MISSION: To connect communities, policymakers, and academia by empirically identifying, translating, and advocating local needs, thereby creating legitimate space for community aspirations in public policy.

OUTPUTS

UNDERSTANDING STAKEHOLDER NEEDS: Translating raw data and research into policy

HEALTH, EDUCATION, RURAL DEVELOPMENT, GOVERNANCE, LEADERSHIP

INPUTS

CONSULTING: Client requests

RESEARCH FIELD TEAMS

RESEARCH: Data collection/interpretation

COUNCIL OF CORE EXPERTS

DIRECTOR OF GRAAM

ETHICS

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GRASSROOTS RESEARCH AND ADVOCACY MOVEMENT (GRAAM)

ORGANIZATIONAL DEVELOPMENT TEAM: Training, Research, Advocacy, Consulting Cornell Institute for Public Affairs

BOARD OF GOVERNORS

STAKEHOLDERS: Public, academia/NGOs, business, government Swami Vivekananda Youth Movement (SVYM)

SUPPORT STAFF

ADVISORY PANEL

FINANCE AND FUNDRAISING

HUMAN RESOURCES

Grassroots Research and Advocacy Movement Process Workflow

1) Project Concept Development
- Originating internally
- Originating from a client

2) Consult Advisory Panel and CCE
- Advisory Panel makes recommendations on concept framework to Director of GRAAM and Council of Core Experts; Permanent Researchers participate in research project development

3) Research Initiation
- Director of GRAAM, CCE, and Permanent Researchers finalize project framework
- Attorney reviews project to ensure ethical standards are met
- Research Team is constituted

6) Proposals Formulated
- CCE and Director of GRAAM develop policy proposal and advocacy blueprint
- Consult Advisory Panel as needed

5) Findings Presented
- Findings presented to CCE and Director of GRAAM
- Findings presented to BoG if necessary

4) Research
- Research Team conducts community based needs analysis and gathers data

7) Submit Research Findings and Policy Proposal for Peer Review
- Revise proposal if necessary

8) Disseminate Proposal
- Disseminate proposal to academia and policymakers
- Initiate advocacy blueprint
- Engage external partners

9) Monitoring and Evaluation
- CCE appoints panel to evaluate impact of resulting policy

10) Project Outcome
- If project is a success, scale up and expand
- If project is not successful, repeat

Grassroots Research and Advocacy Movement Governance and Management Structure

Stakeholders
- Public citizens
- Funders

Board of Governors
- Performs Governance functions (does not oversee day-to-day activities
- Selects Executive Director (Initially Dr. Balasubramaniam)
- Overseen by chairperson

Director of GRAM
- Oversees day to day operations of GRAM
- Selects Advisory Panel
- Selects Council of Core Experts
- Selects support staff
- Develops concepts and focus areas for research

Organizational Development Team
- Responsible for developing GRAM startup proposal
- Provides organizational support for Board of Governors and Director during GRAM's startup
- Dissolves once GRAM is functional

Support Staff
- Executive Assistant
- Director of Operations
- Fundraising Director
- Attorney on retainer

Council of Core Experts
- Consists of experts in the fields of statistics, development anthropology, sociology, development economics, and advocacy
- Advise on all projects
- Selects permanent research specialists

Research Teams
- Overseen by permanent research specialist
- Consists of junior researchers selected by permanent research specialist on a project-by-project basis
- Responsible for designing and conducting the study, collating, compiling, and interpreting findings, and making recommendations
- Includes technical experts to conduct specific research on a project-by-project basis
- Responsible for conducting community-based needs analysis and gathering data

Advisory Panel
- Consists of experts from national and international academia, grassroots organizations, NGOs, community leaders, social entrepreneurs, business and industry leaders and government representatives from across the spectrum
- Advises Director in developing research concepts and advises if project is scientifically viable
- Consults on an as-needed basis

Indicates non-permanent status

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Board of Governors

Brief Description: The Board of Governors will be comprised of nine members. One of these members will be selected to serve as the Chair of the Board. Initially, GRAAM's first Director will choose this individual. GRAAM's Director and the members of the Board of Governors will choose the Chair of the Board in subsequent years in a manner that is agreed upon.

Purpose: To jointly oversee the activities of GRAAM and ensure that GRAAM is operating within the purview of its vision and mission.

Principles:
- The board must operate solely as a group. The Board of Governors takes official action at board meetings. Otherwise, except at board meetings, the individuals who serve on the board have no special powers unless the Board has (in a special circumstance) voted to delegate responsibility for some task or area of work.
- Members of the Board of Governors owe the organization careful attention in the conduct of the Board's work and must always act in the organization's best interest. When a member of the Board has a conflict of interest, he or she will be required to explain the circumstances and avoid taking any part in the decision.

Board Member Position Descriptions:

Position Title: **Chair of the Board**

Function:
- As Chair of the Board, assure that the Board of Governors fulfills its responsibilities for the governance of GRAAM.
- Be a partner to the Director by helping him/her to achieve GRAAM's vision and mission.
- Optimize the relationship between the Board and GRAAM's management.

Responsibilities:
- Chair meetings of the Board of Governors.
- See that the Board functions effectively, interacts with management optimally, and fulfills all of its duties.
- Work with the Director to develop agendas for Board meetings.
- Assist the Director in recruiting Board members as well as talent for other positions when necessary.
- Reflect any concerns management has in regard to the role of the Board of Governors or individual Board members to the individuals in question. Reflect to the Director the concerns of the Board of Governors and other constituencies.
- Annually focus the Board's attention on matters of institutional governance that relate to its own structure, role, and relationship to GRAAM's management. Be assured that the Board is satisfied that it has fulfilled all of its responsibilities.
- Act as an additional set of eyes and ears.
- Serve as an alternate spokesperson for GRAAM.

- Fulfill such other assignments that the Chair and Director agree are appropriate and desirable for the Chair to perform.

(Note: The Chair of the Board will assume these functions and responsibilities in addition to those that are required of a member of the Board of Governors.)

Position Title: **Member, Board of Governors**

Function:
- Provide governance to GRAAM, represent it to the community, and accept the ultimate legal authority for the organization.

Responsibilities:
- Consider and commission the creation of GRAAM by vote.
- Elect, monitor, appraise, advise, support, reward, and, when necessary, change the Director.
- Collaborate with the Director to establish the conditions and circumstances of GRAAM's separation from SVYM/TRAC.
- Be assured that the status of organizational strength and manpower planning is equal to the requirements of GRAAM's long-term goals.
- Review the results achieved by management as compared with the organization's mission, vision, and long-term goals.
- Annually review the performance of the Board of Governors and take steps to improve its performance.
- Be assured that the Board is adequately and currently informed (through reports and other methods) of the condition of GRAAM and its operations.
- Ascertain that management has established appropriate policies to define and identify conflicts of interest throughout the institution and is diligently and effectively enforcing those policies.
- Review compliance with relevant material laws affecting GRAAM.
- Provide candid and constructive criticism, advice, and comments on an as needed basis.

Benchmarking Analysis and Rationale:

Name of Organization	Number of Board of Directors	Field
Economic Policy Institute	29	Think Tank-economic policy that include interests of low & middle income workers
Children's Defense Fund	25	Children's Issues
Action Against Hunger	16	International Development
Children International	7	International Development
Ford Foundation	14	International Development
Transparency International	12	Anti-corruption
All India Women's Education Fund Association	21	Women Empowerment
Atlas Service Corps	9	Social and Cultural Development
Hope for Kids International	11	Helping Poor Children
Miracle Corners of the World	6	Youth Empowerment

FIGURE 1

Overview:

FIGURE 1above is a table of ten national and international organizations. These are organizations that include think-tanks, service providers, and combinations of these types of entities. The organizations cover many of the same issue-areas that GRAAM will, including children's issues, youth empowerment (political), labor, and women's issues. These are also organizations that have been established for a substantial period of time and are well-respected in their fields.

Analysis:

In this random sampling, the lowest number of board members is 6 (Miracle Corners of the World), and the highest number is 29. The average number of board members is 15. Board members include high-profile citizenry, politicians, academic leaders, and successful business professionals.

Recommendations:

After exploring other, similar organizations, we recommend expanding the Board of Governors to include nine members. A larger number of members than the originally proposed five is advantageous as it will provide for diversity of membership, meaning it will better represent a cross-section of Indian society, thereby fulfilling one of the organization's specific goals. Additionally, a greater number of high-profile individuals will serve to increase the number of possible connections that can be leveraged to promote GRAAM's work through public relations initiatives. Further, a larger board will help to deflect claims of "groupthink", or that SVYM itself drives the mission of GRAAM (in essence, that GRAAM lacks independence). Lastly, the argument that a larger quantity of members risks "logjam" or excessive debate is not realistic given the largely symbolic role of the Board of Directors, whose main responsibility (as required by statute) is to authorize GRAAM's existence and approve the Director of GRAAM. The number is, of course, odd, so as to prevent a tie in votes.

Director of GRAAM

Purpose: To oversee the administration of GRAAM as well as the implementation of its programs, projects, and other activities.

Responsibilities/Duties:
- In close partnership with the Board of Governors, provide overall strategic leadership, vision, and critical thinking to GRAAM.
- Work with the Board and staff to establish and help implement both long- and short-term strategy and develop specific goals, priorities, and work plans.
- Oversee GRAAM's day-to-day operations, research initiatives, programs, operations, and staffing.
- Select the Advisory Panel, Council of Core Experts, and Support Staff.
- Develop research concepts with the Advisory Panel and Council of Core Experts and approve the plans these entities develop to meet the initiatives' goals.
- Assist with the management of the organization's finances and work closely with the Fundraising Director and Director of Operations to ensure fiscal responsibility.
- Actively ensure the supervision, involvement, development, and accountability of staff.
- Ensure active support to GRAAM's research initiatives and advocacy strategies.
- Along with the board and other staff, develop and cultivate relationships with partner and collaborating organizations, government representatives, community members, and other stakeholders.
- Work in close partnership with the Board of Governors, providing support to the board as a whole and each of its members in order to help implement its ongoing work.
- Work with the Advisory Panel, Council of Core Experts, and necessary support staff to develop and implement advocacy strategies.

Preferred Qualifications:
- Significant experience and a track record of success working with nonprofit and government organizations.
- Demonstrated record of leadership, enterprise, creativity, and the ability to work effectively with colleagues, volunteers, and the community at large.
- Ability to thrive in a fast-paced, entrepreneurial, and growing organization.
- Ability to prioritize multiple and varied responsibilities and meet deadlines.
- Exceptional communication and media skills; articulate, with proven ability to write effectively and speak persuasively.
- Community development experience and familiarity with a variety of ethnicities and socio-economic levels.
- Ability to adjust to change and create positive solutions in response to emerging priorities.
- Demonstrates the highest level of personal and ethical standards.
- Passionate belief in GRAAM's mission and vision.
- Bachelor's degree required; Master's degree in business, non-profit management, or related field preferred.
- A minimum of eight to ten years of management experience in a related field.

Support Staff

Purpose: To facilitate administrative functions and ensure the efficient operation of GRAAM.

Responsibilities:
- Logistics, financial management, fundraising, office operations and documentation of GRAAM's activities.
- Ensure that research studies meet ethical standards.

To accomplish the responsibilities listed above, it is believed that three permanent employees should comprise the team of support staff. In addition to these three positions, an attorney should be kept on retainer. The duties of each of these individuals are outlined below.

Director of Operations:

Duties:
- Assist and support the Director in overseeing the day-to-day functions of GRAAM.
- Serve as the organization's leader in the absence of the Director.
- Handle Human Resources issues that the Director does not (i.e. benefit issues, inter-office disputes, etc.).
- Handle GRAAM's budget and work with the Fundraising Director to ensure that finances are in order.
- Support the Director in developing and implementing strategies for organizational growth and sustainability.
- Network with other community, educational, and business organizations to identify resources as well as potential partners.
- Assist the Director in implementing and evaluating the strategic plan, including making recommendations, aligning agency goals, and identifying growth opportunities.
- Implement policy decisions and directives of the Board of Governors; uphold and adhere to the policies and mission of the organization.
- Organize regular staff meetings.
- Monitor GRAAM's organizational calendar and ensure staff are aware of key event dates.
- Provide detailed organizational progress reports to the Director.

