



International Initiative for Impact Evaluation (3ie)
Web <http://www.3ieimpact.org>

3ie GRANTEE REPORTING REQUIREMENTS

Terminology and overview

Technical Pre-requisites: the conditions document is a statement of issues raised by internal and external reviewers regarding the design and proposed methods of the systematic review. A satisfactory written response to these issues is always a condition for first tranche release. Conditions documents may be issued during implementation at the discretion of 3ie.

Value for money: an assessment of the line items of the proposed budget.

Policy Influence Plan (PIP): a detailed plan for engaging in two-way communication with key users when conducting the systematic review in order to ensure maximum policy impact. The PIP must be written and submitted before the first tranche payment as a separate document according to the template provided below.

Deliverables and disbursements schedule: The deliverables and disbursements schedule is an element of the grant agreement and sets out the reporting and technical deliverables requirements of the grant along with the tranche payment shares and schedule. The template for the deliverables and disbursements schedule is provided below. Once the grant agreement is signed, the deliverables and disbursements schedule can only be changed with the prior agreement of 3ie through a letter of variation.

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

Progress report: the progress report is the standard administrative reporting document that is required for each tranche payment, or in the absence of submission of deliverables at intervals of not more than six months (outline provided below). That is, the grantee must submit a progress report independent of technical deliverables in cases where a) the scheduled time between tranche payments is greater than six months and b) the technical deliverables for a tranche payment are delayed such that six months have passed since the last progress report was submitted.

Reporting period: the reporting period is the period since the last report, or since the start of the project for the first progress report. *Final report*: the final report is a comprehensive paper describing all elements of the systematic review. A detailed template for the final report will be provided in due course.

Policy Influence Plan

The plan establishes an advisory group, which includes two or more policy makers in the sector and a methodologist. At least two implementing agencies or user organizations (i.e funding or implementing agencies) should be represented on the group. The plan should clearly identify the role of the group and the process in which it will be engaged to help in making the review more policy relevant and potentially increase the uptake of your findings.

The policy influence plan must be submitted for first tranche payment. Please see template provided in Annex 1.

Deliverables and disbursements schedule template

Date reports and deliverables due¹	Tranche payment share of the grant	Reports and deliverables to be submitted to, and approved by, GDN-3ie prior to disbursements by GDN
<i>dd/mm/year</i>	<i>40%</i>	<ul style="list-style-type: none"> <i>(i) Progress report (in 3ie format)</i> <i>(ii) Submission of written response to conditions document</i> <i>(iii) Satisfactory written responses to VFM report</i> <i>(iv) Policy Influence Plan (in 3ie template)</i> <i>(v) Submission of a title registration form to the Campbell Collaboration</i> <i>(vi) Submission of draft protocol to 3ie</i> <i>(vii) Submission of draft protocol to the Campbell Collaboration (in C2 format)</i> <i>(viii) Submission of final version of the protocol to 3ie</i>
<i>dd/mm/year</i>	<i>60%</i>	<ul style="list-style-type: none"> <i>(i) Progress report (in 3ie format)</i> <i>(ii) Submission of draft review to 3ie</i> <i>(ix) Submission of draft review to the Campbell Collaboration (in C2 format)</i> <i>(x) Submission of final version of the systematic review report to 3ie (in 3ie format)</i> <i>(xi) Policy brief based on the systematic review report (in 3ie format)</i> <i>(iii) Summary of the systematic review (in 3ie template)</i>

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 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. Communications activities not covered in chapter 2
 - e. Planned activities for the next reporting period
 - f. Anticipated problems or risks and proposed solutions
- II. PIP report (see template in Annex 2)
 - a. Consultations with the advisory group and additional policy influencers in the sector
 - b. Feedback received from the advisory group
- III. Financial report (see template in Annex 3)
 - 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
 - b. Comments on quality assurance services provided by the External Project Advisor
 - c. Recommendations for improvement

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

Any major departures from what was proposed in the original application, such as a change in the scope of the review, change in any of the principal investigators, or adding or dropping planned data collection must be requested in a separate document and must be approved 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 a major departure from the initial study design.

Final systematic review report

The grantee will be required to provide two versions of the final systematic review report, following Campbell Collaboration and 3ie report templates. These will be published on the respective organizations' websites, as well as in hard copy. The main difference between the two reports will be that the 3ie report will require that the systematic review is communicated using a strong narrative constructed around the causal chain (underlying program theory), and tease out some clear and actionable policy implications. If the systematic review includes any aspects not accepted for registration with the Campbell Collaboration, such as the inclusion and synthesis of qualitative studies, then this aspect of the review should also be reported in full in the 3ie report. The templates for these reports will be provided to grantees shortly.



Annex 1

REVIEW CODE/NAME:

POLICY INFLUENCE PLAN

The plan outlines the context for, and approach to, policy influence to be adopted for the study. The plan also identifies at least four people including two policymakers with the potential to influence policy in the area addressed by your review. This group will be essential to make your review more policy relevant and potentially increase the uptake of your findings.

The policy influence plan must be submitted for first tranche payment.

CONTEXT

What is the political/social/cultural/economic environment that could affect the opportunities for the findings to influence policy? How policy relevant is the question of your study? What are the existing knowledge gaps in the area?

GUIDELINES

What is the current use of evidence in the sector of your study, and relevant major implementing agencies, in particular. This section should consider political economy and other social or cultural factors which may affect the chance to influence policy. It could also include a knowledge gap map.

Possible resources include:

OECD Political Economy Analysis, www.oecd.org/dac/governance/politicaconomy/;
Governance and Social Development Resource Centre, <http://www.gsdrc.org/go/topic-guides/political-economy-analysis>; ODI, <http://www.odi.org.uk/programmes/politics-governance/work-political-economy-analysis.asp>

STAKEHOLDER AND POLICY-MAKER ANALYSIS

Which individuals or groups must you reach to influence policy? Which are the most influential?

