

International initiative for impact evaluation

Workplan 2011

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International Initiative for Impact Evaluation (3ie)

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Background

3ie's vision is 'improving lives through impact evaluation', to be achieved through our mission to 'increase development effectiveness through better use of evidence in developing countries'.

The 3ie strategy for 2010-13, identified five components to help fulfill our mission, namely:

1. Promoting the generation of new evidence from impact evaluations which is relevant to policy and program design and implementation.
2. Synthesizing and disseminating existing evidence in user friendly and policy relevant formulations.
3. Building a culture of using new and existing evidence in the development and implementation of policies and programs.
4. Developing the capacity to promote, use and undertake impact evaluations.
5. Developing 3ie's institutional capacity and performance, governance and management systems

This workplan for 2011 presents the detailed activities in support of these five main activity areas, indicating the resources allocated to each.

Strategic level indicators

The 3ie strategy contains strategic-level indicators with annual targets for both our overall mission and the five individual components. These indicators, with the target values for 2011, are reproduced in Table 1.

Table 1 Strategic Indicators

Mission/component	Activities	Strategy indicators and targets
Mission: Increase the use of evidence	Implementation of the five strategy components	<p>No. of low and middle income countries with on-going impact evaluations (Target 30)</p> <p>No. of cases in which policy, program or project design demonstrably affected by impact evaluation findings (Target 4)</p>
Component 1: To promote the generation of new evidence from impact evaluations that is relevant to policy and program design and implementation	<p>Funding for primary studies</p> <p>Quality assurance and guidelines</p>	<p>Number of completed and on-going studies (Targets: 14 and 73)</p> <p>Proportion of funded studies with developing country researcher and/or implementing agency engagement (Target 65%)</p> <p>Satisfactory rating from grant applicants (Target: 85%)</p> <p>Satisfactory rating in feedback on our guidelines (Target: 80%)</p> <p>Satisfactory rating in feedback on our quality assurance services (Target: 95%)</p>
Component 2: To synthesize and disseminate existing evidence through user-friendly and policy relevant formats and channels	<p>Funding for synthetic reviews</p> <p>Quality assurance and guidelines</p>	<p>Number of completed and on-going reviews (Targets: 12 and 7)</p> <p>Satisfactory rating in feedback on our guidelines (Target: 80%)</p> <p>Satisfactory rating in feedback on our quality assurance services (Target: 95%)</p>
Component 3: Contributing to building a culture of using new and existing evidence in the development and implementation of policies and programs in low and middle income countries	<p>Studies of research influencing policy</p> <p>Implementation of communication strategies</p>	<p>No. of studies published on 3ie website with clear and actionable policy recommendations (Target: 4)</p> <p>The number of institutions that have taken actions to improve their culture of evaluation as a result of our initiatives (Target: 4)</p> <p>The number of institutions and policy-makers reporting having been influenced by 3ie-supported evidence (Target: 2)</p>
Component 4: To develop the capacity of implementing agencies and researchers, especially those in developing countries, to commission and undertake the impact	Collaborative studies and direct support to capacity building	<p>Percentage of OW applications from low and middle income countries (lead PIs and sole PIs) (Targets: 50% and 20%)</p> <p>Percentage of developing country governments which have received 3ie</p>

