**Evaluation Proposal form**

**THIS IS A SAMPLE TEMPLATE FOR YOUR REFERENCE ONLY. DO NOT APPLY USING THIS FORM. APPLY ONLINE THROUGH OUR PORTAL, WHICH WILL BE LIVE ON 23 MARCH.**

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| **BASIC DETAILS** | |  |
| **Number of the grant submission (to be filled by 3ie)** | | |
| Click here to enter text. | | |
| **Title of proposed evaluation study**  (*Please include intervention type, country and possible method in the title*) | | |
| Click here to enter text. | | |
| **Proposed duration of grant in number of months** | | |
| Proposed start date (*MM/YYYY*) | Click here to enter text. | |
| Proposed end date (*MM/YYYY*) | Click here to enter text. | |
| Proposed duration (*months*) | Click here to enter text. | |

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| **ORGANISATIONAL INFORMATION** | |  |
| **Implementing Agency and programme/policy to be evaluated** | | |
| Name of implementing agency(ies) for programme/ policy to be evaluated | Click here to enter text. | |
| Type of organisation | Choose an item. | |
| Name of programme or policy, if available | Click here to enter text. | |
| Web address of implementing agency and/or programme, if available | Click here to enter text. | |

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| **Proposed grant-holding organization** | | | | |
| Legal name | Click here to enter text. | | | |
| Type of organisation | Choose an item. | If other,  please specify: | | Click here to enter text. |
| Division or department | Click here to enter text. | | | |
| Country of registration | Click here to enter text. | | | |
| Website | Click here to enter text. | | | |
| Organisation’s legal status | Choose an item. | If other, please specify: | Click here to enter text. | |
| **Verification** | | | | |
| We verify that the organisation is legally eligible to receive grants from organisations in other countries and from 3ie. | ☐Yes | | | |

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| **Conflict of Interest declaration** | |
| Are you aware of any interests arising from research, financial, or personal reasons that might lead to biases in your work? | ☐Yes |
| If **yes**, please list these below, ***maximum*:** 200 words |
| Click here to enter text. |

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| **Verification** | |
| “We certify that we have reviewed 3ie’s grant agreement documents available on the [3ie website](https://www.3ieimpact.org/funding/call-proposals-swashakt-empowering-women-through-collectives-and-group-based-approaches) and confirm that the grant-holding organisation agrees to the terms of the documents.” | ☐Yes |

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| **APPROVALS** | |  |
| **Approval** | | |
| It is the responsibility of the researchers to provide all necessary approvals before the start of the study, whether obtained by the researchers, the grant-holding agency, and/or the intervention implementing agency. *Awarded grantees must send copies of each of the required approvals below prior to grant signing, to 3ie.* | | |
| Is ethical approval required by the grant-holding organisation to undertake this evaluation? | ☐Yes  ☐No | |
| Is ethical approval required by any other organisation, such as the affiliations of members of the research team, to undertake this evaluation? | ☐Yes  ☐No | |
| If yes, which organisations? | Click here to enter text. | |

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| **PLAIN LANGUAGE SUMMARY** |  |
| If you are awarded a grant from 3ie, the details from this summary will become the basis of the website posting about your study. Please provide this summary here with the following sub-headings:   * Context and relevance   + Importance and relevance of the research topic (in the context of political, economic, social, cultural, ethnic, geographic/topographic/climatic, infrastructural and institutional setting).   + Expected relevance of the research questions for policy makers & implementing agencies.   + Potential implications of the evaluation for policy, programming, and practice in this setting. * Evaluation questions of interest   + Main research questions and associated outcomes and impacts of interest.   + As relevant the sub-groups that will be examined in this evaluation. * Empirical data and methods   + What variety of methods will be used to test assumptions and make causal claims along the causal chain?   + What is the identification strategy (how will the attributable change *caused* by the programme/policy/intervention be estimated)?   + What are the key sources of data for this study?   ***Maximum***: 750 words | |
| Click here to enter text. | |