Preferred Qualifications:
- Demonstrated success in networking to build creative and mutually beneficial partnerships with the nonprofit, public, and corporate sectors.
- Significant organizational management skills including team building and staff supervision and development; ability to manage colleagues, senior management and board members to achieve GRAAM's goals.
- Strong understanding of and connection to the private sector.
- Track record of creating and implementing innovative solutions to meet pressing development needs.

- Strategic, analytic approach combined with interpersonal professionalism and charisma.
- Ability to plan and think strategically while also executing on the tactical level.
- Excellent written and oral communication skills with the ability to engage and inspire a wide range of audiences.
- Strong organizational skills with an outstanding attention to detail.
- Bachelor's degree or equivalent experience required; advanced degree preferred.

Fundraising Director:

Duties:
- Develop and execute GRAAM's annual fundraising plans, special events, and programs.
- Create and execute a strategy for a large sustained base of annual individual donors.
- Develop and maintain ongoing relationships with major donors.
- Spearhead efforts to identify and apply for corporate contributions, foundation grants, and government funds.
- Spearhead efforts to identify and solicit donations online.
- Manage board relations and engage board members to play an active role in fundraising.
- Work with the Director and Director of Operations to strategize new ways to engage and recognize donors.
- Work with the Director of Operations to ensure that finances are in order and the budget is being handled properly.
- Work with the Director and Director of Operations to create long term plans for GRAAM's financial sustainability.

Preferred Qualifications:
- Demonstrated success building and leading the fundraising/development function in fast-paced, entrepreneurial non-profit organizations.
- Substantial experience designing and implementing comprehensive fundraising plans for all fundraising streams including major gifts, corporate, and foundation giving, with a track record of meeting annual fundraising goals and experience in significantly growing revenues over time.
- Experience growing the individual donor base of an organization.
- Exceptional oral and written communication skills; demonstrated ability to conceptualize and describe funding needs in a way that is comprehensive and compelling to potential donors.
- Demonstrated ability to think strategically while executing tactically within a resource-constained environment.
- Ability to make decisions independently combined with an ability to work collaboratively.
- Capability to thrive and take initiative in a success-driven environment with a commitment to a high standard of excellence, responsibility, and accountability.
- Passionate commitment to GRAAM's mission, vision, and strategic goals.
- Bachelor's degree or equivalent experience required; advanced degree preferred.

Executive Assistant/Office Manager:

Duties:
- Answer phones and offer reception to in-person guests.
- Sort/check through office mail.
- Make changes to edited documents and ensure that they are ready for publishing.
- Schedule major events for GRAAM.
- File.
- Take care of outgoing mail and the shipping of parcels.
- Maintain office records.
- Order supplies for the office and staff.
- Prepare logistics for major events and meetings.
- Provide support to the Director with respect to all activities (as is desired), including:
  - Maintaining Director's calendar
  - Coordinating meeting materials and ensuring that the Director is fully prepared for meetings
  - Scheduling travel and lodging as needed
  - Drafting responses to routine correspondence
  - Updating business contacts

Preferred Qualifications:
- At least two years experience in an administrative position.
- Impeccable organization and project management skills.
- Detail-oriented, energetic, and able to work independently.
- Exceptional interpersonal and teamwork skills.
- Excellent written and verbal communication skills.
- Self-motivated with the ability to thrive under pressure and meet deadlines.
- Capacity to simultaneously work on multiple tasks and projects while recognizing the importance of certain tasks over others and set priorities accordingly.
- Demonstrated flexibility when priorities change.
- Expertise with Microsoft Office (including Word, Excel, and Outlook).
- Certificate of graduation from an institute of higher learning (college, professional school) preferred.

Attorney (to be kept on retainer):
- Ensure that research studies meet ethical standards.
- Provide legal consultation as is necessary.

Advisory Panel

Brief Description: The Advisory Panel will be comprised of individuals who bring unique knowledge or a unique set of skills to compliment the knowledge and experience of the formal members of GRAAM. The Advisory Panel members do not have formal authority to govern within GRAAM and serve as volunteers (they will not be paid for their efforts). Rather, they serve to make recommendations and provide key information and materials to GRAAM. Contributions of an Advisory Panel member can be ongoing or on an ad-hoc (as needed) basis depending on the breadth and scope of a particular research and/or advocacy project.

Purpose: To advise the Director in developing research concepts and project feasibility.

Responsibilities:
- Provide advice for each project in both research and advocacy.
- Suggest main factors to consider as a starting point for proposed research projects.
- Assess potential impacts upon actors (e.g. communities, business, government, etc.).

Staffing: The individuals who make up the Advisory Panel should be comprised of some or all of the following:
- Experts from academia.
- Principal staff from grassroots organizations (i.e. Director, Director of Operations).
- Principal staff from non-governmental organizations.
- Community leaders.
- Social entrepreneurs.
- Business and industrial leaders.
- Government representatives from across the political spectrum.

Advisory Panel Member:

Duties:
- Participate in the recruitment of new board members.
- Contribute expertise and thinking to the current and future work of GRAAM.
- Keep informed about community issues relevant to the mission and objectives of the organization.
- Allow GRAAM to publish name as a member of its Advisory Panel.

Preferred Qualifications:
* Members of the advisory panel will represent a vast cross-section of society and are not constrained by a specific set of qualifications. They must, however, at a minimum, satisfy the following requirements:
- Knowledge of the community.
- Commitment to organization's mission and strategic directions.
- A commitment of time.

Council of Core Experts (CCE)

Purpose: Provide expertise in project formulation based on each individual's specific field.

Responsibilities:
- Design research framework for individual projects.
- Translate findings from research projects into policy proposals with the assistance of the Director as well as the Advisory Panel.
- Design and implement advocacy strategies.
- Select permanent research specialists.
- Submit research findings and policy recommendations for peer review.
- Determine the most appropriate method(s) of conducting monitoring and evaluation for each particular project (e.g. contracting with an outside agency).

Staffing: The individuals who make up the Council of Core Experts should have experience and expertise in the following areas:

- Statistics
- Development Anthropology
- Sociology
- Development Economics
- Advocacy

Core Expert (Statistics, Development Anthropology, Sociology, Development Economics):

Duties:
- Identify key operational research approaches that could help to transform policies and operations in targeted communities.
- Design evaluations and studies to robustly answer major policy and operational questions raised by stakeholders and policymakers.
- Support the effective execution of research projects, including quality control of data collection and interim analysis.
- Translate evaluation and research project results into appropriate concrete policy and operational recommendations.
- Advise other teams and individuals within the organization regarding effective approaches to generating evidence to answer key policy questions.
- Assist research teams with administrative functions covering planning, budgeting, and proposal development.
- Test and evaluate the effectiveness of existing projects.
- Recommend and implement modifications as necessary to ensure achievement of project goals and objectives.
- Research and identify client or beneficiary needs and recommend project modifications or the creation of new projects and services.
- Participate in the development and implementation of project policies and procedures.

- Provide historical data and projections for use in developing project budgets.
- Stay informed of developments in field – read pertinent literature, attend meetings and participate in professional associations as appropriate, establish and maintain an active network of professional contacts.

Preferred Qualifications:
- At least 5-10 years of professional experience.
- An advanced degree in relevant discipline, PhD strongly preferred.
- Significant experience designing and managing major evaluations or operational research projects, with a particular emphasis on empirical studies in developing countries with direct relevance to major policy issues.
- Experience and skill in designing and conducting analyses in resource-limited situations.
- Demonstrated ability to effectively and efficiently solve problems.
- Exceptional written and oral communication skills.
- Strong interpersonal skills and ability to build relationships.
- Ability to multi-task and to be effective in high-pressure situations.
- Experience with general budgeting and accounting practices.
- Computer literacy with Microsoft Office and SPSS.
- Flexibility and ability to handle competing priorities.
- Strong planning and organizational skills.
- Self-directed and highly motivated, capable of working independently and with team members with minimum supervision.

Core Expert (Advocacy):

Brief Description: The Core Advocacy Expert creates and implements a campaign strategy to promote GRAAM's policy recommendations. This includes training partners in advocacy strategies, developing advocacy plans, supporting them with strategic distribution, building alliances with relevant stakeholders, as well as monitoring the status and movement of legislative bills and other policy initiatives. The Advocacy Expert must engage with activists and civil society organizations to stimulate strategic, wider, and more effective uses of advocacy by developing and providing trainings and building strong relationships with others.

Duties:
- Manage advocacy, communications, and outreach initiatives.
- Work closely with the Director and Advisory Panel to raise awareness of GRAAM's projects, goals, and mission.
- Create content as needed for GRAAM's website and social media sites, as well as participate in public presentations and media relations as required.

Preferred Qualifications:

- A Bachelor's degree in communications, public relations, journalism or a related field is required. A Master's degree in these or related fields is preferred.

- Minimum of 3 years of related work experience in public relations, communications, marketing, public and/or government affairs.
- Advocacy or political campaign experience preferred, particularly experience working in collaboration with national, state, and local partners to advance advocacy goals.
- Volunteer management and community organization experience essential.
- Ability to communicate clearly and effectively in both written and verbal form to a variety of audiences, as well as experience in cross-cultural communication.
- Strong computer skills, including Microsoft Office (Excel, Word, and PowerPoint), as well as Internet research skills; experience with social networking and online video services including YouTube, Facebook and Twitter.
- Experience with writing content for blog posts, op-eds and articles for peer review.
- Understanding of branding and positioning strategies for the institution and for specific projects.
- Ability to develop effective partnerships with internal and external constituencies.
- Ability to produce high quality work on deadline.
- Ability to work with a large number people from a variety of culturally diverse backgrounds and as part of a team.
- Ability to work both collaboratively and independently.
- High level of attention to detail.

Research Teams

Purpose: Plan and organize specific research projects as provided by the CCE, conduct studies, compile findings and present data to the CCE on a project by project basis.

Responsibilities:
- Design and conduct project research
  - Consists of (or commissions) technical experts and researchers to conduct specific research on a project-by-project basis
  - Responsible for conducting community-based needs analyses and gathering data
- Report findings to CCE
- Partner with outside agencies that can facilitate timely and accurate data collection
- Provide technical knowledge and support during the development of policy proposals and advocacy stages

Staffing: The Research Team will be comprised of at least one permanent research specialist in each of GRAAM's main areas of study (health, education, rural development) and a temporary team of junior researchers chosen by research specialists on a project-by-project basis. Permanent researchers must have prior experience conducting studies in their field as well as effective communication skills as they will participate in nearly all phases of research and advocacy.

Research Specialist:

Duties:
- Conduct literature reviews and other research on topics related to their field of expertise.
- Develop research methodologies for individual projects.
- Organize research teams consisting of technical experts and researchers as needed for each project.
- Identify and form partnerships with other organizations, which can facilitate timely and accurate data collection.
- Analyze research data and take the lead in overall report compilation.
- Write reports and create/deliver presentations based on research findings.
- Oversee the creation of databases for collecting and organizing data, ensure that data is available and accessible to project staff.
- Coordinate with CCE, Advisory Panel, and the Director of GRAAM to disseminate findings to relevant institutions and submit final reports for peer review.

Preferred Qualifications:
- Master's degree in field related to specialty (health, education, rural development) and relevant work experience in a research setting.
- Excellent communication skills.
- Experience with research design.
- Comfortable working with and directing a diverse team.

- Able to perform quantitative and qualitative analysis.
- Experience with data management and analysis, including MS Excel, SPSS, Minitab, or other statistical analysis software.
- Must be able to identify, research, analyze, and effectively communicate important developments in area of expertise in a timely, sophisticated fashion.
- Highly motivated, extremely organized, collegial, and able to work quickly and effectively under pressure, both independently and as a member of a team.
- Should have strong skills in policy analysis and an ability to synthesize large volumes of data/research findings into succinct policy documents.
- Able to relate effectively to people across national and cultural boundaries.
- Experience of convening and facilitating multiple stakeholders in consensual and collegial decision-making processes.
- Excellent management and organization skills with a desire to work as a member of a team of academics and practitioners who embrace multidisciplinary approaches and methods.
- Knowledge of the national or regional policy and experience of facilitating strategic reviews or policy reform in regional or national institutions.