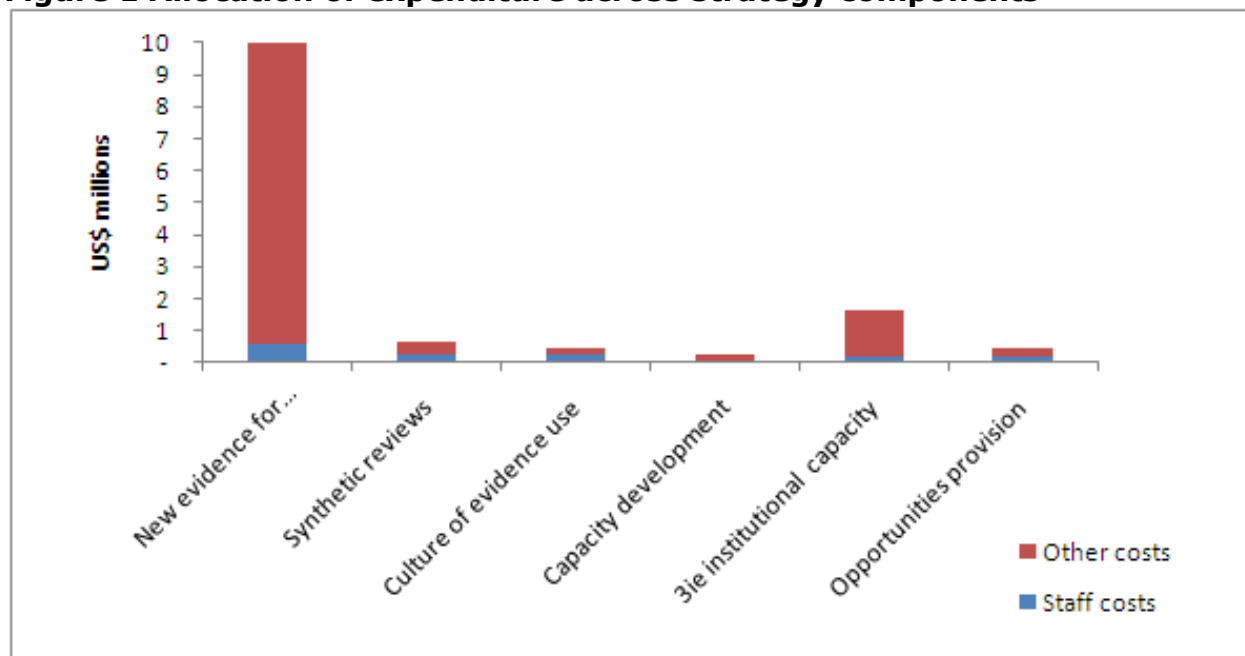
<p>evaluations for which they have requested support and to use the evidence they produce</p>		<p>assistance reporting increased capacity to produce and use impact evaluations (Target: 60%)</p> <p>No. of PPGs and proportion which submit successful applications (Targets: 12 and 60%)</p>
<p>Component 5: To build the capacity of 3ie and its staff to achieve their strategic objectives and improve their performance and to ensure that the systems and capacity required for the governance and management processes required by the Initiative are in place and well functioning</p>	<p>Staff capacity</p> <p>Well functioning Board</p> <p>Approved workplan</p>	<p>No. of staff in place (Target 25)</p> <p>Proportion of staff undertaking staff development activities (Target 100%)*</p> <p>No. of Board meetings (Target 2)</p> <p>Board approved workplan (Target 1)</p>

Note: * for staff in place for at least 9 nine months of 2011

Overview of 2011 budget allocation

3ie's total expenditure during 2011 is estimated at US\$13.9 million. Figure 1 shows the allocation of expenditure across the five components plus an 'opportunities contingency' (which is described below).

Figure 1 Allocation of expenditure across strategy components



Nearly three quarters of this amount (72 percent) is in support of the first component, i.e. promoting new evidence that influences policy. In turn, most of that expenditure (US\$9.39 million) are disbursements of grants for primary studies.

Since 3ie is a young and dynamic organization operating in a very active field, the parameters for our operations are continuously changing. Hence we have allowed a substantial contingency of 15% of management time, and 10% of other staff time, plus 2 percent of the non-staff budget, to respond to new opportunities which emerge in 2011.

The first strategy component also accounts for the largest share of staff time, by both value and time spent, accounting for just over a third of both time and staff costs (34 and 37 percent, respectively).

Just under one fifth (17%) of expenditures are fixed costs, meaning salaries and the fixed institutional costs of maintaining the 3ie offices.¹

¹ The GDN service fee is a function of 3ie grant disbursements. There is a fixed component (minimum payment) of US\$0.6 million, which is the amount allocated to fixed costs.

