

3ie GRANTEE REPORTING REQUIREMENTS

Terminology and overview

Comments for response (c4r): a statement of issues raised by internal and external reviewers regarding the design and implementation of the evaluation. A satisfactory written response to a c4r is a condition for signing the grant agreement and releasing the first tranche. C4rs may also be issued during implementation at the discretion of 3ie.

Budget comments for response (budget c4r): a statement of issues raised by 3ie and the Global Development Network (GDN) on the proposed budget. The statement includes all questions from the line item review and may also raise concerns about total price reasonableness. A satisfactory revised budget is a condition for signing the grant agreement and releasing the first tranche. A budget c4r may be issued if budget amendments are requested.

Total price reasonableness: an assessment of whether the total requested budget for the project is an appropriate price for the scale of the work to be undertaken (e.g. the number of surveys, the amount of analysis, etc.) in the country or region where the evaluation will take place.

Best value: an assessment of whether the evaluation (taking into account quality, relevance, and impact) for the total requested budget is a good value compared to other possible evaluations.

Line-item budget review: an assessment of the line items of the proposed budget. The line-item review includes a review for compliance with 3ie's direct and indirect cost policies as well as an assessment of individual prices against standard market rates. The latter assessment was formerly called "value for money".

Policy Influence Plan (PIP): a detailed plan for engaging in two-way communication and, where appropriate, collaboration with key stakeholders throughout the evaluation in order to ensure maximum policy impact. The PIP must be written as a separate document according to the 3ie template (available on the 3ie website on the website for the applicable window) and submitted before grant signing and the disbursement of the first tranche payment.

Deliverables schedule: an element of the grant agreement that sets out the reporting and technical deliverables requirements of the grant along with the schedule for those deliverables and the tranche payment shares. The template for

the deliverables schedule is part of the application and is also provided below. Once the grant agreement is signed, the deliverables schedule can only be changed with the prior agreement of 3ie through a letter of variation.

Tranche payments: shares of the total grant amount paid against deliverables.

Progress report: the standard administrative reporting document that is required for each tranche payment, which must be delivered at intervals of 12 months or less.

Reporting period: the period since the last report, or since the start of the project in the case of the first progress report.

Supporting letter: a letter signed by a key policy stakeholder that: indicates ongoing knowledge of evaluation activities; describes collaboration and dialogue that occurred during the reporting period; and states continued support of the evaluation. The key stakeholder must be one that is identified in the approved PIP. Note that for the final tranche payment, the grantee must submit a letter from each of the key stakeholders, and those letters should specifically state how the stakeholder has used or plans to use the findings and recommendations from the study.

Final report: a comprehensive paper describing all elements of the evaluation. A detailed description of the final report is provided below.

Deliverables schedule template

Date reports and deliverables due¹	Tranche payment share of the grant²	Reports and deliverables to be submitted to, and approved by, GDN-3ie prior to disbursements by GDN
<i>Prior to grant signing</i>	<i>20-45%³</i>	<ul style="list-style-type: none"> <i>(i) Original signed grant agreement and grant administration agreement;</i> <i>(ii) Satisfactory written responses to comments for response document</i> <i>(iii) Satisfactory written responses to budget comments for response document</i> <i>(iv) Policy Influence Plan (in 3ie template)</i>

¹The actual number of tranches will depend on the evaluation design.

²Typically payable within 6-8 weeks after submission of corresponding deliverables.

³ Initial tranche payment will be based on surveying requirements.

