





<p>Which, if any, type(s) of member(s) of 3ie are represented among the research consortia?</p> <p><i>(If you are unsure please see the following link: <a href="http://www.3ieimpact.org/en/about/3ie-affiliates/">http://www.3ieimpact.org/en/about/3ie-affiliates/</a>)</i></p>	<input type="checkbox"/> Member <input type="checkbox"/> Associate member <input type="checkbox"/> Neither
<p>If yes, please fill in the name of the organisation.</p>	<p>Click here to enter text.</p>

Conflict of Interest declaration	
<p>Are you aware of any interests arising from research, financial, or personal reasons that might lead to biases in your work?</p>	<input type="checkbox"/> Yes <p>If <b>yes</b>, please list these below, <b>maximum</b>: 200 words</p> <p>Click here to enter text.</p>

Verification	
<p>“We certify that we have reviewed 3ie’s grant agreement documents available on the <a href="#">3ie website</a> and confirm that the grant-holding organisation agrees to the terms of the documents.”</p>	<input type="checkbox"/> Yes

APPROVALS	
Approval	
<p>It is the responsibility of the researchers to provide all necessary approvals before the start of the study, whether obtained by the researchers, the grant-holding agency, and/or the intervention implementing agency. <i>Awarded grantees must send copies of each of the required approvals below prior to grant signing, to 3ie.</i></p>	
<p>Is government approval required for the implementing agency to participate in the evaluation and to coordinate with the research team?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>If yes, which country(ies)?</p>	<p>Click here to enter text.</p>
<p>Is ethical approval required by the grant-holding organisation to undertake this evaluation?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>Is ethical approval required by any other organisation, such as the affiliations of members of the research team, to undertake this evaluation?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>If yes, which organisations?</p>	<p>Click here to enter text.</p>

FOR REFERENCE ONLY

## PLAIN LANGUAGE SUMMARY

If you are awarded a grant from 3ie, the details from this summary will become the basis of the website posting about your study. Please provide this summary here with the following sub-headings:

- Context and relevance
  - Importance and relevance of the research topic (in the context of political, economic, social, cultural, ethnic, geographic/topographic/climatic, infrastructural and institutional setting).
  - Expected relevance of the research questions for policy makers & implementing agencies.
  - Potential implications of the evaluation for policy, programming, and practice in this setting.
- Evaluation questions of interest
  - Main research questions and associated outcomes and impacts of interest.
  - As relevant the sub-groups that will be examined in this evaluation.
- Empirical data and methods
  - What variety of methods will be used to test assumptions and make causal claims along the causal chain?
  - What is the identification strategy (how will the attributable change *caused* by the programme/policy/intervention be estimated)?
  - What are the key sources of data for this study?
  - What is the relevant sample size that the study will be using to examine its key questions?
  - What are the sub-groups of interest and relevance that the evaluation will examine impacts/outcomes/outputs for (and is powered for)?

**Maximum:** 750 words

[Click here to enter text.](#)

FOR REFERENCE ONLY

## EVALUATION CONTEXT

Please explain the national, regional, or global policy context that this evaluation will inform. Please also describe the policy or implementation topic that the proposed impact evaluation will address.

**Maximum:** 500 words

[Click here to enter text.](#)