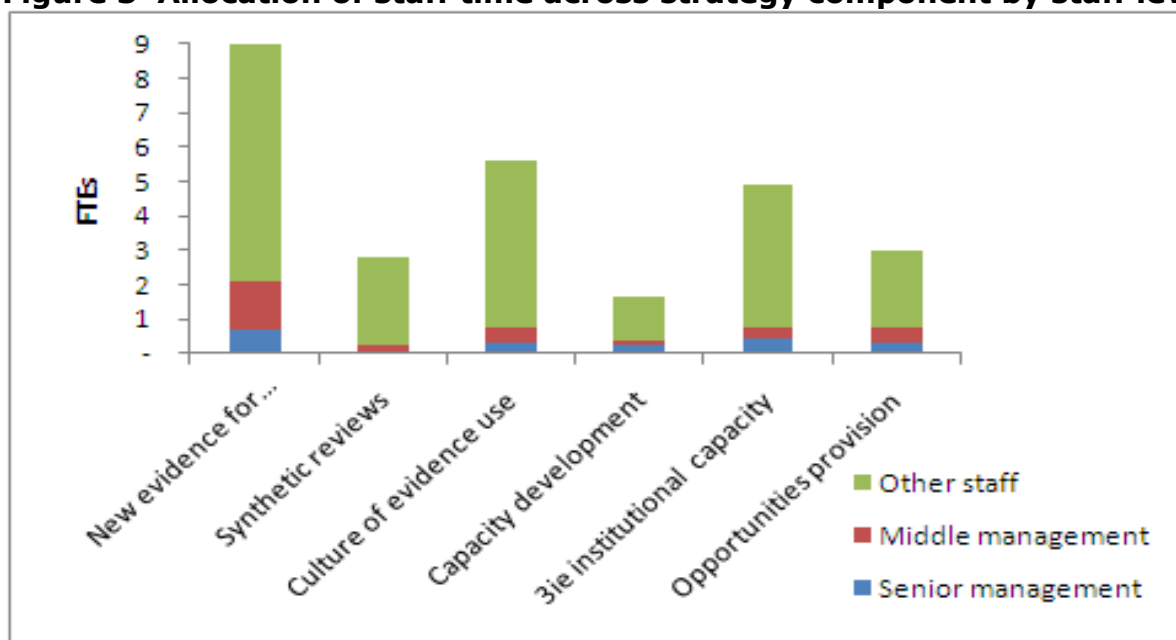
Number and allocation of staff

3ie is currently drastically understaffed for our workload. It is a priority management objective to achieve a situation in which all staff are no longer required to work long hours on a routine basis.

By the end of 2011 3ie will have up to 28 full time staff: up to, 21 in Delhi (including the 3 covered by the GDN service payment), 5 in London and 2 in Washington D.C. These staff will be phased in during the course of the year. The organigram is attached as Annex 1.

3ie management time is concentrated in the first component (1.37 FTE), followed by the fifth of institution management (0.85 FTE); see Figure 2. The least time is spent on the second component, synthetic reviews (just 0.16 FTE). Building a culture of the use of evidence – which includes our work with policy makers and program managers - receives just under 5 FTE in total (4.88), of which 0.59 come from management.

Figure 3 Allocation of staff time across strategy component by staff level



Detailed presentation of workplan activities

The detailed workplan is shown as Table 3. The five components have been broken down into 34 activities.

Since strategic level indicators are already contained in the strategy, the workplan presents activity and output level indicators monitoring what we need do to achieve our strategic goals.

Table 3 Detailed workplan

Strategic objectives, measurable objectives, outputs and performance measures and budget allocation

Strategic Component 1.	Promoting the generation of new evidence from impact evaluations which is relevant to policy and program design and implementation Budget share: 73%			
Key Results (Measurable Objective)	Outputs High level outputs	Performance measure		Budget allocation (US\$)
		Target date	Indicator	
1. Funding of primary studies	1. Thematic windows 1 & 2 *	April 2011 August	Launch of RFP No. of awards made under thematic window	3,426,290
	2. Launch of Open Window 4	November 2011	Launch of RFP	78,855
	3. Launch of Policy Window 2	March 2011 June-July 2011	Launch RFP for stage 1 Prepare RFPS for stage 3	323,935
	4. Management of on-going primary studies (OW1-3 and PW1)	December 2011	10 completed studies during year (0 in 2010)	5,935,359
	5. Overall grant making and managing system	October 2011	Satisfaction rating from applicant survey (from Thematic Windows). Target: ≥50% respondents think 3ie better than other grant making bodies (47% for OW2 and 38% for OW3)	95,948
2. Provide quality assurance services to support IE in other agencies	1. Provision of quality assurance services	December 2011	90 quality assurance requests received and responded to during year (70 received in 2010)	55,708
Total budget for component 1				9,916,095

Notes: * subject to confirmation of funding

Strategic Component 2.	Synthesizing and disseminating existing evidence in user friendly and policy relevant formulations Budget share: 5%			
Key Results (Measurable Objective)	Outputs	Performance measure		Budget allocation
		Target date	Indicator	
1. New SRs produced with 3ie financial or management support.	1. Management of on-going studies (both 3ie funded and DFID/AusAID funded) including quality assurance	January 2011	At least 40 awards made under DFID/AusAID/3ie (SR3) joint call	512,156
	2. Issue RFP for SRs*	September 2011	Launch SR4	6,552
	3. Production of in-house SRs	April 2011 December 2011	Draft of agricultural extension SR Draft of corruption SR	77,383
	4. Assisting in management of Campbell International Development Coordinating Group	December	10 titles registered with group (IDCG set up late 2010)	22,807
Total budget for component 2				618,898

