1. Introduction

The International Initiative for Impact Evaluation (3ie) requests research or evaluation organisations or consortia to submit qualifications for a proposal preparation grant, under 3ie’s Policy Window Philippines (PWP) grant programme.

The proposal will be for a rigorous impact evaluation of one or more programmes implemented by the Department of Social Welfare and Development (DSWD) in the Philippines.

2. Overview of 3ie Policy Window Philippines

3ie’s PWP develops and fund rigorous, mixed-methods impact evaluations commissioned by policymakers and programme managers to answer questions about the attributable impact of interventions they implement in the Philippines. 3ie promotes theory-based impact evaluations that make use of a rigorous counterfactual (experimental or quasi-experimental) to examine the full causal chain to answer questions about what works, why, how and at what cost.

PWP grants are awarded in two phases.

2.1 Phase one: qualifications and proposal preparation

The first phase begins with this request for qualifications (RFQ). The qualifications will be reviewed and scored by at least one internal 3ie reviewer, two external reviewers, and one implementing agency representative.

The selected research team will receive a Policy Window Preparation Grant (PWPG) of up to US$30,000 (see section 4.3). Please see the 3ie PWPG agreement and grant administration templates for more details.
The PWPG covers costs associated with proposal preparation activities, including costs of engaging with the implementing agency and 3ie. The costs include a field visit and one or more visits to work with the relevant staff of the implementing agency and to conduct capacity-building workshops with their staff. These visits and meetings help to ensure dialogue between implementing agency staff and the research team. They also help initiate and sustain an ongoing process of engagement and communication on the impact evaluation questions and design.

At the end of this period, the PWPG grantee will submit the proposal, including proposed budget, using the 3ie PWP evaluation proposal form. The proposed design is due within three months of the signing of the PWPG grant agreement. More details are provided below.

2.2. Phase two: full proposal and impact evaluation

The proposed impact evaluation design and budget will be reviewed and scored by at least two internal and at least three external reviewers, including a representative of the implementing agency. It is 3ie’s intent, although not a guarantee, to fund at least one proposed evaluation, conditional on the proposal receiving adequate scores on all selection criteria (see section 4.5 for selection criteria). 3ie may provide comments and request a resubmission of a proposal that does not receive adequate scores. 3ie reserves the right not to award any follow-on impact evaluation grant.

If the proposal is accepted, 3ie will award the research team a grant to conduct the impact evaluation under 3ie’s standard terms and conditions. Please see http://www.3ieimpact.org/en/funding/policy-window/how-to-apply/ for the 3ie grant agreement and grant administration agreement templates. The research team will sign a letter of agreement with DSWD outlining provisions on collection and ownership of data, as well as specific activities to be undertaken to ensure that knowledge is shared by the selected research team with DSWD researchers and technical staff.

3. Background

DSWD has requested an impact evaluation of one or more of its programmes. This section of the RFQ provides background information on these programmes.

DSWD aims to provide social protection and reduce poverty through a number of programmes, each with its specific interventions and objectives. The programme that will be evaluated and its evaluation questions will be determined during the grant preparation phase in consultation with DSWD, but the following are potential candidate programmes.
1. **Sustainable Livelihood Program**
   The Sustainable Livelihood Program (SLP) is a community-based capacity building programme that seeks to improve the participants’ socio-economic status. It is implemented through the community-driven enterprise Development approach, which equips programme participants to actively contribute to production and labour markets by looking at available resources and accessible markets.

   As of October 2014, a total of 114,015 Pantawid\(^1\) families (102 per cent) out of the total target of 111,314 were covered by the programme. The programme has two tracks. It covers 105,566 families (93 per cent) under the microenterprise development track, while the remaining 8,449 families (7 per cent) are under the employment facilitation track.

2. **Supplementary Feeding Program**
   The Supplementary Feeding Program (SFP) involves provision of food in addition to the regular meals to currently enrolled day care children as part of the DSWD’s contribution to the Early Childhood Care Development (ECCD) programme of the government. The feeding programme is being managed by the parents, based on a prepared meal cycle using available indigenous food supplies.

   In its third cycle (2013-2014), the programme served a total of 1,692,843 children out of the 1,778,274 target beneficiaries, posting a 95 per cent accomplishment rate. The programme has so far served a total of 1,327,313 day care children in its fourth cycle (2014-2015). This represents a 66 per cent accomplishment rate against the total target of 2,006,549 beneficiaries.

