



Q&A document

Development Priorities Window (DPW1)

Call for expressions of interest: impact evaluations of environment, governance, infrastructure and public finance

EOI application submission deadline: 18:00 Indian Standard Time, 18 January 2016

3ie is responding to additional queries received by 6 January 2016 regarding the call for expressions of interest (EOI). A previous version of this Q&A document was posted on 4 January 2016 and on 21 December 2015. Please note that questions may have been edited for sense and style and to keep the queries anonymous so that they are useful for other applicants.

Q1: 3ie received several queries regarding the eligibility of programmes and policies that may qualify for impact evaluations under the first round of the Development Priorities Window (DPW1). An overall general response to all these queries is provided here.

- Does an evaluation related to irregular or illegal migration qualify under the infrastructure theme?
- Will an impact evaluation of a wastewater treatment project in Armenia qualify as programme under the scope of environment?
- Does road safety fall within the scope of your call?
- Will a water infrastructure project meet the grants criteria?
- Will a study of a microenterprise package consisting of an initial loan of raw materials, marketing, management, and accounting training, and ongoing technical assistance to start and expand a poultry microenterprise qualify under the public finance theme?
- Will the construction of kindergarten qualify under the infrastructure theme?
- Will a new tablet-based intervention in schools qualify under the governance or infrastructure sectors?

A1: 3ie will not provide advice on the eligibility of any of these policies or programmes based on partial information. Please note that the link between the proposed impact evaluation and any of the four sectors that are the focus of DPW1 should be made clear in the EOI application. To keep the selection process competitive and fair, 3ie will not discuss details of any specific project before the final selection. All proposals will go through a review process based on documents submitted.

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Q2: 3ie received several queries regarding countries that qualify under DPW1 for impact evaluation support. A general response to all these queries is provided here.

- Are proposals from Iran (upper-middle income country) accepted?
- Are upper-middle income countries eligible for this call?
- Will Argentina, a high-income country, qualify for this call?
- Will projects in the Dominican Republic and in Colombia, both of which are upper-middle-income-countries, qualify under this call?
- Can African countries apply?
- Will associations from Tunisia qualify?
- Will proposals from Tanzania, Chile and South Africa (upper-middle income country) qualify?

A2: Please note that impact evaluations supported by DPW1 must evaluate policies or programmes in a [low- or middle-income country](#) as defined by the World Bank. High-income countries are not eligible for under this window. Any organisation which can sign the [3ie grant agreement](#) can apply for a grant under this window.

Q3: You insist on 'signature from an institution', does it mean that a research team cannot apply for the proposal?

A3: A grant signatory must be a legally registered institution. Any organisation that can sign the [3ie grant agreement](#) is eligible to apply under this window. A research team can apply as long as there is one grant holding institution. Team members may be brought on as consultants or sub-grantees.

Q4: How do we present our funds application?

A4: The EOI application form (see sample form [here](#)) must be submitted through 3ie's online [grant management system](#) only. Applications will not be accepted by any other means.

Q5: We had raised some funding for carrying out pilots and initial rounds of data collection for our research work. But that initial funding is not enough for the entire project. Are we eligible to apply under DPW1 window? In other words, are we eligible to apply if 3ie is not the only source of funding for the research work?

A5: Applications are eligible to apply even if 3ie is not the only source of funding for the research work. If the EOI is selected for the second phase (i.e. selected for full impact evaluation support), successful teams will be invited to submit a full proposal. In the full proposal form you will be asked to list sources and amounts of any additional financial support that you have received or expect to receive for the proposed evaluation. Presence or absence of additional funding from other sources will not affect the likelihood of 3ie grant support. But if the study is dependent on other sources of funding, and should 3ie decide to support this proposal, it is the responsibility of the team to ensure that these other sources commit and *make available* committed resources in a timely way so that this is not a bottleneck for the study. Please also note that irrespective of other sources of funds, all evaluations and proposals are expected to meet 3ie's guidelines and standards for impact evaluation.

Q6: Can any organisation send more than one EOI for a given sector out of the four specified sectors?

A6: Multiple applications are possible. If selected, the organisation must be able to demonstrate the ability to undertake all selected impact evaluations concurrently.

Q7: We are an organisation based in Somalia. Could you please tell us how we can apply for this grant?

A7: Please refer to A4 above.

Q8: We do not have in-house capacity to evaluate the project so we will need to outsource the task to an external evaluator. However going through the EOI and proposal format, it looks like we already need to include a lot of technical information such as the methodology in the proposal. In our case it will be difficult to provide such information as we do not have in-house capacity and the expert to be allocated the task needs to be identified based on a competitive assessment. In such a case how do we go about the application process.

A8: All applications will be assessed on the basis of criteria listed on p.7 of the Call for [EOI document](#). Please note that amongst other things, the applications will be assessed on the research team's impact evaluation and sector experience. 3ie has an [expert roster](#), which currently features over 300 researchers in the area of impact evaluation. However, 3ie does not endorse any expert listed. Being on the 3ie expert roster is not an assessment of the expert's qualifications. Using an expert from the roster is also not a guarantee that your proposal will be accepted. The evaluators included in this roster have agreed to be contacted for their assistance. If you are interested in getting in touch with an expert, please contact them directly to enquire about their availability and interest in participating in evaluations.

Q9: According to the DPW [At a Glance](#) section, "To be eligible, evaluation teams must include nationals of the country in which the study is being implemented. Key national staff must hold passports of the country being studied, should be resident in the country at the time of application and should be working for an organisation that is registered in that country." The project we will propose includes one principal investigator (PI) who is a Bangladeshi national, but is not currently based in Bangladesh, as well as another PI who is based in and lives in Bangladesh, but is not a Bangladeshi national. Furthermore, the project's research manager and research assistants will be Bangladeshi nationals working out of an office in Dhaka. Will this research team fit the above criteria?

A9: Please note that 3ie requires that there be at least one national researcher (holds a national passport) in the evaluation team who is involved in a substantial capacity *i.e.* as a PI or a lead PI and is located in the country where the programme or policy is being implemented.

Q10: Please specify all methods that should be used to identify causal change in the evaluation, according to point 2.1 of a sample version of the [EOI application form](#). Which specific magnitudes, measures or quantitative and qualitative indicators should be used for each method? Which is the essence of these methods? How can they be used to carry out identification of causal change in the evaluation?

A10: A list of methods to identify causal change in the evaluation of a policy or programme are mentioned in section 2.1 of the [EOI application form](#). Please note that this list is not exhaustive. 3ie promotes the use of the most appropriate methods and implementation approaches to address the evaluation question at hand and to understand and measure causality, with the available resources. Please consult [3ie principles for impact evaluation](#) and [call for EOIs](#) for further information.

Q11: We are a research body and we undertake evaluations and other research work. We do not have Foreign Contribution Regulation Act (FCRA) status and do not accept grants. But we take up research assignments on a work order with deliverables. Will 3ie agree for this type of a work order based financing of the research project or it will be in the form of a charity grant?

A11: Please refer to [call for EOIs](#). The grant holding institution must be able to accept and/or receive a 3ie grant. Should this not be possible, you could work with other eligible institutions, to submit a proposal together.

Q12: My NGO works in the area of natural resource management, biodiversity conservation, food and livelihoods security and eco-tourism. I intend to express interest to take part under this call, if the following condition are possible:

1. To hire qualified and experienced consultant to assist in undertaking the assessment, analysis of impact from multi-disciplinary perspective taking at least 2 of the mentioned environment thematic areas (not the whole of them with emphasis to a particular region of the country to come up with realistic findings than touching every region)

If your answer to the above is yes, I also want to engage:

- 1. Agricultural extension and disaster risk reduction specialist**
- 2. Water Engineer and/or irrigation specialist**
- 3. Sociologist and/or anthropologist**
- 4. GIS specialist and a team leader to coordinate them**

If my proposal meets your acceptance, I can initiate discussion among the consultants indicated above and come up with our proposal. We will also appreciate if a TOR is prepared to guide the work to review our competency against the TOR.

A12: 3ie promotes the engagement of the most appropriate research team to address the evaluation question at hand, with the available resources. Please note that one of the review criteria for the EOI is prior experience of the PIs and the research team in conducting rigorous impact evaluations consistent with [3ie's principles of impact evaluation](#) in the relevant sector.

Q13: My organisation which is based in Zambia wants to:

- 1. Build a maternity TB corner and ART wings and a laboratory for a rural health post which do not have such facilities, can you fund this?**
- 2. We want replicate TB innovation for detection, adherence and laboratory alert results developed by Operation ASHA in India, can you fund this?**

A13: DPW1 will not support the costs associated with the implementation of the programmes or policies. Please refer to the 3ie [direct cost policy](#) and [indirect cost](#) guidelines for detailed guidance on permissible costs.

Q14 (a) 3ie invites applications for support to produce impact evaluations of programmes or policies in the environment, governance, infrastructure or public finance. We would like to know whether these programmes or policies refer to one specific already executed concrete policy ‘programme’, or whether we can also focus on a policy tendency (including several policy measures) or an overall national policy framework?
(b) Is it preferable to propose an evaluation of a policy or programme in one specific country, or is it possible or even preferable to evaluate similar policies in a number of countries. What does 3ie think about this last option?
(c) Should PIs always be stationed in the country in which the evaluation is taking place?
(d) Does 3ie provide any guidelines on the preferred ratio of staff versus consultants?
(e) Since the evaluations take around three years, does 3ie foresee costs for project management that can be taken up in the proposal?

A14(a): The link between the question and the four topics for this grant window, and the submitted proposal, should be made clearly in the EOI submission. To keep the selection process competitive and fair, 3ie will not discuss details of any specific project before the final selection. All proposals would go through a review process based on the documents submitted.

(b) Multi-country applications are eligible, so long as all countries are listed as [low- or middle-income countries](#) and the research team can demonstrate the capacity to undertake multi-country study.

(c) It is required that at least one PI in the research team is a national of the country (holds a national passport) in which the programme is being evaluated and is physically located there.

(d) 3ie does not provide any guidelines on the preferred ratio of staff versus consultants.

(e) Please refer to the 3ie [direct cost policy](#) and [indirect cost](#) guidelines for detailed guidance on permissible costs.

Q15: Does the excel file titled 3ie Budget template need to be submitted at the stage of submitting the EOI?

A15: The budget does not have to be submitted at the first stage of EOI application.

Q16(a) Is a two- or even three-country comparison of a specific approach appreciated by 3ie?

(b) Is that appreciation so strong that it can, in principle, justify a budget of, say, GBP 600,000 – also considering all other requirements of course?

A16: Multi-country applications are eligible, so long as all countries are listed as [low- or middle-income countries](#) and the research team can demonstrate the capacity to undertake multi-country study. There are no pre-established funding limits. However, the costs of the evaluation are one of the criteria used to score and rank proposals. Please see p.7 of the [call for EOIs](#).

Q17: (a) Would you support non-randomised controlled trial impact evaluation of infrastructure projects such as roads and electricity?

(b) What is the allocation on infrastructure from this new funding window?

A17(a): 3ie supports impact evaluations that are not randomised controlled trials, as long as there is a strong identification strategy. Please read p.5-6 for an overview of the characteristics of successful proposals in the [EOI document](#). Please also refer to A10 above.

A17(b): There is no pre-determined allocation for impact evaluations of infrastructure projects under this window.

Q18: Can someone apply for two projects for the window? I am thinking of applying one for the environment cluster and the other for the infrastructure cluster? The countries are different.

A18: Please refer to A6.

Q19: I am writing to ask whether an ex-post evaluation of a private sector housing programme in Poland qualify for a grant. We are seeking evaluation support to carry out such an assessment of the Polish programme and model, hoping the results could be used to guide other urban housing development initiatives in other countries.

A19: Ex-post evaluations of programmes or policies are eligible for grant application.

Q20: I would like to know if a team of researchers could apply for the EOI, without being covered by an institution. We are a team of 3 statisticians working at the ministry of economy), and our ministry has put in place in 2013 enterprises creation procedure centre to reduce time spent in setting up a business, to improve the private sector's business climate perception and to improve the World Bank business climate score. So, it is an opportunity for us to evaluate such a policy. Do you think we could have a chance if we apply as a team of researchers?

A20: The grant signatory has to be an institution which is legally registered. Any organisation that can sign the [3ie grant agreement](#) can apply under this window. Governmental or non-governmental implementing agencies may also apply for grants under this window but they must submit a letter stating how potential conflicts of interest will be avoided.

Q21: I am writing to see if it would be possible to have an extension for the EOI deadline for the Development Priorities Window call.

A21: The deadline for the EOI submission cannot be extended. The deadline for submitting EOIs is 18:00 Indian Standard Time, 18 January 2016.

Q22: I am one of the principal investigators of the project for which we would like to ask the funds. I have registered on the Grant Management System using my e-mail address. When filling the application form, point 2.1.4 asks for the details of the contract signatory. According to my University administration, it is the president of the university who has the right to sign these kind of agreements. So my administration suggests to indicate his name and his contact details in point 2.1.4. The problem is that, once I have registered, my name automatically appears as the contract signatory and I cannot modify it. What are we supposed to do in this case?

A22: Thank you. Please note that this problem has been rectified.

Q23: I would like to enquire about the difference between salaries and overhead. Could you please clarify what the fund does and does not cover in terms of researchers, project leaders, project administrators and other HR costs?

A23: Please refer to the [3ie direct cost policy](#) and [indirect cost guidelines](#) for detailed guidance.

Q24: In the call document, you state that “3ie invites applications for support to produce rigorous and policy-relevant impact evaluations of programmes or policies in any of these four sectors: environment, governance, infrastructure or public finance”. Would that include or exclude impact evaluations challenging the assumptions of our own programmes?

A24: Non-governmental organisations can also apply for grants under this window but they must submit a letter stating how potential conflicts of interest will be avoided. Please note that the staff of the implementing agency cannot be remunerated under the grant. Implementing agency staff time spent on the evaluation must be covered by their employer. Please refer to the [3ie direct cost policy](#) and [indirect cost guidelines](#) for detailed guidance.