INTERVENTION AND THEORY OF CHANGE	
Intervention	
<p>Please explain the programme/intervention/policy that you propose to evaluate. While doing this please:</p> <ol style="list-style-type: none"> <li>describe the intervention /programme/policy. Please indicate whether the intervention/programme/policy has already started/been implemented, whether in pilot or at-scale form and a timeline for the roll-out of the intervention.</li> <li>include details about the local context, including the social, cultural, economic, political drivers and legal structures that are relevant to the intervention /programme/policy.</li> <li>describe the implementing agency's intended beneficiaries, including the process used to select programme beneficiaries.</li> <li>briefly indicate the key outcomes of interest to the implementing agency.</li> </ol> <p><b>Maximum:</b> 800 words</p>	
<p>Click here to enter text.</p>	
Knowledge gap	
<p>Please outline the knowledge gap (for the implementing agency/ other key decision-makers/local/global community as relevant) that the proposed evaluation will address.</p> <p><b>Maximum:</b> 500 words</p>	
<p>Click here to enter text.</p>	
Theory of change	
<p>Please describe the theory of change underlying the intervention /programme/policy you intend to evaluate. The theory of change presents the hypothesised causal pathway linking the inputs and activities of the intervention to its intended outputs and outcomes in the short- and long-term. It also explicitly states the assumptions that inform each link in the pathway. Please be clear about intervention components as well as the assumptions. Please indicate intended and unintended outcomes from the intervention /programme/policy [<i>There is also an option to upload a supplemental diagram at the end of this form.</i>]</p> <p>You may want to refer to 3ie's guidance on using theory for impact evaluations while completing this section: <a href="http://www.3ieimpact.org/en/evaluation/working-papers/working-paper-3/">http://www.3ieimpact.org/en/evaluation/working-papers/working-paper-3/</a></p> <p><b>Maximum:</b> 1000 words</p>	

Click here to enter text.

## EVALUATION QUESTIONS AND DESIGN

### Priority evaluation questions

Please list the priority evaluation question(s) to be addressed by the proposed study. Please list the primary and secondary outcomes and impact variables that you will assess.

**Maximum:** 300 words

Click here to enter text.

### Impact heterogeneity and unintended consequences

Please briefly present the intended and unintended outputs/outcomes/impacts of the intervention /programme/policy. Specifically please list sub-groups for whom you hypothesize there may be diverse effects of the intervention and of these, those that will be measured/addressed by this evaluation. Of particular interest are socially and structurally marginalised and vulnerable sub-populations as well as sub-groups of priority of the programme/policy/intervention agency.

**Maximum:** 200 words

Click here to enter text.

FOR REFERENCE ONLY

### Evaluation design: internal validity

Please describe the identification strategy that will be used to measure the causal change in outputs/outcomes/impact that this impact evaluation aims to estimate.

Please discuss how key sources of bias including externalities and spillovers, contamination issues including Hawthorne effects and John Henry effects will be controlled for, mitigated or eliminated.

**Maximum:** 1000 words

Click here to enter text.

Please indicate which of the following identification strategies will be used to quantifiably estimate the attributable change in output/outcome/impact that this evaluation aims to measure. Please mark all that are relevant to this evaluation proposal:

- Case control
- Interrupted time series
- Natural experiment
- Process tracing or analytic narratives
- Quasi-experimental (propensity score or other matching)
- Quasi-experimental (instrumental variables)
- Quasi-experimental (regression discontinuity design)
- Quasi-experimental (difference in difference with matching)
- Quasi-experimental (difference in difference without matching)
- Randomized control trial (or randomized assignment)]
- Other (please specify: [Click here to enter text.](#))

FOR REFERENCE ONLY



Use of mixed methods	
<p>For 3ie, it is important that researchers employ a mix of data sources and a variety of methodological approaches to assess factual and counterfactuals, and intended and unintended consequences, to help answer questions relevant to implementing agencies and decision-makers.</p> <p>a) Please describe the range of quantitative and qualitative data collection tools and techniques that will be used in the impact evaluation. If relevant please describe any secondary data that may also be used.</p> <p>b) Please include a timeline showing when over the course of the impact evaluation, these different sources of data/information will be used.</p> <p>c) Importantly please clarify how variety of data types and sources will be integrated to interpret results.</p> <p><b>Maximum:</b> 800 words</p>	
<p>Click here to enter text.</p>	