GUIDELINES

There are many tools available to help choose who the best audiences might be. The most obvious audiences might not be the most strategic. Try to highlight around six key primary audiences where attention can be focused.

Think about who may influence policy, considering professional associations and trade unions, other CSOs, opposition parties, religious groups and the media, in addition to 'official' policy makers in the areas of interest.

Avoid broad categories such as the "general public" or "Policy-makers" and try to highlight around six key primary audiences where more attention can be focused, even if you have a longer list. Whenever possible identify individuals or key influencers.

Possible resources/tools include

Stakeholder analysis (World Bank,

<http://www1.worldbank.org/publicsector/anticorrupt/PoliticalEconomy/PDFVersion.pdf>)

Social network analysis (ODI-FAO,

http://www.foodsec.org/DL/course/shortcourseFK/en/pdf/trainerresources/PG_SNA.pdf)

Alignment Interest Influence Matrix (ODI, [www.odi.org.uk/.../428-presentation-4-](http://www.odi.org.uk/.../428-presentation-4-method-alignment-interest-influence-matrix.ppt)

[method-alignment-interest-influence-matrix.ppt](http://www.odi.org.uk/.../428-presentation-4-method-alignment-interest-influence-matrix.ppt)).

ADVISORY GROUP ENGAGEMENT PLAN

Please provide a detailed plan for forming and engaging an advisory group throughout the review process. Members should include at least two policymakers, but also other representatives such as practitioners (of relevant interventions), content experts, consumer groups and so on. At least two implementing agencies or user organizations (i.e funding or implementing agencies) should be represented on the group. The plan should clearly identify how you will go about establishing the advisory group, the role of the group at scoping, protocol, preliminary findings and dissemination stages, confirmed membership, and the processes established for it to function effectively.

GUIDELINES: Such advisory group typically consists of a mix of policy makers, user groups and methodologists who provide advice to the team on various aspects of the review. The Cochrane Handbook has a section on advisory groups (Chapter 2, Section 2.3.4.3), and please also see guidance from the Cochrane Public Health Group here: http://ph.cochrane.org/sites/ph.cochrane.org/files/uploads/advisory%20group%20guidance_final.doc.

In addition, each member may also be required to provide feedback and inputs on the policy brief of the review and be commissioned to write a view point on the policy implications of the review

Role and required tasks of the advisory group members::

Each tasks should include an estimated time for the workload involved. Each member may also be consulted by 3ie to provide feedback and inputs on the policy brief of the review and be commissioned to write a view point on the policy implications of the review .

Advisory group membership (list individuals not organizations):

Member 1

Name:

Position:

Contacts: (email/tel. number)

Why is his/her participation important? What role do they play in the policy making process? How much influence/leverage are they expected to have? What is their perceived interest in the review process? Are they part of a particular network (e.g. policy network, policy committees/advisory boards, research community, etc.)?

Have he/she committed and agreed to participate in the group?

Member 2

Name:

Position:

Contacts: (email/tel. number)

Why is his/her participation important? What role do they play in the policy making process? How much influence/leverage are they expected to have? What is their perceived interest in the review process? Are they part of a particular network (e.g. policy network, policy committees/advisory boards, research community, etc.)?

Have he/she committed and agreed to participate in the group?

Member 3

Name:

Position:

Contacts: (email/tel. number)

Why is his/her participation important? What role do they play in the policy making process? How much influence/leverage are they expected to have? What is their perceived interest in the review process? Are they part of a particular network (e.g. policy network, policy committees/advisory boards, research community, etc.)?

Have he/she committed and agreed to participate in the group?

Member 4

Name:

Position:

Contacts: (email/tel. number)

Why is his/her participation important? What role do they play in the policy making process? How much influence/leverage are they expected to have? What is their perceived interest in the review process? Are they part of a particular network (e.g. policy network, policy committees/advisory boards, research community, etc.)?

Have he/she committed and agreed to participate in the group?

Timeline of planned advisory group meetings and/or consultations (including with other experts):

This should include estimated date or agreed frequency, expected outcome/deliverable, and name the person responsible to organize the meeting/consultation



Annex 2

POLICY INFLUENCE REPORT

Meetings of the advisory groups and consultation with other influential experts in the sector held. This section should list the meetings held, numbers of people attending, and include a brief overview of key follow-up actions resulting from each meetings:

Feedback and quotes from advisory group members and experts:

Proposed policy fora and platforms where the review findings will be presented/disseminated/posted. These could include conferences, consultations, high-level policy meetings, media campaigns, online discussions or forum..etc



Annex 3
Financial Report

Name of Organization:

Duration of Project:

Study Code:

Reporting Period:

Financial Report					
Description	Total Budget	Actual Exp. for the reporting period (US\$)	Actual Expense of previous reporting period(s) (US\$)	Projections (US\$)	Balance (US\$)
Personnel					
Name of the staff & Designation to be mentioned					-
					-
					-
					-
					-
					-
Sub Total Personnel	-	-	-	-	-

Travel					
Local Travel					-
International Travel					-
Sub Total Travel	-	-	-	-	-
Other direct costs					
<i>Description</i>					
					-
					-
					-
Sub Total Other Direct Cost	-	-	-	-	-
Indirect costs summary					
<i>Description</i>					
					-
					-
Sub Total Indirect Cost	-	-	-	-	-
Grand Total	-	-	-	-	-

Cash Received Till Date	
Actual Expenses Till Date	-
Cash in Hand	-

Cost notes (including explanations for more than +/- 10% deviations from grant agreement budget):