Alternative Organizational Structures and Recommendations:

Analysis of Children's Defense Fund (CDF) structure (FIGURE 2):
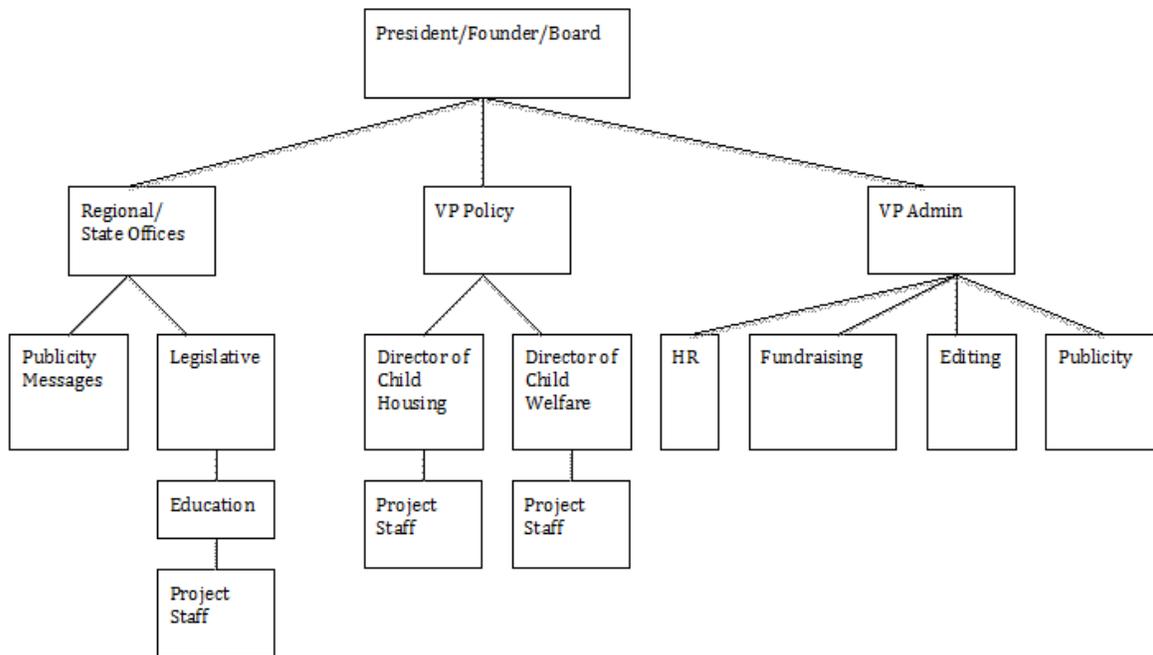
Overview:

The major structure of Children's Defense Fund (CDF) splits after the overall governing structure (Board of Directors/Director), to whom all parties report. After this, a general split on the upper (central) tier occurs between the Vice President of Policy and the Vice President of Administration. However, in terms of bureaucratic leveling, regional state offices – while analogous to the responsibilities of the centralized Policy and Administration Vice Presidents – fall on the same level as the aforementioned bodies.

Under the centralized (Washington-based) Vice President of Policy, are issue-based classifications including a Director of Child Welfare, Director of Housing, Director of Child Health Issues, etc. Under each of these bodies lies project staff, who are allocated according to project needs – these may include permanent researchers as well as temporary hires. Under the centralized Vice President of Administration fall various offices involved in facilitating operational duties critical for CDF's success as an organization, including a human resources office, a fundraising office, an editing department, and a publicity department.

At the decentralized (state-by-state) level, regional state offices are set up analogous to the centralized system mentioned previously. A more administrative role is taken on one end, taking care of human resource roles, publicity, and other operational functions. On the other side, a legislative office governs policy issue areas, such as education, health, or otherwise (on a state

level). Under each of these issues offices are project staff, who are hired to conduct research, write reports on the state of children's issues, and define state-level policy goals.

Major differences:

There are two major differences between this system and SVYM's original proposal:

(1) Splitting issue areas from administration: this is a major structural difference from GRAAM. The system essentially completely separates and empowers an administrative system that is solely dedicated to keeping the organization going – making 50% of the overall structure essentially dedicated to reinforcing and keeping the system running. It also includes issue-by-issue offices under the Vice President of Policy, which enables specialist-dominated offices (education specialists, etc.), rather than research generalists whose expertise is in methods of study or project design.

(2) State-by-state: the system is analogous to the federalist system. This encourages on-the-ground, micro-analysis of issues germane to particular states or regions. For example, if Mississippi is particularly lacking in children's education, an education office is likely to be found there. Each regional office also includes its own administrative office separately, which would consider issues related to publicity, editing, and human resource on its own accord.

Pros and cons:

CDF is a much bigger system than GRAAM, necessitating and allowing for such a well-defined, mutually-exclusive structure. Given GRAAM's integrative approach toward issue areas as well as its smaller size, such a breakdown is not recommended. Rather than breaking apart operational duties such as fundraising, human resources, or publicity, such functions are better served with GRAAM's current proposal of integrating these into the roles of the CCE and support staff. Further, since the editing role is in the administrative area, it prevents direct contact between writers and editors. This may lead to a communication breakdown, where an initial writer's tone may be lost in the final stages of document production.

An issue-area breakdown is also not recommended. This is due to two factors: (1) GRAAM's proposal was to seek a holistic approach to issues being considered, meaning that finding and building upon the key relationships between health, economics, education, and other issue areas is a key priority. To separate these in wholesale fashion goes against this critical principle of GRAAM's promulgation; (2) CDF is not as concerned with the bottom-up approach that is so critically sought by GRAAM. By splitting issue areas, CDF knows prior to any research the areas they seek to identify and address. GRAAM's integrative, bottom-up approach would preclude such action. This goal is clearly stated in GRAAM's mission.

Recommendation:

SVYM should consider a state-by-state approach as post-trigger point split. The state-by-state split operates in bureaucratic structure analogous to CDF's. This provides consistency and stability, as well as resources from a larger parent organization as necessary. Further, this strategy would enhance GRAAM's pursuit of its expansionary goals and would increase its

presence on a local level throughout India. Since GRAAM's mission is to eventually expand into a pan-India operation, an expansion plan might include a geographical split, where four regional offices are established to cover North India, West India, East India, and South India (these areas are demarcated in black in FIGURE 3 below).

FIGURE 3

Another post-trigger point expansion could include establishing posts in the major cities and urban centers of India: Bangalore, Delhi, Mumbai, Kolkata (as included in FIGURE 3 and demarcated in various geographical zones). These are the four largest and are generally accepted as the most important/influential cities of India. They are also spread throughout the country. A reasonable goal in which such a setup might be attained could be three to five years. In another three to five years after that, second-tier cities such as Ahmedabad, Hyderabad, Chennai, Bhopal, Lucknow, Jaipur, and Rachi could be targeted. This would establish a large, spread-out presence of GRAAM facilities and ideas, which would focus on regional and state initiatives but include a feedback loop to the central organization analogous to the research-based feedback loop.

Analysis of general medium-size board structure (FIGURE 4):
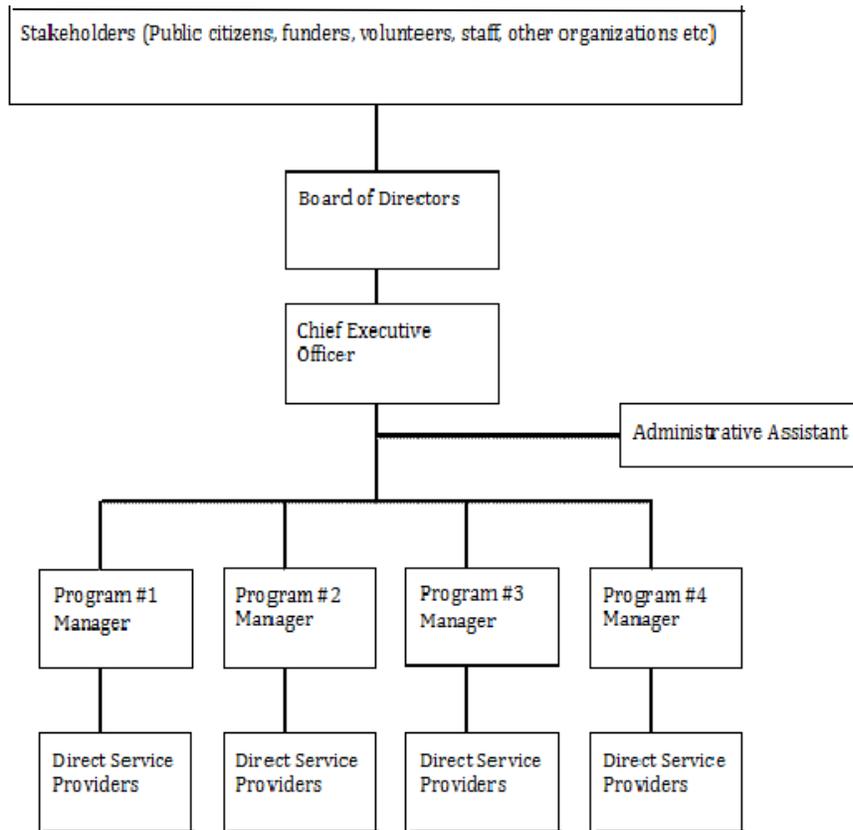
Overview:

FIGURE 4 is an example structure that is derived from the "Field Guide to Nonprofit Strategic Planning and Facilitation."[1] This organogram explicitly puts the key stakeholders at the top, even above the Board of Directors. These stakeholders include the public, funders, volunteers, staff, and other organizations. Under this is the more traditional layout that includes a Board of Directors whose key role involves commissioning a CEO (or Director). The director oversees program issue areas with the assistance of a staff team dedicated to facilitating operations. The last line in the bureaucracy is an issue-by-issue breakdown of programs.

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[1] McNamara, Carter. Field Guide to Nonprofit Strategic Planning and Facilitation. Minneapolis: Authenticity Consulting LLC. 2007. (p. 204)

Major differences:

There are three major differences under this model:

(1) Issue area program breakdown: this model also suggests an issue-by-issue breakdown, which would be headed by a program manager. The manager would oversee direct providers of service, or – in the case of GRAAM – researchers in the field.
(2) Much less executive-heavy: this structure is a traditional bureaucracy in the sense that the CEO is the key overseer of all programs being conducted on a day-to-day basis. GRAAM's structure includes several executive-level bodies that closely consult with the Director in project development and are situated (managerially) above research-level teams.
(3) Stakeholders: FIGURE 3 also specifically identifies who the stakeholders are, specifically designating them as the top of the bureaucracy – to whom even the Board is responsible.

Pros and cons:

This model is also not fully applicable to GRAAM's process. First, an issue-by-issue breakdown is not strategic given GRAAM's mission of being an integrative organization. Further, the executive-heavy nature of GRAAM is due to the varying expertise of offices involved in consultation with the Director when planning a project.
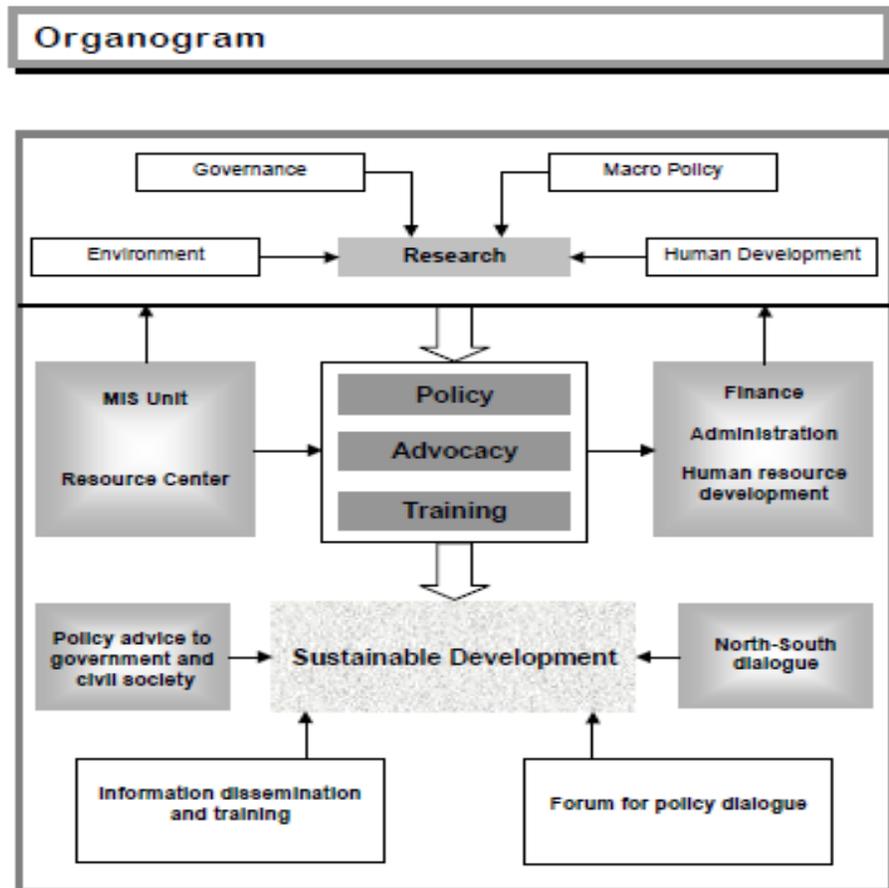
Recommendation:

While it may seem solely symbolic, including stakeholders at the top of the bureaucracy is a critical recommendation. Including stakeholders specifically will achieve two important objectives: (1) to identify the stakeholders in this process generally, and (2) to reinforce the idea of the feedback loop, that all research and recommendations – from the bottom up and back down – are directed at the people served.