Sampling strategy	
<p>Please describe the sampling strategy that will be used for this impact evaluation.</p> <p><b>Maximum:</b> 600 words</p>	
<p>Click here to enter text.</p>	
Sample size calculations	
<p>Please present the sample sizes that you will use to estimate your main outcomes. In discussing this, please provide the value and a justification for the following parameters that will inform your sample size calculations:</p> <ul style="list-style-type: none"> <li>• Expected baseline levels for main output(s)/outcome(s)/impact(s);</li> <li>• Expected effect size or minimum detectable effect;</li> <li>• Levels of alpha and beta (significance and power) assumed;</li> <li>• If relevant, intra-cluster correlation coefficient and justification;</li> <li>• If relevant, expected take-up rates;</li> <li>• If relevant, expected treatment and study attrition.</li> <li>• If relevant, the subgroups that will be examined. Please indicate if the evaluation is powered to examine consequences for these sub-groups.</li> </ul> <p>Please state the assumed values and please provide a justification for them.</p> <p><b>Maximum:</b> 500 words</p>	

Click here to enter text.

### Costing

If available, please indicate the total budget of the intervention/programme/policy and list the (co-) funders of the intervention.

Please describe your plans for collecting costs and approach(es) for cost related indicators of the intervention/programme/policy that will be examined during the course of the impact evaluation (including as relevant, approaches for cost-benefit or cost-effectiveness analysis).

**Maximum:** 500 words

Click here to enter text.

### Ethical issues

Please explain any ethical issues related to the proposed intervention and/or evaluation. How they will these be addressed by the study team? (Where relevant, these may relate to ethical risks related to selection, ethical risks due to the identification strategy, direct risks to respondents from the intervention starting or ending, and risks related to data confidentiality.)

**Maximum:** 500 words

Click here to enter text.

### Evaluation design: external validity

In order to clarify the potential transferability of impact findings, please describe the extent to which the chosen study sample represents the broader context and (subnational, national, international) populations. This description should include:

- A brief description of the study site(s), including relevant political, administrative, institutional, social, cultural, structural or other details of the context that may affect transferability of findings.
- The rationale and process for selecting the study site(s) or data sources.
- The extent of involvement by the implementing agency.

**Maximum:** 500 words

[Click here to enter text.](#)

FOR REFERENCE ONLY

## POLICY PROCESS, ALIGNMENT, AND INFLUENCE

### Policy relevance

Please describe the process the team employed while preparing this proposal that ensured involvement and engagement with the agency implementing the intervention/programme/policy. How is this engagement reflected in the evaluation questions you have proposed above?

**Maximum:** 500 words

Click here to enter text.

### Influence on policy, programming and practice

Please indicate what attributes of the **implementing agency** (that is implementing the programme/policy/intervention) make it likely that the study findings will inform future programmatic and policy decisions and choices?

In your assessment, what existing or previous experience, capacities, and resources in the **evaluation team** make it likely that evaluation findings will be communicated and disseminated in a way that is likely to encourage evidence uptake and use? Please highlight previous in-country experience of evaluation team members who will be actively involved in stakeholder engagement and communication.

**Maximum:** 800 words

**Note:** If the research design is accepted, 3ie grantees are asked to develop a stakeholder engagement and evidence uptake plan. An indicative template can be found [here](#).

Click here to enter text.

## DELIVERABLES AND BUDGET

### Work plan and Deliverables

3ie grant agreements include deliverables schedules that combine regular reporting requirements with technical outputs for the deliverables against which tranches of the grants are paid. For complete details refer to 3ie's reporting requirements document on the [3ie website](#).

Each tranche payment must be supported by (1) one or more evaluation deliverables and (2) the three-part progress report, which includes the policy influence progress report and the funds utilisation report.

Applicants must propose the specific technical deliverables for the desired tranche payments, as well as propose the time periods between tranches for the term of the grant. (In the grant agreement, all due dates will be stated as the number of months from the grant effective date, based on the information provided here). For fewer than seven tranches, just select 0% for the unnecessary rows. Tranche percentages must sum up to 100%. 3ie mandates that the first tranche payment cannot be more than 30% of the total grant. The last two tranches (for the draft final report and the final report) should each be for 10% of the total grant.