3. **Convergence Strategy**
   The Convergence Strategy, otherwise known as Tatlong Sulo Laban sa Kahirapan (Tatsulo), is the department’s streamlined approach for a more efficient and effective delivery of poverty reduction and social protection programmes and services. It synchronises the complementary aspects of its three core poverty reduction programmes, namely, Pantawid Pamilyang Pilipino Program, Sustainable Livelihood Program (SLP), and Kapit-Bisig Laban sa Kahirapan – Comprehensive and Integrated Delivery of Social Services – National Community-Driven Development Program (Kalahi-CIDSS NCDDP).

   As of September 2014, 1,415 out of 1,627 cities and municipalities were covered by at least two or more core poverty reduction programmes.

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\(^1\) Pantawid Pamilyang Pilipino Program is a conditional cash transfer programme in the Philippines.
The impact evaluation will address causal linkages between the programmes and improved outcomes and processes.

4. Policy Window preparation grant (phase one)

4.1 Eligibility

1. Only legally registered organisations and consortia of registered organisations, not individuals, may apply.
2. The lead grant-holding organisation may be located anywhere in the world.
3. The research team should however include at least one researcher from the Philippines as a principal investigator(s) (PI) with a substantive role in designing the impact evaluation.
4. The research team may include other researchers who are not employees of the grant-holding organisation.

4.2 Preparation process

During the preparatory phase, 3ie requires the research team to engage with DSWD to explain the rationale for conducting an impact evaluation, what will be learned from it and the implications for programme design, data collection, analysis and use of results.

3ie expects the chosen team to hold at least one workshop to build capacity amongst the commissioning and/or implementing agencies to increase understanding of impact evaluation amongst the staff of the implementing agency during the preparation grant phase. This workshop can form part of the process of developing the theory of change and discussing possible impact evaluation designs.

During the preparatory phase, 3ie requires the research team to ensure the cooperation and agreement of DSWD staff for the chosen evaluation questions and study designs. The workshops for implementing partner staff and other key stakeholders will form the basis for an ongoing dialogue between the implementing agency staff and the research team through the duration of the study.

The workshops and discussions with the implementing agency staff should cover the following:
- Determine evaluation questions and timeframes for evaluation;
- Discuss a feasible evaluation design including identification methods;
- Discuss data collection methods; and
- Carry out scoping and collect other background information needed to develop a policy engagement and research communication plan, using 3ie guidance and templates.

The study team should take stock of administrative and existing survey and other data that may be of use for the evaluation and conduct formative preparatory work.

The team must demonstrate their ability to conduct the study for which they will receive a proposal preparation grant award and their availability to start and finish the study within the timeframe indicated in this RFQ.

It is mandatory for the study team to have at least one PI involved in capacity-building workshops during field visits.

4.3 Budget

A preparation grant of up to US$30,000 will be made to the qualifying research team, as shown in the table below. The budget varies according to the number of proposals submitted, and if the preparation process includes international travel to the Philippines. US$10,000 shall be paid on signing the grant agreement and the balance on submission of the proposal(s).

<table>
<thead>
<tr>
<th></th>
<th>National researchers only and international researchers without travel</th>
<th>International researchers with travel to Philippines</th>
</tr>
</thead>
<tbody>
<tr>
<td>One proposal</td>
<td>15,000</td>
<td>20,000</td>
</tr>
<tr>
<td>Two proposals</td>
<td>20,000</td>
<td>25,000</td>
</tr>
<tr>
<td>Three proposals</td>
<td>25,000</td>
<td>30,000</td>
</tr>
</tbody>
</table>

The grant will cover costs associated with the activities necessary for producing a strong impact evaluation research proposal, including evaluation questions, a feasible identification strategy and capacity-building plan. Eligible activities include a short and relevant literature review, formative field research, researcher time and travel to meet with implementing partners, engagement workshops (inception and capacity building), preliminary checking of relevant administrative data and site visits.
4.4 **Timeline**

The following table includes an indicative list of deliverables and deadlines for both the preparatory phase (phase 1) and the full impact evaluation proposal phase (2).