Note: * SR4, timing and no. depends on demand for SRs from other agencies

Strategic Component 3	Building a culture of using new and existing evidence in the development and implementation of policies and programs Budget share: 5%			
Key Results	Outputs	Performance measure		Budget allocation
		Target date	Indicator	
1. 3ie has clear and explicit focus on policy influence .	1. Research and consultation to identify successful influencing strategies	October 2011	Concept note on policy influence delivered to Board	17,758
	2. Produce advocacy and communications (A&C) strategy	April 2011	Draft A&C strategy presented to Board	14,995
	3. Monitoring policy influence	On-going	Monitoring conducted for 50% of grantees	531,595
2. Greater awareness of need for impact evaluation (measures: demand for quality assurance services, no. of countries with in-going IEs)	1. Demand generation activities	December 2011	16 demand generation activities undertaken with policy makers (16 in 2010)	33,035
	2. Participation in workshops and conferences (not organized by 3ie): targeting those offering policy maker engagement	December 2011	6 presentations made by 3ie staff and 3ie-supported study teams	96,165
	3. Create and participate in communities of interest and practice	December 2011	2 active groups	9,923
	4. Web-based activities to promote IE	December 2011	400 daily unique web visits (300 in 2010)	48,525
3. Awareness of, and use of, evidence from 3ie-supported studies	1. Dissemination of findings of specific impact studies	December 2011	8 completed studies with clear and actionable policy messages	116,428
	2. Production of policy briefs	December 2011	8 completed policy briefs	12,961
Total budget for component 3				881,385

Strategic Component 4	Support to implementing agencies, especially those in developing countries, to produce quality impact evaluations Budget share: 2%			
Key Results	Outputs High level outputs	Performance measure		Budget allocation
		Target date	Indicator	
1. Develop capacity to undertake studies in developing countries (measure: no. of completed studies in 2011 by teams with developing country researchers)*	1.Support to implementing agencies, especially those in developing countries, to produce quality impact evaluations	December 2011	Direct support given to 4 developing country teams (PPGs and through quality assurance)	6,050
	2. Organization of IE events in developing countries	December 2011	2 events organized or co-organized	121,390
	3. Capacity development through collaborative research	December 2011	10 awards made with substantive involvement of developing country researchers (7 in 2010)	3,638
	4. Products in support of quality IE (e.g. guidelines and conceptual pieces)	December 2011	4 guidelines/ conceptual pieces published on 3ie website (1 in 2010)	84,114
Total budget for component 4				215,192

Note: * developing country researchers are developing country nationals resident in a developing country

MANAGEMENT OBJECTIVES (Component 5)

Strategic Objective 5	Developing 3ie's institutional capacity and performance, governance and management systems Budget share: 12%			
Key Results	Outputs	Performance measure		Budget allocation
		Target date	Indicators	
1. Governance and institutional arrangements	1. Servicing Board	April and by October 2011	2 Board meetings, which are serviced with timely, succinct, informative, accurate papers as required by the Commissioners Board minutes are recorded with clear resolutions confirming time frame and budget implications and approved by the Commissioners	1,085,402
	2. Institutional arrangements	By October 2011	Institutional transition plan adopted by Board	225,934
2. Strategy, policy, workplan	1. Review strategy and policies 2. Prepare 2012 workplan	By October 2011	2012 workplan approved	12,200

3. Reporting and financial management	1.Expenditure of 3ie effectively managed	April 2011	2010 Audit	57,629
	2. 3ie Financial Administration procedures developed, implemented and managed	Each quarter	Quarterly financial report	
	3. Internal Control measures developed, implemented and managed	June 2011	Financial procedures manual produced	
	4. Functioning management information system and donor reporting	On-going	Approval and checking process for all expenditures	
		On-going	Quarterly report to all donors and annual report as required	
4. Risk Management	1. Strategy in place for effective risk management	By October 2011	Risk management strategy approved by Board	104,138 133,953
	2. Ensure well functioning administration		Implement workplan in accordance with strategy	
	3. Funding raising and proposal preparation		Support and expand membership	
5. Human Resource Management	1.3ie organizational structure approved and implemented	December 2011	No. of staff in place	36,156
	2.3ie Staff Development plans implemented		Staff development activities	81,358
	3.3ie Performance Management and Development System implemented			
	4. Employee Relations managed effectively			

6. Evaluation of 3ie	1. Evaluation baseline undertaken	December 2011	Baseline report presented to Board	102,556
7. General administration	Miscellaneous administrative tasks	N/a	N/a	75,000
Total budget for component 5				1,816,837

Opportunities fund (contingency): US\$ 403,452 (3% of total budget)

Total budget for 2011: US\$ 13,851,861

Timing of grant programs

During 2011 3ie will:

- Launch two thematic windows (social protection and sustained access to improved rural sanitation), subject to funding being obtained
- Launch the second round of the Policy Window, though the awards will be made in 2012
- Launch OW4, though the awards will be made in 2012.
- Launch SR4, depending on the demand for reviews from DFID and other agencies

The timing of the windows is given in Table 2. The 'OW holiday' for most of the year will allow staff to focus on PW2, developing our web-based Grant Management System (GMS), and improving the policy orientation of the OW grants. The thematic windows are smaller in scale than the OWs, but will draw on 3ie's well-established practices in managing these windows for grant management.

Table 2 Timing of grant windows

Window	Sub-activity	Timing
TW 1&2	Launch RFP	March
	Review panel	July
	Awards made	August
PW2	Launch 1 st stage RFP	March
	Review panel	June
	Prepare basic documentation	July-September
	Launch 2 nd stage RFP	September
	Award PWPGs	November
	Review panel	February 2012
OW4	Awards made	April 2012
	Launch RFP	September
	Review panel	February 2012
SR4	Awards made	April 2012
	Launch RFP	Dates to be determined
	Review panel	
	Awards made	

Financial projections of income against expenditure, 2011-12

Expected income 2011 is US\$21 million (Table 3), which is well ahead of expected expenditure (US\$13.9 million).

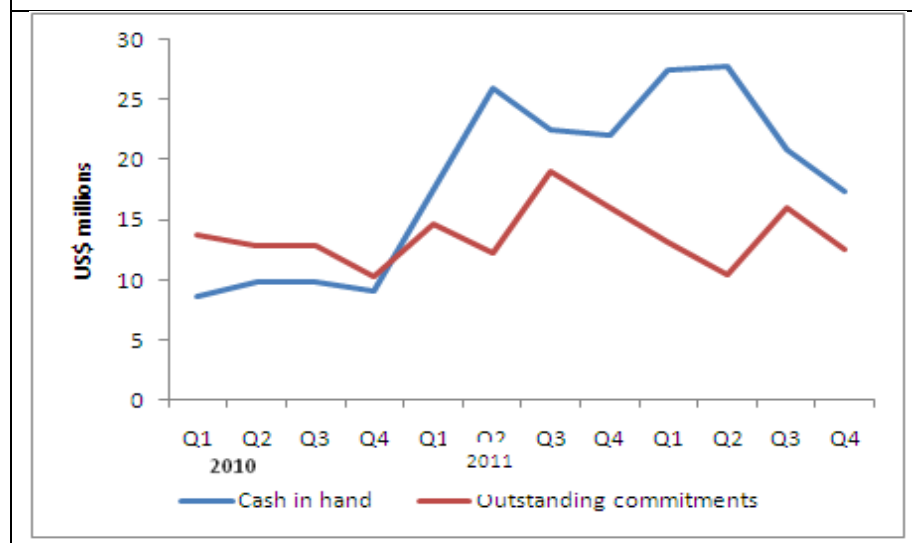
Table 3 Expected income, 2011 (US\$)

	Current agreements	New agreements (thematic windows)	Total
DFID	10,200,000	1,920,000	12,120,000
Gates	5,000,000	2,800,000	7,800,000
CIDA	550,000	-	550,000
SIDA	150,000	-	150,000
USAID	200,000	-	200,000
MCC	100,000	-	100,000
Others*	100,000	-	100,000
Total	16,300,000	4,720,000	21,020,000

* Including fee income (estimate)

More importantly, whilst 2011 began with the value of outstanding commitments slightly above our cash in hand, that situation was soon reversed with the receipt of US\$2 million from the Hewlett Foundation. Further resources from DFID are

Figure 3 'Cash in hand' and the value of outstanding commitments, 2010-2012



expected in the first quarter, and thereafter available resources stay well above outstanding commitments throughout 2011 (and into 2012 once the expected OW4 and PW2 commitments are made); see Figure 3.

These projections show the need for 3ie to have an active reserve management strategy in place.

Annex 1 3ie organigram