Please note that 3ie recommends that 10% of the budget be allocated to policy and programmatic engagement, and for communicating and disseminating findings and integrating these into policies and programmes. Possible activities in this category include staff time; meeting costs to engage with key stakeholders and build stakeholder/implementing agency capacity to use research; travel costs for disseminating information about the study or its findings at any stage; media outreach; publications costs of knowledge products; and costs of any web-based communication related to the study.

FOR REFERENCE ONLY

Summary of resources required for project				
<p>Please download the Excel® budget template from the 'Uploads tab'. Complete the budget according to the budget guidelines provided in the document, while paying careful attention to the 3ie direct and indirect cost policies on the <a href="#">3ie website</a>.</p> <p><i>In particular, note that 3ie will not fund any part of the intervention itself.</i></p> <p>Upload the budget and the accompanying Budget Narrative document. Enter the amounts from the Financial Summary worksheet in the table here.</p>				
Fund Heading	3ie Contribution	Other Contributions	Total	% Total
Personnel	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Consultancy	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Travel	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Survey Cost	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Office Expenses	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Equipment	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Sub-grantee direct cost	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Grantee indirect cost	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Sub-grantee indirect cost	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
<b>Total</b>	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.

### Other financial support

List and describe the source of and amount of any additional financial support that you have received or expect to receive for the proposed study from other sources.

**Maximum:** 250 words

[Click here to enter text.](#)

FOR REFERENCE ONLY

**PI and STAFF**

**Contact Information**

Communication regarding this application, and if awarded, the grant, will be sent to the contact person and the authorised contract signatory. Please provide postal addresses for both of these individuals, in addition to the information requested below. To fill in postal addresses, please click on the 'Address' hyperlink next to the record once that has been added. In addition, the applicant may also designate one additional contact person to be copied on email communication only.

<b>Name*</b>	<b>Job Title*</b>	<b>Role*</b>	<b>Email Address*</b>	<b>Postal Address*</b>	<b>Contact phone number*</b>	<b>Skype ID, if available*</b>
Click here to enter text.	Click here to enter text.	Choose an item.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Choose an item.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Choose an item.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.



## Staff Duties

Please present the names, roles and responsibilities of each post, including for all principal investigators in the table below. If the individual's name is not yet known, please indicate the position, such as "research assistant". All principal investigators named in the application will be named as principal investigators in the grant agreement, and changes will be subject to requests for Letters of Variation.

Curriculum vitae (CV) for each of the named principal investigators, including the lead principal investigator named in the contact information section below, must be uploaded on the Uploads tab. *Each CV should not exceed three pages* and should highlight this information:

- Research experience and up to five publications directly related to impact evaluation, ideally with a focus on the geographic and sectorial context in which the proposed research will take place.
- Information on success in communicating findings and facilitating policy uptake.
- A history of collaboration with L&MIC PIs, researchers, and research or academic organisations should be highlighted.

To be acknowledged as a *L&MIC* country researcher, all three of the following conditions need to be fulfilled:

- The researcher needs to be an L&MIC national.
- The researcher needs to be physically located in an L&MIC.
- The researcher needs to be affiliated to an organisation that is registered in an L&MIC.

Please note that 3ie requires that there be at least one L&MIC researcher in the evaluation team who is involved in a substantial capacity *i.e.* as a PI or a lead PI. Please pay special attention to describing the duties of this researcher(s).

*Please add additional rows if necessary.*

Role	Job Title	Name	Email	Primary organisational affiliation	Number of days person will work on project	Duties of the person	Contact details, including phone number and/or Skype ID	Country of the primary organisation	L&MIC researcher?
Choose an item.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	<input type="checkbox"/> Yes <input type="checkbox"/> No



## ADDITIONAL DOCUMENTS TO INCLUDE

**Verification**

Written statement from the implementing agency stating its support of this study and explaining how it intends to make use of the findings

**CV(s):**

CV(s) of all listed principal investigators

**Budget:**

Document with budget narrative; detailed budget in Excel<sup>®</sup>

**Theory of Change:**

Document showing theory of change (optional)

**Sample size calculations:**

Excel<sup>®</sup> sheet

FOR REFERENCE ONLY