<table>
<thead>
<tr>
<th>Activity or Deliverable</th>
<th>Key dates (Deadline - 23:59 GMT)</th>
</tr>
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<tbody>
<tr>
<td>RFQ is posted</td>
<td>9 December 2014</td>
</tr>
<tr>
<td>Deadline for submitting queries related to the RFQ</td>
<td>19 December 2014</td>
</tr>
<tr>
<td>Deadline for posting responses to queries on the 3ie website</td>
<td>23 December 2014</td>
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<tr>
<td>Deadline for submission of applications to RFQ</td>
<td>23 January 2015</td>
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<tr>
<td>Decision about selection announced</td>
<td>13 February 2015</td>
</tr>
<tr>
<td>Financial due diligence undertaken and preparatory grant agreements signed</td>
<td>27 February 2015</td>
</tr>
<tr>
<td>Impact evaluation proposal is submitted to 3ie. This includes the primary evaluation question, the main outcomes, the identification strategy, a piloted survey instrument and a provisional overall budget for a full evaluation</td>
<td>31 May 2015</td>
</tr>
<tr>
<td>Proposals reviewed and scored for impact evaluation grants</td>
<td>21 June 2015</td>
</tr>
<tr>
<td>3ie decision on awarding full impact evaluation (provisional) grant</td>
<td>7 July 2015</td>
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4.5 **Selection criteria**

The qualifications submitted in response to the RFQ will be reviewed and scored according to the following criteria:

<table>
<thead>
<tr>
<th>Preparation grant: Phase one</th>
<th>Weight (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Credentials of the PIs</td>
<td>40</td>
</tr>
<tr>
<td>Involvement of researchers and organisations from the Philippines in the team and proposed work</td>
<td>20</td>
</tr>
<tr>
<td>Organisational capabilities to undertake impact evaluation in the sector</td>
<td>10</td>
</tr>
<tr>
<td>Sector experience of the study team and experience of working with researchers in focus country</td>
<td>25</td>
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<tr>
<td>Associate membership of 3ie</td>
<td>5</td>
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</table>
The full proposal(s) will be reviewed against the following criteria:

<table>
<thead>
<tr>
<th>Full impact evaluation application: Phase two</th>
<th>Weight (%)</th>
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<tbody>
<tr>
<td>Qualifications of research team</td>
<td>15</td>
</tr>
<tr>
<td>Substantive involvement of developing country researchers</td>
<td>15</td>
</tr>
<tr>
<td>Quality of technical proposal and internal validity</td>
<td>30</td>
</tr>
<tr>
<td>Quality of technical proposal and external validity (theory of change, contextual analysis, heterogeneity analysis)</td>
<td>15</td>
</tr>
<tr>
<td>Demonstrated relevance of research question to the need of the implementing agency and potential for uptake of study findings</td>
<td>15</td>
</tr>
<tr>
<td>Cost</td>
<td>10</td>
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</table>

4.6 **Phase one: qualification review process**

Qualifications will be reviewed and scored by one 3ie internal reviewer and at least three external reviewers. It is 3ie’s intent, although not a guarantee, to award the proposal preparation grant, conditional on the applicant receiving adequate scores on all criteria. 3ie may provide comments and request applicants to make changes to their proposal. 3ie reserves the right to not award any grant in case no applicant meets the requirements.

5. **Instructions for applicants**

RFQ applications must include the following information:

1. Cover letter
3. Curriculum vitae (CV, not to exceed three pages each) of all proposed PIs, along with a signed letter from each indicating the share of working time expected to be spent on the proposal preparation work and confirming availability for that expected share of working time. It is expected that these PIs will participate in the proposed impact evaluation. Applicants are required to provide only information relevant to the grant in their CV.
4. If applicable, include CVs (not to exceed three pages each) of additional researchers who will be involved in conducting the impact evaluation, if proposal is selected. Applicants need to provide only information relevant to the grant in their CV.
5. Copies of up to three impact evaluation reports or publications relevant for this call, with proposed PIs as named authors.
6. Proposed budget, not to exceed US$30,000 for the proposal preparation costs, which includes the cost of two engagement workshops. The proposed budget must follow 3ie’s [direct cost](#) and [indirect cost](#) policies.
6. Submission guidelines

- Please submit all files in a single email message (not to exceed 10MB) to pwp@3ieimpact.org mentioning PWP1.02 in the subject line no later than 23:59 GMT, 23 January 2015.

- Components three and four, above, should be submitted in a single Microsoft Word or .rtf file in font size equal to or larger than 11 point.

- The signed letters from the PIs and sample impact evaluation studies relevant to the grant may be submitted as separate pdf files.

- The budget should be presented in 3ie budget format and follow 3ie budget guidelines. Budget notes may be submitted as a separate Microsoft® Word or .rtf file in font size equal to or larger than 11.

- Incomplete submissions will not be considered.

Please direct any questions related to this RFQ to pwp@3ieimpact.org mentioning PWP1.02 in the subject line by 23:59 GMT, 19 December 2014. By 23 December 2014, a single document with all questions and answers will be made publicly available on the Policy Window Philippines DSWD webpage.

This RFQ does not constitute a guarantee of an award.