Analysis of Sustainable Development Policy Institute (SDPI) (FIGURE 5):

Overview:

This is a model drawn from Sustainable Development Policy Institute's 1999-2000 Annual Report.[2] This is a work-based model that tangentially includes administrative roles according to task. The model operates more like a flow diagram in which roles and positions are designated according to the critical aspects of the Institute's approach. The center of the diagram identifies "Policy, Advocacy, and Training" as the core responsibilities of the Institute, distinguishing the key inputs to these three and the expected outputs. Ultimately, the whole system works towards a unified goal of "Sustainable Development."

Organogram

Governance	Macro Policy
Environment → **Research** ← Human Development	

MIS Unit

Resource Center → **Policy / Advocacy / Training** ← **Finance / Administration / Human resource development**

Policy advice to government and civil society → **Sustainable Development** ← **North-South dialogue**

Information dissemination and training

Forum for policy dialogue

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[2] Sustainable Development Policy Institute. "Annual Report 1999-2000."
http://www.sdpi.org/about_sdpi/annual_reports/99-00.pdf. (p. 3).

Major differences:

The key major difference in this structure is the task-based work-flow approach. Instead of identifying people, positions, roles, or structure of bureaucracy, this model takes the approach of centering the core objectives (and most probably the mission) of the organization and putting it front-and-center.

Pros and cons:

This model has several key advantages: (1) it is a process-based model that ensures all bodies within the organization are constantly reminded of the crucial goals for which the Institute as a whole was promulgated, (2) it identifies the aforementioned *core* objectives as well as the tangential work necessary for these objectives to succeed (i.e. financing, human resource development, etc.), (3) it includes a system of inputs and outputs that shows the interrelations between certain tasks, which can be correlated to roles, akin to relations in a more traditional bureaucratic structure, and (4) it identifies and leads to the key output – the ultimate goal of the Institute – of "Sustainable Development."

The major drawback of this model is that it does not include any relationships. While one may be able to derive roles from tasks, this becomes a subjective matter under this organogram, which could potentially lead to overlap and inefficiency. Further, a more traditional "role-based" structure is better utilized so that it clearly determines a hierarchy in which leadership drives the goals and direction of the Institute.

Recommendation:

While SDPI has chosen to utilize this model as their organogram, given GRAAM's particularly unique structure, including specific bodies that serve as consultants and counterweights to the Director, this type of model is not appropriate as the Organizational Structure for GRAAM. Rather, a model like this would be better integrated into GRAAM's process workflow, which identifies process as the key descriptor, rather than administration.

Implementation Plan

Introduction

This section will introduce the implementation plan for GRAAM's launching; the Implementation Team ("the Team") defines implementation strategies as steps and action plans designed to ensure that the client ("GRAAM") takes the necessary and timely steps required to establish a functional grassroots advocacy institute in terms of organizational, operational and financial/budgetary planning.

Timeframe

In order to synchronize the implementation plan with planning from the Capstone Budget Team, we provide below an illustrative estimate of the timeline for GRAAM's implementation. The Team expects this implementation plan being used at the end of December 2010, at which time GRAAM will be endowed with**: 1) a complete business model encompassing organizational architecture, budget model, and fundraising database; 2) a draft concept paper for wide distribution to potential donors; 3) an interactive Excel budget model; and 4) the implementation plan in this current section.** Our client expects GRAAM to be operational in one year, with the capacity to undertake simultaneous research projects in the areas of Health, Education and Community Development. The Team, therefore, structured our implementation strategy according to these goals.

Three Stages

The Team has organized the implementation steps into three stages: Nascent, Intermediate and Operative. Within these three temporal stages, the Team has further divided the implementation tasks into three thematic areas: Organizational Development, Operations, and Funding/Budget. **Tasks under these thematic areas can be performed concurrently, such that in any temporal stage, GRAAM would be undertaking organizational, funding and operational tasks.** Before getting into the specific details of these tasks, however, it is important to note that GRAAM's creation process is distinct from the actual launch of the organization, which would depend on a number of factors and separately moving parts of the foundation process of the organization. The progression from one temporal stage to another is constrained by the capacity and experiences of GRAAM's staff, rather than by arbitrary calendar deadlines; therefore the Team will not provide a rigorous, specific timeline regarding the implementation of these stages.

However, with the most optimistic scenarios in mind, we envisage that the nascent stage would last the first six months and the intermediate stage would be the second half of the first year of GRAAM's existence, i.e. months 7 to 12. The intermediate stage would also be the time period during which the organization would be soft launched. The operative stage would be after the end of the first year, when GRAAM is fully operational. The start of this period would also see the formal launch of the organization.

Nascent (December 2010 – June 2011)

Within the first six months of the completion of this project, the client should focus on the steps in the Nascent section. The most important tasks in this stage are the hiring of essential staff. This is the stage in which GRAAM does not engage in research projects, but rather in establishing the institutional structure for future research, as well as resource funding. Some tasks undertaken in the Nascent stage include the identification of relevant staff and personnel, the legal formation GRAAM by the Board of Governors, website creation, identification and formalization of research areas and processes, and continued identification of donors and partnerships.

Intermediate (July 2011 – December 2011)

At this point all major staffing roles have been identified – this includes the Board of Governors, Advisory Panel, Council of Core Experts, Research Specialists and different administrative support staff. This stage should put GRAAM in position to begin conducting research; having established relationships with donors in the Nascent stage, GRAAM will now be nurturing and building on those relationships. Implementation procedures in the Intermediate stage may include formulation of temporary research teams and identification of best practices for conducting community needs assessments, research and advocacy.

Operative (post December 2011)

GRAAM will be able to take part in simultaneous research projects, advocacy and outreach initiatives. At this point staffing situation would be complete, including temporary research teams, and support staff. GRAAM will be able to circulate research findings for outside peer-review and publication. This is the point where GRAAM is fully operational.
In the following sections the Team presents, in greater detail, the tasks and details under the three thematic areas, divided along these three stages.

Implementation Tasks

Organization

In the first two months of GRAAM's creation process, the Team envisages that the following concrete tasks must get off the launching pad. In enumerating these tasks, it is assumed, based on meetings and conversations with Dr. Balasubramaniam, that initially GRAAM would be loaned office space by SVYM. At this point, GRAAM would consist of the Director and his one assistant. At least in the first few weeks, these people would be provided clerical and logistical support by SVYM's relevant staff and resources. This arrangement would gradually change as per the plan provided below, i.e., as GRAAM gains both in staff members and in the complexity/ range of its activities it will require new office space and hence complete independence of operations.

The Team anticipates that a lot of the tasks described below would be undertaken concurrently. In filling up a five day, 40 hour work week for the Director and his assistant, the Team assumed that a typical morning might be taken up with meetings with a member of the Board of Governors, while the evening would be spent in consultation with funders. Between these two meetings the Director's assistant could squeeze in phone calls with web developers to set up meetings with them to designing GRAAM's web site. This means that as already stated above, it is difficult to provide an exact timeline for the tasks described below, since many of them would depend on the typical work and budget constraints and local conditions in which the Director and his assistant would be operating.

The first six months at least will be required to create this groundwork after which the mutual consultations of the staff and members of the prospective organization will lead to a decision on when GRAAM should be formally launched. The latter event must be an important enough media exercise, together with the visible participation of GRAAM's peer organizations, salient stakeholders and other prominent non-profit activists and opinion leaders from prominent walks of life. This will be crucial to provide the much needed introductory recognition and credibility for the organization and ensure that it arrives on the non-profit research scene with a prestigious name.

1. The Board of Governors and the Advisory Panel

Nascent Stage

One of the first tasks the Director would want to accomplish would be to put together a Board of Governors. The Board would have nine members and their selection would come about after individual preliminary meetings between each one of the prospective Board members and the Director. These meetings would delineate for the Board members the purpose, shape and vision of GRAAM, and would allow for the crucial exchanges that would further hone the future course of the organization while building a sense of proprietorship and engagement on the part of the Board members. Since the Board members would be prominent leaders in politics, the media and the bureaucracy, it would be realistic to plan for at least two months of time before they can

be fully involved with the affairs of GRAAM. During these first eight weeks, the Director would send out formal letters of invitation, as well as any other form of formal signatory documents that would signal the Board members affiliation with GRAAM.

A similar process as above would also be followed with creating the Advisory Panel. The Director could also choose to create a specialized panel of advisors for each specific research project. However, it is recommended that he should create as large and varied a list of advisors as possible, anticipating the major areas in which GRAAM proposes to conduct research. Once these advisors have been engaged, they can be grouped as per each research project. Also, the advisory panel would be constantly changing and growing as new experts from diverse fields, such as academia, media, government and non-profit, join. The Director would want to engage with these talented individuals in order to benefit from their specialized skills and keep expanding GRAAM's professional range and deepening its research goals.

Intermediate Stage

At this stage, GRAAM would have engaged the full Board of Governors, and though not actively involved in GRAAM affairs yet, lobbying for the organization would by now be one of their top priorities.

The Director will already have some firm ideas on possible research projects, in the areas of core interest, and for this reason the Team proposes involvement of two advisors from the Advisory Panel per project. The intermediate stage would see at least six advisory panelists, two each for each of the three GRAAM core areas of research, being actively consulted by members of the Council of Core Experts (CCE) for potential research projects. Once GRAAM is fully operational, the number would be determined by the Director and the CCE as per the requisites of the research projects at hand.

Operative Stage

This stage would be a continuation of the intermediate stage, with all advisory panelists engaged; and a full strength Board of Governors heading GRAAM and actively engaging in the relevant aspects of the organization.

2. Hiring the Staff

Nascent stage

During the first two months, the Director would put out job advertisements in all major newspapers and on GRAAM's website for hiring the first key staff positions. These would include advertisements for the Council of Core Experts, the Director of Operations, the Fundraising Director, the research staff, and the Executive Assistant/Office Manager. The detailed job descriptions for each role can be found in the organizational section of this report. **The Team recommends that initially one person be hired in each category, since this would be more commensurate with the limited funds with which the organization would be**

operating in the first few weeks of the foundational process. The first set of staff can then be engaged to conduct further interviews as the need arises.

Intermediate stage

At this stage GRAAM would be in the process of advertising and hiring the remaining members of staff in order to reach full strength. In-house trainings, as required, would be provided by the senior staff members to new entrants.

Operative Stage

The operative stage would find the organization at full strength and new positions would be hired for in the natural course of time as per requirement.

3. Funding Outreach

Nascent Stage

Another extremely important task concurrent with engaging the Board and the advisors would be to start grant processes for GRAAM's launch. At this point, it would be prudent to line up not just a five year budget plan for GRAAM, but also budget plans for the first few prospective research projects GRAAM would like to start working on immediately after its launch. This would also assist in engaging the attention of funders to these projects. Funders require detailed financial statements of funding breakdowns, therefore the Director must decide at this point between either temporarily hiring accountancy services for this task or hiring a relevant professional financial officer as a GRAAM employee. This decision would be based on important facts like the financial ability of GRAAM at this early stage to pay this employee, and logistical facts like adequate office space for additional employees. This matter is dealt with in more detail further ahead.