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| **EVALUATION CONTEXT** |  |
| Please explain the national, regional, or global policy context that this evaluation will inform. Please also describe the policy or implementation topic that the proposed evaluation will address. Please list the priority evaluation question(s) to be addressed by the proposed study. Please list the primary and secondary indicators that you will assess. These questions must be intended to answer not only the question if impacts are seen, but also how and why.  ***Maximum***: 500 words | |
| Click here to enter text. | |

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| **INTERVENTION AND THEORY OF CHANGE** |  |
| **Intervention** |  |
| This should include information on (i) the type of program or intervention (ii) the type of women’s collectives served by the intervention (iii) geographical region of work (iv) the main evaluation questions and (v) evaluation method.  While doing this, please:   1. describe the intervention /programme/policy. Please indicate whether the intervention/programme/policy has already started/been implemented, whether in pilot or at-scale form and a timeline for the roll-out of the intervention. 2. include details about the local context, including the social, cultural, economic, political drivers and legal structures that are relevant to the intervention /programme/policy. 3. describe the implementing agency’s intended beneficiaries, including the process used to select programme beneficiaries. 4. briefly indicate the key outcomes of interest to the implementing agency. 5. Please describe the process the team employed while preparing this proposal that ensured involvement and engagement with the agency implementing the intervention/programme/policy. How is this engagement reflected in the evaluation questions you have proposed?   ***Maximum***: 800 words | |
| Click here to enter text. | |
| **Knowledge gap** |  |
| Please outline the knowledge gap (for the implementing agency/ other key decision-makers/local/global community as relevant) that the proposed evaluation will address.  ***Maximum***: 500 words | |
| Click here to enter text. | |

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| **Theory of change** | |
| Please describe the theory of change underlying the intervention /programme/policy you intend to evaluate. Please attach a schematic diagram as well. The theory of change presents the hypothesised causal pathway linking the inputs and activities of the intervention to its intended outputs and outcomes in the short- and long-term. It also explicitly states the assumptions that inform each link in the pathway. Please be clear about intervention components as well as the assumptions. Please indicate intended and unintended outcomes from the intervention /programme/policy.  You may want to refer to [3ie’s guidance on using theory for evaluations](http://www.3ieimpact.org/sites/default/files/2017-11/Working_Paper_3.pdf) while completing this section.  ***Maximum***: 1000 words | |
| Click here to enter text. | |
| **EVALUATION QUESTIONS AND DESIGN** | |
| **Priority evaluation questions** |  |
| Please list the priority evaluation question(s) to be addressed by the proposed study. Please list the primary and secondary outcomes and impact variables that you will assess.  ***Maximum***: 300 words | |
| Click here to enter text. | |
| **Impact heterogeneity and unintended consequences** |  |
| Please briefly present the intended and unintended outputs/outcomes/impacts of the intervention /programme/policy. Specifically, please list sub-groups for whom you hypothesize there may be diverse effects of the intervention and of these, those that will be measured/addressed by this evaluation. Of particular interest are socially and structurally marginalised and vulnerable sub-populations as well as sub-groups of priority of the programme/policy/intervention agency.  ***Maximum***: 200 words | |
| Click here to enter text. | |

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| **Use of mixed methods** |  |
| For 3ie, it is important that researchers employ a mix of data sources and a variety of methodological approaches to assess factual and counterfactuals, and intended and unintended consequences, to help answer questions relevant to implementing agencies and decision-makers.   1. Please describe the mix of quantitative and qualitative methods that you will employ to answer the main research questions. How will you attribute causality to the program (for impact evaluation)? [Link to IE guidelines] What methods will you employ to examine processes to answer why and how impacts are observed or not observed? 2. Please describe the range of quantitative and qualitative data collection tools that will be used in the evaluation. If relevant, please describe any secondary data that may also be used. 3. Please include a timeline showing when over the course of the evaluation, these different sources of data/information will be used. 4. Importantly please clarify how a variety of data types and sources will be integrated to interpret results.   ***Maximum***: 800 words | |
| Click here to enter text. | |

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| **Sampling strategy** |  |
| Please describe the sampling strategy that will be used for this evaluation.  ***Maximum***: 600 words | |
| Click here to enter text. | |
| **Sample size calculations** |  |
| