



## Promoting Latrine Use in Rural India Thematic Window

### Frequently Asked Questions

#### **Q1. What issue does this thematic window address?**

**A1:** Promoting Latrine Use in Rural India Thematic window aims to generate evidence on the design and implementation of context-specific, low-cost interventions to promote latrine use and reduce open defecation.

#### **Q2. What kind of organisations or institutions can submit applications in response to this request for qualifications (RFQ)?**

**A2:** Research or evaluation organisations or consortia with relevant expertise in behavioural science and sanitation can submit applications in response to this RFQ. Only legally registered organisations and consortia of registered organisations, not individuals, may apply. The grant-holding organisation may be located anywhere in the world and can be either non-profit or for-profit.

#### **Q3. How can I apply?**

**A3:** All qualification applications should be submitted using 3ie's online [grant management system](#). The person, in charge of submitting the application, must register on the site to get their log-in credentials. 3ie's online grant management system will be activated for application submission on 31 August 2016 and will remain open until 27 September 2016.

#### **Q4. Can I work on my application offline and then upload it when I am ready to submit?**

**A4:** The qualification application form cannot be completed offline and uploaded. There is, however, a sample version of the [qualification application form](#) available for reference on the [How to Apply](#) page of the 3ie website. The applicant has to work on the qualification form online and save the changes until the application has been submitted. Even after submission, if the application needs to be amended, there is a provision to 'unsubmit' the application. Once the necessary changes have been made, the applicant can resubmit the proposal. This 'unsubmit' button will remain active until the end of the submission deadline on 27 September 2016. Application files such as the cover letter, CVs, proposed budget, and writing samples should be prepared offline and uploaded during submission of the application. To get familiar with the [grant management system](#), we encourage applicants to start the application process early.

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**Q5. Can an organisation submit multiple proposals for the same grant window?**

**A5:** Yes, an organisation can submit multiple proposals. However, the organisation must be able to demonstrate in their proposal, the ability to undertake all selected studies concurrently.

**Q6. Can one organisation be awarded more than one grant?**

**A6:** Yes, an organisation may be awarded multiple grants. However, the organisation would need to demonstrate in their proposal the capacity to manage multiple grants concurrently.

**Q7. Can a researcher be involved in more than one grant?**

**A7:** No, due to the volume of work, and the short duration of this window, researchers are expected to focus on one grant.

**Q8. What is the maximum grant limit for a single study under this grant window?**

**A8:** For phase 1 (formative work and preparation of an impact evaluation proposal over a period of 3 months), 3ie anticipates awarding eight preparation grants. A grant of up to US\$30,000 will be made to each team. For phase 2 (rapid impact evaluation over 18 months) 3ie will award five grants. A grant of up to US\$300,000 will be made to each team.

**Q9. Does 3ie fund the interventions being evaluated?**

**A9:** Yes, during phase 1, 3ie's preparation grants (will cover the cost of potential pilot interventions along with other costs incurred for undertaking preparatory work. During phase 2, impact evaluation grants will cover the cost of implementation of the intervention and impact evaluation. Interventions costs should not exceed an average of US\$20 per household, excluding funding from other sources

**Q10. Can 3ie's grants be used to evaluate existing interventions?**

**A10:** Yes, existing interventions to promote latrine use may be evaluated provided that they are low-cost, innovative interventions that have not been evaluated earlier. The interventions need to also draw on behavioural science or other social sciences.

**Q11. If the applicant organisation is unable to accept the terms of 3ie's grant agreement regarding arbitration, governing law and enforcement, is there scope for negotiation?**

**A11:** The terms of the grant agreement are fixed.

**Other questions related to the Promoting Latrine Use in Rural India Thematic Window**

**Q12. Can I submit an application to evaluate an intervention in a country other than India?**

**A12:** No, this grant window will only support studies that are focused on rural areas in India.

**Q13. When can I access the impact evaluation proposal form?**

**A13:** Teams that have been awarded preparation grants in phase 1 will receive a notification with a link to the full online proposal form, along with detailed instructions on how to complete it.

The impact evaluation proposal template will be available by December 2016. Teams will be able to complete the full proposal form through 3ie's online [grant management system](#).

**Q14. Can an organisation apply for grants under this window, even if it has not applied for grants under earlier 3ie grant windows or has been unsuccessful in their earlier applications?**

**A14:** Yes, this grant window is open to all eligible organisations or institutions, even if they have never applied for a 3ie grant window earlier or were previously unsuccessful. For more information on the eligibility criteria, please read the [RFQ](#)

### **RFQ and impact evaluation proposal process**

**Q15. How do I know if my qualification application including the formative study plan stands a good chance of getting selected?**

**A15:** 3ie has provided guidelines for the application in the [RFQ](#). Applicants are also encouraged to read about the review and scoring criteria provided in the [RFQ](#).

**Q16. What is the timeframe anticipated for the formative work carried out in phase 1?**

**A16:** The formative work carried out in phase 1 should not exceed three months. Within these three months, applicants are expected to carry out a small pilot or field testing of their intervention and put together a proposal for a rapid impact evaluation.

**Q17. Does 3ie connect implementing organisations with researchers or institutions that have the expertise to conduct rigorous impact evaluations?**

**A17:** 3ie has an expert roster, which currently profiles more than 300 impact evaluation experts. However, 3ie does not endorse any expert listed here. Being listed in 3ie's expert roster is not an assessment of the expert's qualifications. Using an expert from the list is also not a guarantee that your proposal will be accepted.

For this grant window, 3ie has published a list of implementing agencies and research organisations that have written to 3ie to seek support in looking for a suitable partner to put together an application for this grant window. The names of organisations and contact persons are listed on this [matchmaking](#) page of the 3ie website. Being listed on 3ie's webpage is not an endorsement of the teams or individuals. Once the names are published, organisations are expected to initiate contact directly with potential partners. 3ie will not be involved in matching teams.

**Q18. Can funds be budgeted towards implementing agency staff time, if they are part of the research team?**

**A18:** The cost policy for this grant window states that 3ie's grant cannot be used to provide remuneration to the staff of the agency implementing the intervention. The implementing agency must cover the staff time spent on the study.

**Q19. What are the deadlines for submissions?**

**A19:** Applicants are required to submit their qualification applications through [3ie's grant management system](#) no later than 18:00 Indian Standard Time (IST), 27 September 2016. Only teams that have been selected will receive a preparation grant for submitting at the end of phase 1 an impact evaluation proposal by 18:00 IST by 28 February 2017.

**Q20. When will I be notified about the results of my qualification application?**

**A20:** Successful applicants will be notified by 31 October 2016.

**Q21. If my qualification application is rejected, can I revise and resubmit it, before the announcement of the final awards?**

**A21:** No

**Q22. Can I submit a full proposal even if my qualification application has been rejected?**

**A22:** No, only successful applicants will be eligible for submitting a full impact evaluation proposal.

**Q23. Once I submit an impact evaluation proposal, when will I be notified about selection?**

**A23:** Announcement of the final awards will be made by 28 April 2017.

**Q24. What are 3ie's standards for impact evaluation?**

**A24:** Applicants should familiarise themselves with [3ie's principles for impact evaluation](#). In addition, applicants are encouraged to read the review and scoring criteria provided in the [RFQ](#).

**Q25. Is it possible to review sample proposals of awarded studies selected under earlier funding windows?**

**A25:** A few [samples of successful proposals](#) are available on the 3ie website. However, 3ie's review and scoring guidelines and criteria are customised for each grant window. Applicants need to ensure that the guidelines provided in the [RFQ](#), are used to inform the proposals.

**Q26. Do I need to submit additional documents as part of the online application form for the qualification application?**

**A26:** Yes, you must submit a cover letter, CVs of all team members, proposed budget, and writing samples, and a letter of support from the implementation agency. If selected for a 3ie grant, you will also be requested to submit an additional letter that states how a potential conflict of interest will be avoided, in case the implementing agency is the grant-holding organisation.

**Q27. What is the timeframe anticipated for phase 2 studies?**

**A27:** Impact evaluations in Phase 2 should be carried out in 18 months. This includes time spent on engagement with implementing agency, data collection, analysis and report production.

**Q28. Do we need a 3ie member or associate member as part of the team, since the RFQ gives additional weight to teams that include a 3ie member or associate member?**

**A28:** No, having a 3ie member or associate member as part of the team is not necessary for a successful proposal. However, if the grant-holding organisation or the implementing organisation is a 3ie member or a 3ie associate member, the application will receive an increase of five per cent in their score in each of the two phases.

**Q29. Does 3ie promote or prefer specific evaluation methods and approaches?**

**A29:** 3ie promotes the use of the most appropriate methods and implementation approaches to address the evaluation question at hand, with the available resources. Additionally, 3ie requires the use of mixed-methods designs for impact evaluation.

## Review process for qualification applications and proposals

### Q30. What is 3ie's review process?

**A30:** All qualification applications and impact evaluation proposals will be reviewed and scored by at least one 3ie reviewer and one external reviewer. 3ie may provide comments and request applicants to make changes to their application.

After the review process, a selection panel will work with 3ie to select the studies that will be awarded grants. Final approval of awards is made by the 3ie Board of Commissioners.

### Q31. What are the review criteria for the qualification applications and proposals?

**A31:** The review criteria has been provided in the [RFQ](#) document.

### Q32: Will the review of my qualification application affect the results of my proposal?

**A32:** The review of the qualification applications will determine the teams that will be awarded the preparation grants. Only those teams will be eligible to submit a proposal at the end of phase 1. The review of the impact evaluation proposal will be carried out separately.

## Contracting and administration

### Q33. Can there be more than one grant-holding institution for a grant?

**A33:** No, only a single organisation can be the grant-holding institution. The grant-holding institution may have sub-agreements and sub-contracts.

### Q34. Our grant funds pass through two separate organisations with overhead costs which when combined, amount to more than ten per cent. Should we state our real costs or restrict the overhead amount to the ten per cent limit?

**A34:** Please refer to the 3ie's [Direct Cost Policy](#) and [Indirect Cost](#) Guidelines for detailed guidance. The indirect cost guidelines specify the maximum amount of indirect costs that can be claimed by a grantee and a sub-grantee or a sub-contractor.

### Q35. What is the meaning of the term 'fringe benefits' in the budget template?

**A35:** Fringe benefits are those paid by employers to eligible employees. For different organisations, it includes different elements such as leave and health insurance, for example. The determination of a fringe rate should be part of an organisation's accounting statements. It is typically separate from overhead or indirect costs.

### Q36. If a surveying firm is contracted for data collection and data entry, should this be reflected in the survey tab worksheet or the sub-grantee tab worksheet of the budget template?

**A36:** The prime grantee should list the total cost for the surveying firm in the sub-grantee tab of the budget template. The prime grantee is also required to submit the detailed budget of the sub-grantee (surveying firm), in the 3ie budget template, listing all these costs under the survey tab.

## Other 3ie funding opportunities

### Q37. Does 3ie offer other funding opportunities?

**A37:** Yes. 3ie issues requests for qualifications or proposals for funding through a host of different grant windows:

- [Policy windows, including country policy windows and policy window advanced](#) fund impact evaluations of priority interventions and programmes proposed by 3ie members.
- [Thematic windows](#) fund impact evaluations of interventions that relate to priority themes or sectors identified through a stakeholder consultation and scoping process.

[Systematic review grants](#) fund studies that examine existing evidence on the impact of a particular intervention or a set of similar interventions, based on agreed questions and inclusion criteria, and using recognised systematic review methods.

### Q38. How will I know when the next grant window request for proposals is open?

**A38:** You can sign up to receive funding alerts by completing this [form](#).