Intermediate Stage

By this time, the funders will have reviewed and agree to finance the five-year budget plan for GRAAM and would be deliberating over the individual research projects.

Operative Stage

The operative stage would see a continuous stream of research projects and other funding grants being funneled back and forth from the funders. The cycle of approving new projects for funds and sending fresh funding requests would be continuously ongoing.

4. The Web Site

Nascent and Intermediate Stage

Another important concurrent exercise the Director must set in motion in the first few weeks of GRAAM's foundational process would be to have a website created for GRAAM. Web sites are now largely 'soft-launched' before the formal launch of the organization and are then accordingly updated as the foundation process for the organization gathers pace. The Team recommends that the Director consider doing this for GRAAM as well. With India's internet usage being among the highest in the world, GRAAM cannot afford any delay in initiating an entry into the cyber world. If space is also provided on the web site for blogging and chatting, GRAAM would be able to get a very good idea of the general response for this sort of organization.

The nascent stage would see the contracting with web developers to design a web site for GRAAM. At the intermediate level, the web site would be fully functional.

Operative Stage

The web site would be fully operational and constantly updated by researchers and other GRAAM staff as appropriate.

5. Legal Registration

Nascent and Intermediate Stage

Concurrently with the above tasks, the Director would also take the necessary steps to register GRAAM as a non-profit organization under the relevant local laws. This would require that the non-profit be registered as a charitable organization in order to be tax exempt. Since the legal steps involved in this process can be many and would lengthen this document unduly, we recommend that further details regarding registration may be accessed at http://www.ngosindia.com/resources/ngo_registration1.php. The broader website, ngosindia.com, is an important portal of information that the Director may find useful to reference in case of other questions.

The nascent stage would involve lining up the paperwork and legal documentation required for the registration process. By the intermediate stage, this process would be complete.

OPERATIONS

This section will cover the requisite steps for building GRAAM's research and advocacy capacities, suggesting possible approaches to process formalization and methodologies.

1. Staff Responsibilities

Nascent and Intermediate Stages

The individual responsibilities of each staff member need to be elucidated early on in the establishment of GRAAM. This will serve two main functions. First, it is critical to GRAAM's operational success that each staff member understands those tasks expected of them, allowing them to focus on fulfilling their roles. Secondly, spelling out responsibilities also helps GRAAM's leadership to mentally account for GRAAM's overall operations, making sure the entire breadth of tasks are indeed being assigned to appropriate staff, and that they avoid creating either gaps in the process, or redundancies by having multiple personnel responsible for similar tasks.

A possible method for creating and tracking staff responsibilities includes work plans and annual progress reports. If in the hiring process GRAAM advertizes their open positions along with required skills and associated responsibilities, once a person is hired for that position, they should sit down with their supervisor and create a work plan for the year. Typically these plans cover the roles and responsibilities of the employee, how progress and achievement will be measured, what the time-frame for review will be, and also take into account self-reflection on the part of the employee. Progress would therefore be measured by comparing the actual performance, either in terms of deliverables or more qualitative analyses, to the goals spelled out in the work plan. Since the establishment and expansion of GRAAM necessitates different staff be hired at different times, the process of delegating responsibilities would occur throughout the three temporal stages, although for each employee it is recommended that GRAAM create a work plan for them within the first two months of their arrival.

Operative Stage

Once the duties have been understood, and staff have been functioning in their role for a significant length of time – the usual time-frame is a year – GRAAM can hold individual meetings with staff members, looking at their progress on work plan tasks, and suggesting ways to improve certain tasks while highlighting those in which the staff member excelled. The Operative Stage is a good time to begin work plan reviews as most relevant staff should have been hired by this point. As the organization grows and matures, GRAAM may find it needs to reassign responsibilities, in which case the work plan process can be amended and added to as necessary.

2. Research Projects

Nascent Stage

It is the stated goal of Dr. Balasubramaniam that GRAAM be able to conduct multiple concurrent research projects by the end of the first year of implementation, and to meet this goal GRAAM should begin identifying possible research projects early in the Nascent stage. As stated above, GRAAM should try to hire three members of the CCE and six advisory panelists in the Nascent State. The Team suggests these persons should be looking for possible research targets, focusing first on the three areas of education, community development and public health. Since GRAAM will be constrained by time and the limited resources available to a new organization, the Team recommends GRAAM limit itself to three possible research projects. Staffing will be small and relatively new, financial resources will be scarce because GRAAM will have significant up-front costs to bear as it gets organized, and outside partnerships will be in the infant stages and therefore unavailable for maximum utilization in research project implementation, all of which warrant slow and deliberate steps in identifying possible research projects.

After an adequate number of research projects have been identified and accepted as pursuable, the functioning members of the CCE and Advisory Panel, along with Research Specialists, should begin to formalize those research projects. Here relevant staff and experts will give structure and details to each project, specifying roles and timelines, as well as research methodologies and how the research moves within GRAAM. In the Nascent Stage the existing members of the CCE, Advisory Panel, and Research Specialists should work together to formalize a common process by which future research projects would be specified. Future personnel can then use this structure to give consistency to the research projects. These plans would include guidelines on how large research teams are, how they are recruited and organized, what a research proposal document should look like, what kinds of data would be analyzed as well as the methods for this analysis. It should also include information on how problems are identified, how they are understood to affect the communities in question, and how these effects will be measured.

Intermediate Stage

By the Intermediate Stage the Team suggests GRAAM have three research projects identified, ideally within the three core areas of education, community development and public health. Next steps would include spelling out the processes of each individual project according to the formalization procedures discussed in the Nascent Stage above.

As GRAAM explores the research process, they will make mistakes, build competencies and gain expertise; to preserve this bundle of knowledge, GRAAM should begin collecting good and bad experiences into a set of Best Practices. Future attempts at project design, policy formation and issue advocacy will be made more effective if the lessons learned from previous efforts are properly stored and made accessible. Relevant staff for collecting Best Practices could be the Permanent Research Specialists, who would be present for the life of the research project and have the deepest familiarity with all aspects of the project.

Operative Stage

After the research projects have been drafted and implemented, and once the data has been collected and analyzed, GRAAM must draw some conclusions from those findings and translate them into policy proposals. The credibility of those policy proposals is based in part on the strength of the data, and the conclusions drawn from them. Therefore the Team recommends GRAAM submit their research findings for peer-review. This is common practice among research and policy institutions, and the mechanisms for peer-review distribution are well established. Doing so would lend both factual and reputational credibility to the policy recommendations coming out of GRAAM, as well as make the organization's work available to wider audiences, which in turn would increase the opportunities for wider and deeper financial, research and advocacy partnerships.

3. Advocacy

Nascent, Intermediate and Operative Stages

Once a research project is completed and the data has been sufficiently collected and analyzed, these findings need to be transposed into policies. It is of utmost importance that this translation process is consistent. The formalization of the findings-to-policies process should make sure that GRAAM reviews all relevant data and findings, incorporating the feedback of those staff members involved in the research and those staff who will be involved in the advocacy process.

Staff responsible for advocating for the policy recommendations that come from the research conclusions need to have a process in place. The advocacy formalization process should spell out how GRAAM identifies the social systems which they want to change, who would be responsible for specific actions in the advocacy process, and by what standards "successful" advocacy would be measured. Finally, the advocacy formalization process should offer guidelines on how GRAAM can access media and inform public opinion in order to make its issue advocacy effective.

4. Monitoring and Evaluation

Nascent Stage

Monitoring and Evaluation is the comparison of results to expectations, therefore it is imperative that the correct baseline data be collected before any project actions are undertaken. The primary goals of Monitoring and Evaluation (M&E) are to measure the degree to which stated project elements are implemented, and how successfully those elements have achieved the intended results. It is therefore important to know what the desired results – to be measured in the future – are, in order to collect commensurate baseline figures. Some of the primary decisions GRAAM must make include what kind of M&E process it wishes to employ, and for each research project, what are the intended results they wish to measure.

As GRAAM is formalizing its research projects and processes, it can include, in the data-collection sections, what baseline data should be collected in order for the ensuing M&E analyses to compare similar variables. Typically M&E processes do not begin until the project is either completed, or enough time has passed for causal relationships to be seen, but for the reasons expressed, their general structures must be decided upon at the beginning of any project.

The United Nations World Food Programme (WFP) uses an M&E approached called "Results-Based Management" which takes into consideration both the physical outputs of an operation, as well as the associated economic, social, health and educational effects these policies have had on targeted populations. WFP provides a very detailed set of guidelines on how their M&E structure is organized, which GRAAM may wish to consider as they develop their own M&E practices: http://www.wfp.org/content/monitoring-and-evalutation-guidelines.

Intermediate and Operative Stages

By the Intermediate Stage, an M&E structure should have been approved, and baseline data should have been collected for the three primary research projects that GRAAM will undertake. If the research project is completed by the Operative Stage, GRAAM can begin the M&E process and compare the actual products and impacts of the project against the expectations listed in the project document. Based on these findings, and in conjunction with Best Practices collected earlier, GRAAM can gauge project success and consider the appropriateness of project scale-up.

FUNDERS, PARTNERSHIPS AND BUDGET MANAGEMENT

Similar to tasks under Organizational Development and Operations, the Team envisions action plans under Funders, Partnerships, and Budget Management to be divided into three stages. Yet, while many tasks undertaken in Organizational Development and Operations are completed within the timeframe of each stage, the tasks under Funders, Partnerships, and Budget Management will be continuous throughout the life of the organization. Implementation plan under Funders, Partnerships, and Budget Management are the following:

1. Funders

Nascent Stage

One of the most important aspects of running a successful not-for-profit organization is acquisition of funding from donors. Without the funding, GRAAM will not be able to accomplish its proposed activities. Therefore, initiatives to inform potential funders about the establishment as well as the mission of GRAAM should be one of the priorities of the staff. Within the first six months (Nascent Stage), GRAAM could look for new funders by contacting potential donors from the Funding Database provided along with this report.

The database would be a good starting point for funding research, as it will provide donors' contact information as well as details on the types of activities they have supported in the past. Moreover, GRAAM could also update and circulate the draft GRAAM Concept Paper, also a draft version of which is included with this report, to interested parties.

Intermediate and Operative Stages

While GRAAM should continue to expand their list of donors, it is also important for GRAAM to maintain good relationships with existing donors, whether from the Nascent Stage or from linkages with SVYM. Maintaining these relationships would create points of continuity between donors and GRAAM, where the goals and objectives of the donors are in line with those of GRAAM. Therefore, the emphasis of the Intermediate and Operative Stage is for GRAAM to maintain good relationships with funders in order to receive additional funds from them in the future.

In order to maintain strong relationships, GRAAM should circulate a yearly Progress Report on how funds are being used; this is to ensure funders that their contributions are truly employed in accordance with GRAAM's mission. Consequently, GRAAM may invite major donors to take part in GRAAM's Board of Governors Meeting, and so the donors would be informed of the direction in which the organization is heading. Moreover, to keep donors informed of activities throughout the year, GRAAM should send out a quarterly organizational newsletter or publication in hard copy or email format. Other initiatives GRAAM can take to maintain relationships may include 1) invitation of donors to seminar on research findings; 2) circulation of actual Research Policy Proposal if requested; and 3) frequent updates of GRAAM web site.

2. Identification of Potential Research and Advocacy Partnerships

Nascent Stage

Besides having sufficient funding, partnerships can play an important role in the success of GRAAM as a research and advocacy institute. Relevant partnerships not only lead to greater access to resources, but they can also improve the publicity for GRAAM into the areas in which the partners are located. The involvement of different partner groups also gives GRAAM's research outcomes and policy recommendations greater legitimacy by incorporating different voices and points of view. More importantly, these partnerships will increase the channels that GRAAM can use to advocate for its policy proposals. Strong partnerships may attract new funders and allow GRAAM to leverage these connections for more support. Within the first six months, GRAAM should consider building a partnership database. By creating a database GRAAM will be able to identify and keep track of both existing and potential partners.

As a starting point, GRAAM may replicate the partnerships established by SVYM. GRAAM may be able to identify additional partnerships by reviewing partnerships associated with similar research institutes in India. An assessment of the types of partnerships as well as a comprehensive list of partnerships by different research institutes and think tanks in India can be found in "Grassroots Research and Advocacy Movement: Concept Design and Environment Scan (August 2010)" by Basu, Gordon, and Praneeprachachon, and dozens of recently funded projects and programs that may potentially be relevant partners for GRAAM can be found in the funding database found on the CD provided with this report.