Q25(a): Is it mandatory to carry out a cost study or any small scale evaluative experiment in support of the proposal at the EOI stage?

(b): Can I participate as a researcher and/or consultant for another organisation which is not my current organisation, while being attached with my current organisation?

A25: It is not mandatory to carry out a cost study or a small scale evaluative experiment before the EOI stage. One can participate as a researcher in a study even if the person is not affiliated with the grant holding institution.

Q26: According to the call, this is the first one under the Development Priorities Window (DPW1). When will the next call be issued, and what will be the thematic priorities? What is the minimum and/or maximum amount one can apply for?

A26: 3ie expects to issue future calls under this window, however the dates and the priority sectors for the next call have not been finalised. There are no pre-established funding limits. However, the cost of the impact evaluation is one of the criteria used to score and rank proposals. The overall window for DPW1 is US\$7.5 million and 3ie expects to make 18 awards. Please sign up to get regular funding alerts [here](#).

Q27: I am responsible for the M&E of the programmes within a branch of the government and we are planning to conduct an impact evaluation and were wondering if we could be assisted and or do we qualify to apply for funding?

A27: Governmental implementing agencies can also apply for grants under this window but they must submit a letter stating how potential conflicts of interest will be avoided. Proposals will be chosen on the basis of criteria listed on p.7 of the [call for expressions of interest document](#). Please also refer to A8.

Q28: There has been some confusion among our team about whether 'implementing agency' is referring to the agency that is implementing the policy or if it's the agency that will be implementing the awarded grant from 3ie. Please clarify.

A28: By implementing agency we do mean the agency and/or implementing partner that is responsible for implementing the programme or policy. Governmental or non-governmental implementing agencies may apply for grants under this window. As relevant, they must submit a letter stating how potential conflicts of interest will be avoided. Please note that the staff of the implementing agency cannot be remunerated under the grant. Implementing agency staff time spent on the evaluation must be covered by their employer. Please refer to the [3ie direct cost policy](#) and [indirect cost guidelines](#) for detailed guidance.

Q29: This is a very interesting call that you just announced. My particular interest lies in the area of impact evaluation of governance in east Africa. Unfortunately, we will not be able to apply this time due to timing restrictions. Do you plan to do further rounds under this initiative in the future?

A29: Please note that this is the first call under the Development Priorities Window that is inviting expressions of interests for impact evaluation in four key sectors: environment, governance, infrastructure and public finance. 3ie will issue funding calls in the future through this grant window, but the sectors may differ. Please sign up to get regular funding alerts [here](#).

Q30: We are working on a bit of a tight timeline, and we would like to know, for projects selected for the award, how soon can the grant funds be disbursed after the July 2016 notification period?

A30: The first tranche of the grant can be disbursed immediately on grant signing as long as all the other agreed deliverables are submitted and approved. 3ie expects to sign the grant agreements for full impact evaluations by 9 November 2016.

Q31: Are proposals to evaluate an intervention for which the baseline data has been already collected eligible to be considered for 3ie funding? We previously got a grant to collect baseline data but we do not have funds for a follow up to evaluate the intervention.

A31: Proposals in which the formative evaluation work has already been done are eligible to apply. 3ie encourages previously done rigorous formative work. Please indicate this when you submit your expression of interest. If selected for the next stage, please indicate in the full proposal template your sources and amount of other funding. (However, note that the presence or absence of other funding does not affect your chances of being chosen for support under the Development Priorities Window.)

Q32: I am writing to find out if researchers from Canadian universities are eligible to apply for this opportunity as principal investigators. Please advise as soon as possible. If we are eligible we would like to send an announcement about the opportunity to our research community.

A32: All institutions that can sign [3ie's grant agreement](#) are eligible to apply. Researchers from Canadian universities are eligible to apply as long as the university or institution can sign the 3ie grant agreement.

Q33: We have a question regarding the funding distribution. In the past, 3ie was unable to distribute funds to the World Bank. Is this still the case?

A33: As long as the World Bank can sign the [3ie grant agreement](#), you can apply directly. To be eligible for grants, grant holding institutions should be able to sign 3ie's grant agreements.

Q34: I work in the ministry of economy of a national government, and I would like to apply. I would like to know if it is possible, since you precise that it concerns research organisations. In my country, we implemented a three year budget programme and I would like to run an impact evaluation next year with my colleagues. We are all statisticians, and we have strong skills on the subject. Do you think we could apply?

A34: Governmental implementing agencies can also apply for grants under in this window but they must submit a letter stating how potential conflicts of interest will be avoided. The applications will be shortlisted and full impact evaluation proposals will be reviewed on the basis of the criteria available on p.7 of the [call for expressions of interest](#) document.