<i>Grant effective date plus X months</i>	10-35%	<ul style="list-style-type: none"> <i>(i) Progress report (in 3ie format), including fund utilization statements⁴</i> <i>(ii) Supporting letter from at least one key stakeholder</i> <i>(iii) Technical deliverables (as negotiated and to be specified in the grant agreement)</i>
<i>Grant effective date plus X months</i>	10-30%	<ul style="list-style-type: none"> <i>(i) Progress report (in 3ie format), including fund utilization statements³</i> <i>(ii) Supporting letter from at least one key stakeholder;</i> <i>(iii) Technical deliverables (as negotiated and to be specified in the grant agreement)</i>
<i>Grant effective date plus X months</i>	10-30%	<ul style="list-style-type: none"> <i>(i) Progress report (in 3ie format), including fund utilization statements³</i> <i>(ii) Supporting letter from at least one key stakeholder;</i> <i>(iii) Technical deliverables (as negotiated and to be specified in the grant agreement)</i>
<i>Grant effective date plus X months</i>	10-30%	<ul style="list-style-type: none"> <i>(i) Progress report (in 3ie format), including fund utilization statements³</i> <i>(ii) Supporting letter from at least one key stakeholder;</i> <i>(iii) Technical deliverables (as negotiated and to be specified in the grant agreement)</i>
<i>Grant effective date plus X months</i>	10%	<ul style="list-style-type: none"> <i>(i) Progress report (in 3ie format), including fund utilization statements³</i> <i>(ii) Draft final report (in 3ie format)</i> <i>(iii) Supporting letter from at least one key stakeholder</i>
<i>Grant effective date plus X months</i>	10%	<ul style="list-style-type: none"> <i>(i) Final progress report, including fund utilization statements³</i> <i>(ii) Revised final report (in 3ie format)</i> <i>(iii) One letter each from all of the key stakeholders named in the PSEP stating how they have used or plan to use the findings and recommendations of the evaluation</i> <i>(iv) Proof of public availability of data and coding</i> <i>(v) Draft papers to be submitted to peer-reviewed journals, if available</i> <i>(vi) Technical briefing of approximately 500 words about the Project findings and policy implications, for publication in the Journal of Development Effectiveness</i> <i>(vii) Audited financial report (for grants over US\$500,000)⁵</i>

⁴“Fund utilization statements” means unaudited fund utilization statements for the preceding disbursement, and shall be signed and submitted by the chief financial officer (or equivalent) of the Recipient.

Progress report

The title page of the progress report should list: the study code, the study title, the name of the principal investigator(s), the name of the person who prepared the report, the date of the report, and the reporting period covered. The reporting period may end up to one month before the deadline in the deliverables schedule. The same reporting period should apply to the activities, PIP, and financial reports. The body of the progress report should conform to the following format:

- I. Activities report
 - a. Activities during the reporting period
 - b. Progress against project objectives and/or work plan
 - c. Problems encountered and solutions implemented or planned
 - d. Planned activities for the next reporting period
 - e. Anticipated problems or risks and proposed solutions
- II. PIP report (see template on 3ie website on the page for the applicable grant window)
 - a. Activities and interactions related to policy impact during the reporting period
 - b. Intermediate outcome indicators
 - c. Impact measurement tools and indicators
 - d. Case studies/stories/testimonials
 - e. Feedback and quotes from stakeholders
 - f. Challenges in policy stakeholder engagement
 - g. Changes to planned interactions for the next reporting period
- III. Financial report (see template on 3ie website on the page for the applicable grant window)
 - a. Reconciliation of actual expenditures against budgeted expenditures
 - b. Planned expenditures for next reporting period
 - c. Cost notes, including explanations for more than +/- 10% deviations from grant agreement budget
- IV. Grantee feedback (this section is only required for the final progress report)
 - a. Comments on quality assurance services provided by 3ie staff

⁵In the case of total grant amounts over US\$500,000, the grant-holding organization is required to submit an audit report prior to the final disbursement of the grant. 3ie will pay up to US\$5000 for this audit to be invoiced separately from the project budget.

- b. Comments on quality assurance services provided by the External Project Advisor
- c. Recommendations for improvement

Any departures from the activities or evaluation design laid out in the application should be explicitly noted and explained.

Any major departures from the evaluation design or activities proposed in the original application, such as a change in the nature of the intervention, change in study location, change in any of the principal investigators, or adding or dropping planned data collection must be requested in a separate document and a letter of variation must be issued by 3ie before changes take effect. 3ie has approved the grant on the basis of the submitted application. There is no guarantee that the grant will be continued should there be any major departures from the initial study design.

Final report

The final report is a comprehensive report on the evaluation which will be published on the 3ie website. The main report should be succinct (around 25 pages) with a strong narrative constructed around the causal chain (underlying program theory). The early sections of the main report should cover the intervention, its context, and the program theory. The next sections should describe process aspects of implementation, documenting outputs and outcomes that can be attributed to the project. The analysis should present and explain both average treatment effects and heterogeneity in those impacts. The report should end with clear and actionable recommendations based on the evidence presented in the report. The report should include information on the following aspects, much of which should be contained in Annexes. This is a checklist of information to be included, not a proposed table of contents.

- (i) Intervention, evaluation questions, and policy relevance
- (ii) Literature review
- (iii) Theory of change
- (iv) Evaluation design
- (v) Sampling design and power calculations
- (vi) Data collection

- (vii) Baseline findings/Descriptive statistics
- (viii) Endline findings/Empirical results
- (ix) Mixed-method analysis (quantitative and qualitative)
- (x) Policy implications and recommendations