Intermediate and Operative Stages

The treatment of partners should be similar to that of funders. In the intermediate and operative stages, while GRAAM must continue to identify and expand partnerships, efforts must also be made to keep the current partners informed of GRAAM's activities and research projects. Similar to tasks to maintain relationships with funders, GRAAM should circulate quarterly newsletters, blog updates, and research publications to inform partners of its progress. Other initiatives GRAAM could partake may include 1) participation in joint projects; and 2) frequent updates on GRAAM's web site.

3. Resource Management

Nascent Stage

A valid budget model is based on the ability to accurately project both costs and revenues; yet in the current budget model the projection for funding was omitted due to the uncertainty of the current amount of available funding. Once GRAAM has established firm relationships with the funders in the Nascent Stage, they will have a clearer idea of future funding streams. Given this, GRAAM should incorporate the expected funding into the budget model and make adjustment to the amount of funds to be allocated to individual cost-items in accordance with the magnitude of

the funding it is expected to receive. Making such adjustments would improve the validity of the budget model, and help GRAAM keep track of its spending.

Intermediate and Operative Stages

In the later stages, GRAAM should incorporate fluctuations in incoming funding channels into their budget model. At the same time, in the both Intermediate and Operative Stages, GRAAM should assess the organizational performance in terms of spending. In other words, **GRAAM should compare its actual spending during a particular period to the amount of funding it budgeted for that period.** Such a comparison can be done on a yearly basis, and it could help GRAAM highlight potential efficiency or inefficiency in resource usage. Moreover, it could also direct management to the areas that should be improved or commended, whether it is the projections in the model or the actual use of GRAAM's resources.

SUMMARY OF GRAAM IMPLEMENTATION ACTION PLANS (1)

Nascent Stage: *December 2010 – June 2011*

Description: GRAAM does not engage in research projects, but rather in establishing the institutional processes and foundations for future research, as well as resource funding and personnel hiring.

Organizational Development	Operations	Funding, Partnerships, and Resource Management
1. Appointment of Board and staff a. Appoint members of Board of Governors b. Meet funders and present five year budget c. Advertise for and appoint one member of CCE d. Appoint appropriate number of Advisory Panel members e. Advertise for and appoint support staff as needed 2. Web site a. Hire web site developers to develop web site 3. Registration a. Begin process of registration of GRAAM as a tax-exempt non-profit think tank	1. Delegating staff responsibilities 2. Identify research projects 3. Formalize research plans 4. Formalize methods for translating empirical research into policy proposals 5. Formalize advocacy process 6. Begin working towards monitoring and evaluation process	1. Identify and contact potential funders a. Revise and circulate Concept Paper b. Develop funding proposals 2. Identify potential research and advocacy partnerships 3. Build funder's list and expectation for funding 4. Tailor budgetary schedule based on expectations

SUMMARY OF GRAAM IMPLEMENTATION ACTION PLANS (2)

Intermediate Stage: *July 2011 – December 2011*

Description: All major staffing roles have been identified. This stage should put GRAAM in position to begin conducting research; having established relationships with donors in the Nascent stage, GRAAM will now be nurturing and building on those relationships.

Organizational Development	Operations	Funding, Partnerships, and Resource Management

1. All board members appointed
2. Funding for first five years appropriated
3. One CCE member appointed and working full time
4. Advisory panelists appointed and working full time
5. Support staff hired and working
6. Website fully functional
7. Begin organizing research teams (students)
8. GRAAM soft launched for a select group of NGO experts
	1. Research project specified
	   a. Health
	   b. Education
	   c. Community Development
	2. Agree on monitoring and evaluation process
	3. Begin identifying best practices
	   a. Project design
	   b. Advocacy
		1. Continue identifying and contacting potential funders
		   a. Circulate Concept Paper and funding proposals
		2. Continue identifying potential research and advocacy partnerships
		3. Maintain relationship with funders
		   a. Develop progress Rreport on use of funds
		   b. Develop newsletter on current updates
		   c. Invite funders to the Board meetings
		4. Maintain relationships with partners
		   a. Newsletter on current updates
		   b. Conduct research with partners
		   c. Circulate potential findings
		   d. Build funder's list & expectations for funding
		5. Compare use of resources with budgeted resources
		   a. Make adjustment to budget model if necessary

SUMMARY OF GRAAM IMPLEMENTATION ACTION PLANS (3)

Operative Stage: *January 2012 onward*

Description: GRAAM will be able to take part in simultaneous research projects, advocacy and outreach initiatives. Staffing situation would be complete, including temporary research teams, and support staff. GRAAM will be able to circulate research findings for outside peer-review and publication.

Organizational Development	Operations	Funding, Partnerships, and Resource Management

1. Majority of staff on-board and working full time
2. Web site completed
3. Date announced for formal launch
4. Advertise for full time Director to replace Dr.
5. Performance evaluation (BoG)
   a. Staff performance
   b. Financial performance
	1. Submit research for peer-review
	2. Gauge project success
	   a. Consider appropriateness of project scale up
	3. Multiple simultaneous research projects being conducted
	4. Rigorous advocacy activities, which could include developing:
	a. advocacy partners and networks
	b. media strategies
	c. leadership and advocacy training institutes
	d. conferences
	5. Link advocacy strategies to publications from research
		1. Continue identifying and contacting potential funders
		   a. Circulate Concept Paper & funding proposals
		2. Continue identifying potential research and advocacy partnerships
		3. Maintain relationships with funders
		   a. Progress Report on use of funds
		   b. Newsletter on current updates
		   c. Invitation to the Board meetings
		4. Maintain relationships with partners
		   a. Newsletter on current updates
		   b. Circulation of research findings, peer reviews
		   c. Build funder's list and expectations for funding
		5. Compare use of resources with budgeted resources
		   a. Make adjustment to Budget Model if necessary

The Budget Model

The Budget Model contained in this section describes the potential spending plan with details and cost descriptions. The budget consists of four parts: an explanation of the budget methodology, an overview of the assumptions and estimations, instructions for the budget model, and the budget model on compact disc (CD). The details and full descriptions of costs are contained in the Budget Model on the CD provided with this report. The accounting information for GRAAM runs from January 2011 to the end of the fiscal year 2015. It primarily covers initial development costs that will need to be incurred before GRAAM becomes functional and the recurrent costs – in other words the period costs.

Methodology

The Budget Model for GRAAM is designed to provide the organization with a tool to plan their financial needs. It is an interactive model that will allow the client to update/change inputs as necessary. The budget does not address expenses related to scaling up, however, it does provide an option to input estimates for the chosen alternative (i.e. they can rent an office space or purchase it). The immediate goal of this budget is threefold: to show financial information in a clear manner; provide a dynamic spreadsheet model that can be used to calculate alternative situations; and allow this model to be replicated for other projects within GRAAM/SVYM. It covers probable expenses that GRAAM is likely to incur in order to set up and operate as an entity in Mysore. Expected expenses are divided into three categories as shown below:

Type of Cost	Definition	Example
Development - Equipment	One-time start up costs associated with housing GRAAM in the existing SVYM building.	Acquiring office supplies such as computers, desks, phones, etc.
Development - Split off	These costs will be incurred at the point in which GRAAM decides to separate itself from SVYM.	We have included three options in the model: 1) Renting a space, 2) Purchase of property and then construction of a building or purchase an already constructed office space, 3) Property lease.
Recurrent	These are the operational costs that the organization will incur every period.	Payroll, utilities, supplies (i.e. stationary, soap, toilet paper), maintenance, etc.

Assumptions and Estimations

The accuracy of the Budget Model hinges highly on the assumptions made. Our model will be based on a five-year timeline, with GRAAM initially being incubated within the SVYM campus in Mysore. Moreover, the standard currency used in our model is Indian Rupee (Rs. or INR). Our assumptions are divided into four areas:

1. Inflation and Exchange Rates
2. General Assumptions
3. Costs of development and recurrent activities
4. Limitations

Inflation and Exchange Rates

Changes in inflation and exchange rates can influence estimations in the budget model. On the price level, there is a persisting trend of rising inflation; however, such a trend is consistent with the evidence of a strong economic rebound from the 2008 crisis. In fact, India recorded growth of 8.8% (yoy) in the second quarter of 2010 (1). Moreover, while volatile inflation can affect budget projections for yearly salary increases and the real value of GRAAM's investment, the Reserve Bank of India has been persistent with its effort to control the rising price levels and is expected to continue monitoring and curbing inflationary pressure throughout 2010. Measures that the central bank have put in place included raising policy rate by 250 basis points on September 16, 2010 (3) and changing the composition of WPI index to better reflect contemporary consumption patterns. In sum, while inflationary pressure is a concern for India's macro economy, it has been taken into consideration and should not present any complications in GRAAM's budgetary projection. Nonetheless, in light of persisting inflation, we have used an inflation rate of 6% in the Budget Model.

In terms of the exchange rate, over the past two years, the Indian Rupee has exhibited a trend of appreciation against the US dollar due to increased capital flows to India as well as the weakening dollar. As of October 4, 2010, the rupee has appreciated against the US dollar to Rs. 44.235 per dollar, the lowest in 5 months. (4) While a stronger rupee can erode exporters' earnings, it is not a cause of concern as exports only make up a small portion of India's economy. Moreover, the Reserve Bank of India is concerned that intervention on the exchange rate may create unwanted inflationary pressure on the already heated economy and would therefore only intervene to smooth out the volatility of the exchange rate. (4) As such, in light of the above-mentioned information it was assumed that exchange rate appreciation would persist. **Thus, the Indian Rupee has been assumed to appreciate against the US dollar at an annual rate of 3% per year. In addition, an exchange rate of 45.480 (based on market rate September 2010) has been used in the model. (5)**

General Assumptions

Development and recurrent activities are the two main components of GRAAM's budget allocation. To recapitulate, to development cost is a one-time start-up cost associated with getting equipment and supplies necessary for GRAAM to initiate research and other relevant activities, while the recurrent cost is a repetitive cost that occurs at regular intervals throughout the fiscal year. These two components possess sets of assumptions that are interlinked. In order to estimate the respective costs, the following general assumptions were made:

- GRAAM has identified three focal research areas (Health, Education, and Community Development). It has been assumed in the Model that GRAAM would undertake one project per research area; the number of projects in a particular year can be changed as needed.
- In terms of personnel, in accordance with work of the Organizational Structure Group, GRAAM will have one Director and five Core Experts.
- Additionally, the Budget Group has assumed that each project will have one Permanent Researcher and three temporary–student researchers.
- Moreover, it was assumed that a Temporary Specialist and an Attorney (on-retainer) will be hired as is necessary for a particular project. (They would be paid on a project-by-project basis)
- There will be three people employed as support staff for the five-year period.
- Lastly, a ten percent contingency cost has been added to the total amount to keep as a margin for unforeseen events.

Overall, the Budget Model has been constructed with a minimum number of personnel required for GRAAM to be fully operational. Should the client view this estimation to be inaccurate, changes can be made. The "Assumptions" tab in the Budget Model will allow the client to change various inputs and the Model will then reflect the input change in cost amounts.

Costs of development and recurrent activities

GRAAM's development cost will be divided into two stages. The first stage is the one-time cost of equipment necessary for conducting research and other essential operations while the second part is the cost of operating a facility/property independent of SVYM/TRAC.

Development Cost (Stage 1)

The group estimated **the budget for the initial development cost to be Rs. 802,080.** The group approximated the costs of different items, using the price of different items that was listed under India's Internet market. The following is the list of items projected under initial development budget for starting GRAAM's operation:

Items	Unit Cost (Rs.)	Units Required	Assumptions
Desktop Computers	20,000	15	1 Computer each for Director, CCE, permanent researchers, and support staff. Also, 1 computer per project area
Wireless Router	4,000	1	Only 1 would be necessary
Office Phones	2,350	15	1 land-line phone for Director, 1 for each member of CCE, 1 for each member of permanent researchers, 1 each for support staff members, 1 line each for the project areas
Printer	5,200	1	1 set for collective use and to ensure that it is not abused
Projector	15,000	1	1 set for conference/advocacy activities
Fax machine	7,000	1	1 set for collective use
Desks (wooden)	10,000	15	Number of desks is tied to the number of computers
Chairs	2,500	23	Number of chairs is tied to the number of staff

Development Cost (Stage 2)

The second stage of the development cost includes moving GRAAM's operation into a separate building/property. **The initial model does not include an analysis of Indian real estate**. However, a table has been created to take probable capital expenditures into consideration.

Implementation Cost:

This section in the Budget Model specifies implementation strategies that are envisioned to be undertaken during the initial phase of setting up GRAAM. Implementation plan is assumed to be put in effect by end of December 2010, at which time GRAAM will be endowed with: 1) a complete business model encompassing organizational architecture, 2) fundraising database; 3) a concept paper for wide distribution to potential donors; and 4) an interactive excel budget model.

The implementation plan has been broken down into three stages that are included in the budget model:

1) Nascent,
2) Intermediate
3) Operative

The abovementioned temporal stages have further been divided into three thematic areas: Organizational Development, Operations, and Funding/Budget. Since costs for most of the activities that will be undertaken in the implementation phase cannot be exactly predicted we have allocated a pool of funds that GRAAM can draw on to fund the specific activities.

The Recurrent Cost

The recurrent costs primarily cover period costs; the employees' salaries and respective compensations take up the majority of the allocation of GRAAM's budget. It was estimated that **in the first year of the total estimated Recurrent Costs (Rs. 3,696,785 for fiscal year 2011), Rs. 1,300,400 would be spent to compensate labor.**

Under Direct and Indirect Labor, an employees' compensation will be based on salaries, health insurance compensation, and provident funds. The group assumes a flat Rs. 6,000 per year contribution for health insurance and 12% provident fund for all permanent employees. The table below shows salaries and compensation of each employee.

Position	Unit Price	Assumptions
Director of GRAM	1 person	Rs. 50,000 per month
Salary	600,000	
Health Insurance	6,000	
Provident Fund	72,000	
Core Experts	1 person	Rs. 30,000 per month
Salary	360,000	
Health Insurance	6,000	
Provident Fund	43,200	
Permanent Research Team	1 person	Rs. 15,000 per month
Salary	180,000	
Health Insurance	6,000	
Provident Fund	21,600	
Temporary-Student Researchers	1 person	Rs. 6,000 per month
Salary	72,000	
Temporary Specialists (if necessary)	1 person	Rs. 15,000 per project
Salary	15,000	
Support Staff	1 person	Rs. 10,000 per month
Salary	120,000	
Health Insurance	6,000	
Provident Fund	14,400	
Attorney (on retainer)	1 person	Rs. 15,000 per project
Salary	15,000	

In addition to direct and indirect labor costs, other components of the recurrent costs include the overhead costs that consist of annual costs of replenishing office supplies and relevant utilities, as well as the cost of activities carried out related to advocacy.

Total overhead costs (the cost of restocking office supplies) for the first year (fiscal year 2011) were **estimated at Rs. 60,740**. This allocation does not include the cost of utilities (electricity and water) since the group assumed that GRAAM runs on existing facilities. However, the client may manually insert a justifiable amount for utilities into the Budget Model.

As for advocacy costs, the group only estimated the costs of setting up a conference. However, the model provides the client with the option to insert the costs of advertisements and publications. **Overall, the group estimated the cost of 10 one-day conferences to be Rs. 90,960.**

In sum, based on our model and assumptions, the table below summarizes GRAAM's budget allocation (adjusting for 3% appreciation of Indian Rupee and 6% annual inflation)

Allocation of Budget	2011	2012	2013	2014	2015
Stage 1: Development	802,080	0	0	10,560	0
Stage 2: Development	120,000	396,000	435,600	0	0
Implementation	1,000,000				
Recurrent Cost	3,696,785	3,696,785	3,696,785	7,733,154	7,733,154
Total Allocation (Rs.)	5,618,865	4,092,785	4,132,385	7,743,714	7,733,154
Total Allocation (USD)	124,490	99,092	109,334	223,892	244,332

Advocacy Efforts:

The recurrent cost consists of day-to-day administrative costs (as explained above) and advocacy efforts. Costs for advocacy efforts have not been forecasted as they cannot be predicted, instead an annual pool of funds has been assigned that GRAAM can draw on for specific activities. The annual allocation can be changed in the model, as the team considers appropriate.

Limitations:

The Budget Model is a useful tool in regard to efficient resource allocation, however, it should be noted that the effectiveness of the model depends highly on the assumptions made. For example, it may be that in practice GRAAM does not permanently employ three support staff in its operation; in this case the budget is overestimated. Nonetheless, since the model is based on estimation, it is expected that the actual numbers would be different.

To address issues of changing assumptions, the group has a created a flexible Budget Model that allows the client to change inputs of different assumptions to better reflect actual costs GRAAM may incur in the future (for example, other advocacy efforts have not been factored into the initial model). Please follow the instructions of Budget Model in the following section to make necessary adjustments.
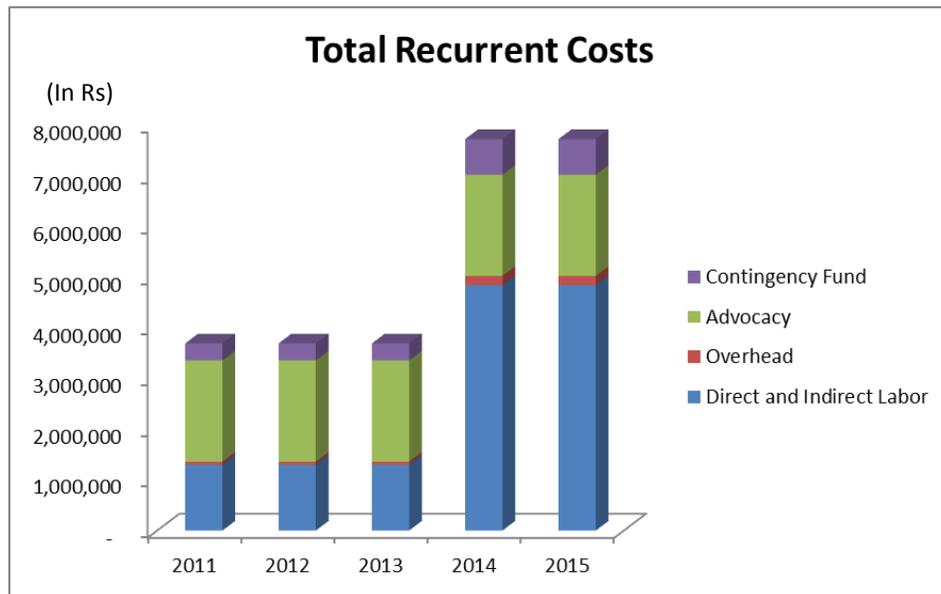
COST ANALYSIS:

Please note that the under shown analysis has been conducted using estimated values, that will likely be different in reality. However, preliminary analysis reveals rough a break down of the costs that are likely to be witnessed as GRAM starts operating.
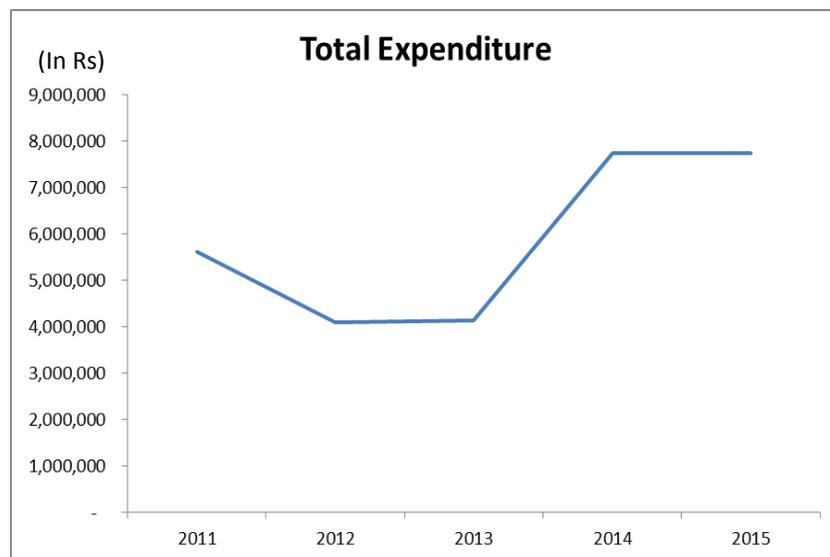
From the chart, we can see that the total expenditure has been projected to increase after 2013, mainly due to increase in recurrent costs, which serves as a reminder that once the organization starts operating, long-term cost control on recurrent expenses would be worth noticing. The recurrent cost is expected to go up as the organization will gain momentum and establish itself.

What component in recurrent costs drives the increase? If we take a closer look at recurrent costs, we can see that Direct and Indirect Labor will become the major part of total recurrent costs post 2014, which dictates us to closely observe labor costs. There are several ways we can cut on labor cost.

i) Can GRAAM reduce the labor costs by hiring fewer people?
ii) Hiring people that ask for lower salaries? For example, part-time employees, outsourcing?
iii) Increasing people's efficiency at work? Conduct employee satisfaction surveys and find out what motivates them, what the organization can do to improve their motivation and efficiency in the work place.

Total Recurrent Costs

(In Rs)

8,000,000					
7,000,000					
6,000,000					
5,000,000					■ Contingency Fund
4,000,000					■ Advocacy
3,000,000					■ Overhead
2,000,000					■ Direct and Indirect Labor
1,000,000					
-	2011	2012	2013	2014	2015

Instructions for the Budget Model

The Budget Model has been created in Microsoft Excel and is designed so that it can be easily interpreted. The spreadsheet consists of multiple worksheets that can be opened using the tabs that are listed at the bottom of the spreadsheet. Each of the worksheets in the spreadsheet is titled according to the content it spans. Though the spreadsheet has been created in Microsoft Excel, it can also be opened in OpenOffice Calc, a free alternative to Microsoft Office.

The first tab in the model contains detailed instructions for using the Budget Model. The second tab takes the user to a sheet of assumptions that were used in various calculations (these assumptions may be changed as needed). To edit an assumption, the user should click on the highlighted (yellow) cell and update/change various assumptions. For example, to change the number of research staff required per project, click on the highlighted cell and change the number. The cells that are not highlighted are not to be edited; the ones that are highlighted take the inputs and process the numbers accordingly.

The other tabs contain a detailed breakdown of development and recurrent costs based on the assumptions listed in the 'assumptions' worksheet. Since the model is interactive, if one input is changed, the model will internalize the change and the costs will update accordingly. Using the model, GRAAM can see for itself how different costs would change as changes are made to specific inputs. This is very useful for efficient resource allocation.

Reminders about Using Microsoft Excel

Please be mindful of the following:

- Remember that you cannot save changes to the CD. You must save the spreadsheet on the computer.
- Equations must always begin with an equals sign (=).
- To save any changes, press CRTL + S.
- To undo the most recent change, press CRTL + Z.
- In the lower right-hand corner is a bar that allows one to zoom in and zoom out, which is useful for viewing the data.
- Additional instructions and tips are given on the first tab of the Budget Model.

The Compact Disc

The Compact Disk (CD) included with this report can be used in any computer with a CD or DVD drive. When not in use, it should be kept in its protective sleeve and out of direct sunlight. It can be copied to create additional CDs, or its contents can be distributed through other means such as e-mail or USB memory sticks. The disc contains the Budget Model described above. Instructions are also included within the Budget Model for additional clarity.

Fundraising

This report provides two key deliverables to help GRAAM identify and approach potential funders during the nascent (start-up) phase and later phases, for seed and/or start-up funding, and operational and project-specific support: a comprehensive funding database and a draft concept note on GRAAM & SVYM.

Funding Database

The database, which is contained on a CD included in this report, consists of two parts:

1) main sources, which are comprised of past or current funders of NGOs in India; and

2) supplemental sources, which include funders willing to provide grants to these recipients.

Within these two sections, grants are further categorized according to purpose, such as resources for seed money, operations, and programming. Programming is then further sub-divided by focus area. Particulars on each foundation can be found in the spreadsheet. In addition, a companion document to the database is included in the following section of this report. It highlights key funders, and includes a brief introduction, contact information, and fiscal data.

Draft Concept Note

The draft concept note, found in Appendix B, is a succinct explanation of SVYM and the creation of GRAAM. Included in this note are a brief history of SVYM, examples of its multi-year partnerships and related programs, and a brief outline of the goals of GRAAM as a non-profit in India. The intended purpose of this concept note is for use to introduce the idea of GRAAM with potential funders and may be used as a foundation on which to develop future grant applications.

To test the relevance of the draft concept note and introduce GRAAM, the concept note was provided to a program officer at the MacArthur Foundation for his comments. In addition, an interview with this program officer was conducted by two team members working on this project. A template of the interview questions may be found in *Appendix A*. A synopsis of the discussion concerning the concept note and questions included in the interview is provided in the following section.

Background/Interview

In order to get a better understanding of the attractiveness of GRAAM to potential funders, two team members interviewed John Slocum, a program officer at the MacArthur Foundation. The main purpose of the interview was to gauge and understand what GRAAM can do to maximize its potential in the field of fundraising. The interview results were interesting and described below.

According to Slocum, in order for GRAAM to be most attractive to funders, funding proposals for GRAAM need to be very specific in presenting what GRAAM does. Each donor will have specific funding requests that encompass thematic, geographic, or other areas. By being very specific in what it has to offer, GRAAM can ensure that the funders will be able to more fully match up GRAAM's and their own priorities to see if views align. Funders generally tend to like looking at very specific programs and to see whether their interests match the organization's project.

Slocum further points out that an organization's projects are its starting point in obtaining funding. Only when GRAAM has a project attractive to a particular funder will they be able to gain support from that funder. The strength of the project, *and the very close match with a particular funder's specific interests,* are both very important in attracting potential funders. So the rapid development of projects and being very directed in the approach to funders is essential.

Slocum also pointed out GRAAM's strong points for funders. He believes that what makes GRAAM attractive is that it is not a startup organization, since it is based within SVYM. Furthermore, the name recognition of GRAAM within SVYM sounds vaguely familiar, and hence adds to the credibility of the organization. Slocum places much emphasis on the fact that the number one biggest selling point of the project is that GRAAM is not starting from scratch, is associated with SVYM, and is grounded in the community it is located. The fact that SVYM has a successful track record of projects funded by major donors such as the World Bank should be emphasized, as it gives instant credibility to GRAAM in the eyes of other large donors.

In addition, GRAAM will not be just a little NGO in India. In fact, it is nationally active in India, which differentiates it from other organizations. Slocum believes that all of the above mentioned points are strong selling points of GRAAM that would make it more attractive to funders. GRAAM should look into making these strong characteristics more visible to funders to attract them. GRAAM should also be more clear and specific in where it will be located, so that it can be even more attractive to funders who are interested in geographically located projects.

In order to be most effective in obtaining funding, GRAAM needs to tailor their pitch to the funder and try to match as many of the funder's interests as specifically as possible. For instance, Slocum mentions that MacArthur's three main aspects of interest in India include reproductive health, infant mortality, and young people's sexuality. If these main aspects were covered in a project proposal, then MacArthur, as a funder, would be interested in funding the organization.

Furthermore, MacArthur would also look into the project's geographical concentration, since geographical area is an important factor for MacArthur when deciding funding potential. When

talking about MacArthur and what it looks for in potential organizations to fund, Slocum repeatedly placed emphasis that GRAAM needs to be very specific in its areas of focus: stating broad areas of interest like health, education, and community development will help GRAAM to obtain funding if they are more specifically defined to describe particular projects in more specific areas of interest to the funder.

Slocum also further elaborated on trying to advertise GRAAM to potential funders. He believes that the method of using a very crisp and clear elevator speech would most quickly and easily get GRAAM's message across to funders. He gives an example that GRAAM should make a pitch to funders that is similar to the famous Hollywood pitch: Direct, informative, and straight-to-the-point. The most effective and persuasive type of pitches show that the people selling them have done their homework.

The fact that a comprehensive market analysis has been conducted, and that the project is deemed a good idea in that it fulfills a need that has not been previously met before, will make GRAAM very attractive to funders. In essence, funders will want to know whether there are similar organizations like it in India and how GRAAM can form a missing link – for example, between people in local communities and policy-makers - that is not provided by these other similar organizations. If GRAAM can answer these questions, then it will be more effective in advertising itself to potential funders. A further advertisement and method in gaining more funds is to include a concept paper or a letter of inquiry to the funder. Slocum believes this is a crucial piece of work in order to begin the process of asking for funds. The draft concept paper for GRAAM may be found in *Appendix B*.

Overall, Slocum believes that the best way for GRAAM to find out what it should do and to gain resources from potential funders is to ask imperative questions through an informational phone call, similar to the one conducted in asking Slocum the interview questions attached in the appendix. Slocum leaves GRAAM with these potential sources of information and support:
Global Fund for Women,
Opportunity International (Slocum's contact: Beth Hoyle, India Specialist)
International YMCA, and
World Bank's Global Development Network.

In conclusion, the interview with MacArthur Foundation's Slocum indicates that GRAAM needs to be more specific in developing its projects and match requests to specific donors, emphasize SVYM's track record and the unique opportunities that GRAAM will offer based on the market analysis, and do more background research and informational interviews with potential contacts.

Potential Funders

A comprehensive list of the potential funders identified by the fundraising team is attached as Appendix C. The funding database is included separately on a compact disk included with this report.

Potential Funders Database Compact Disk

The Compact Disk (CD) included with this report can be used in any computer with a CD or DVD drive. When not in use, it should be kept in its protective sleeve and out of direct sunlight. It can be copied to create additional CDs, or its contents can be distributed through other means such as e-mail or USB memory sticks. The disc contains the Funding Database described above.

As with the Budget Model CD, please be mindful of the following:

- Remember that you cannot save changes to the CD. You must save the spreadsheet on the computer.
- Equations must always begin with an equals sign (=).
- To save any changes, press CRTL + S.
- To undo the most recent change, press CRTL + Z.
- In the lower right-hand corner is a bar that allows one to zoom in and zoom out, which is useful for viewing the data.

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Appendix A:

Interview Questions

In an effort to continue gathering information regarding the best way to generate funds to support GRAAM's endeavors, the Fundraising team conducted interviews with individuals who have expertise in this arena. The following are questions that were used to help direct those conversations.

1) Do you think that GRAAM would be attractive to funders?
   - Funders with what type of concentration/specialty/interest?
   - Health, education, community development, etc.

2) What do you think is GRAAM's strongest selling point?
   - Programs that differentiate GRAAM from others?
   - What makes GRAAM special compared to other similar programs?

3) What would your suggestions be for marketing the program areas?
   - What type of advertising/marketing would work best?
   - How can GRAAM get its message across more effectively?

4) Which type of funders do you think would be the most interested in GRAAM?
   - MacArthur Foundation, HED, Gates, Dell?

5) What do you think GRAAM should do to become more attractive to funders?
   - Publicity, program development, etc.

6) Which funders should GRAAM look into upon establishment?
   - Start-up, 3 years, 5 years, or 10 years from now?

7) Does your organization sponsor projects similar to GRAAM?
   - What programs or types of programs do you sponsor?

8) Do you know of any organizations that may be interested in partnering or working with GRAAM?
   - Local organizations, organizations from abroad, etc.
   - Possibly work together for publicity and getting message across?

9) Is there anyone else you recommend that we speak with?
   - Other funding organizations, people in your organization, contacts, etc.

Appendix B: Concept Note

About SVYM

The Swami Vivekananda Youth Movement (SVYM) is a development organization that has been active in the implementation of programs in India that focus on the areas of health, education, and community development. It engages in capacity-building and innovative solutions in order to increase the quality of life for community members using a grassroots, bottom-up approach. Through continued community engagement, healthy partnerships with both public and private sector entities, and collaboration with like-minded organizations, SVYM has been very diligent in cultivating success over the past 26 years.

Within the four focus areas, SVYM is more specifically concentrated on issues that pertain to the needs of individuals within the Mysore district of Karnataka, India. In the area of health, projects reflect concerns regarding rural health, disease prevention, AIDS, and mental health. Its education project area is more specifically geared toward secondary education. Community development efforts represent the local economy, which is mostly agrarian, meaning that projects target areas such a micro-finance, land development, soil conservation, water harvesting, training in agricultural practices, non-profit management and leadership, and Indian Studies.

Partnerships that SVYM has cultivated over the years fall into many different categories including: entities of the Indian government, worldwide bodies, as well as universities, agencies, and foundations from across the globe. Within the Indian government, collaborations have included the Government of Karnataka and Ministry of Tribal Affairs and Council for Advancement of People's Action and Rural Technology (CAPART). Organizations such as the World Health Organizations (WHO), UNICEF, and USAID, share core values with SVYM, and have led to successful collaborations on multi-year initiatives. Many of the partnerships with institutions of higher education have included North American universities such as Harvard University's School of Public Health, Cornell University, University of Iowa, University of Toronto, and University of South Florida. In addition, long-term relationships have been nurtured with agencies and foundations that include the Michael & Susan Dell Foundation (USA), Micronutrient Initiative (Canada), Wateraid (India), and the Karnataka Child Rights Foundation (Bangalore, India).

These multi-year partnerships have led to significant achievements throughout the course of SVYM's tenure. For example, SVYM runs the Vivekananda Memorial Hospital, an emergency and critical care center that opened in 1998 through the help from its relationships with public and private partners. Collaboratively, they run special projects such as the Karnataka Task Force on Health and the Government of Karnataka. Through collaboration with the Government of Karnataka and AHF Global Immunity, SVYM established an Anti-Retroviral Treatment Center in Mysore in 2004 that is able to provide treatment and counseling services to all of its patients free of charge. Additionally, within its education focus area, SVYM has partnered with agencies within the different districts of North Karnataka to engage in capacity-building through support from USAID via the Indian organization REACH, whose core goal is to provide self-help solutions to impoverished women and families.

The Idea of GRAAM

From the current infrastructure and efforts of SVYM, a non-profit organization, Grassroots Research and Advocacy Movement (GRAAM), will be established in the coming year. SVYM's founder Dr. R. Balasubramaniam, envisioned GRAAM while a Fellow at Harvard University's Kennedy School of Government in 2009-2010. GRAAM's main purpose will be to a) conduct bottom-up research that addresses the needs of the communities and b) translate that research into a language that can influence the thinking of academics and policymakers, thus bringing the concerns of communities to the attention of policy makers at the state and national levels, and in turn, influencing state and national policies in a way that benefits communities.

For example, the state of Karnataka has established a system of local liaisons, primarily local women, whose roles is to link other women and children in their villages into health services. In this instance, GRAAM would spearhead research to evaluate the effectiveness of this program, and recommend changes as needed. Their recommendations and findings would be presented through print and other medias as well as through other advocacy strategies to policy makers who could, depending on the research findings, replicate this program in other regions, enact improvements to the program, or create alternatives, etc. The impact of these changes could then be evaluated, again with input from members of the communities impacted by the program.

This is just one example of a possible action-oriented research project that could result in policy change. GRAAM's research projects would be shaped to meet its mission "to connect communities, policymakers, and academia by empirically identifying, translating, and advocating local needs, thereby creating legitimate space for community aspirations in public policy".

As currently described in an organizational plan developed by students at Cornell University's Institute of Public Affairs, GRAAM will consist of permanent sections and a varying number of non-permanent sections. The permanent sections consist of:

1) The Board of Governors, who will be charged with the responsibility of overseeing the research and advocacy activities of GRAAM to ensure that it is operating within the purview of its vision and mission;
2) The Advisory Panel, which will consist of pioneers and experts from academia, grassroots organizations, non-governmental organizations, community leaders, social entrepreneurs, business and industrial leaders, and government representatives from across the political spectrum. These individuals will work together to generate/develop ideas and initiate research projects;
3) Support Staff;
4) The Council of Core Experts, which will serve to provide expertise in project formulation in such areas as Statistics, Development Anthropology, Sociology, Economics, and Advocacy.

GRAAM will begin to implement the organizational plan in spring 2011, and plans are to be operational in three research areas—educational policy, health policy, and community development/capacity building by December 2011.

GRAAM will continue the practice of SVYM to be non-partisan, non-governmental and independent. As a policy research and advocacy institute, GRAAM will focus on and strengthen SVYM's work in the following issue areas: health policy, education policy, community development, leadership building, and participatory governance.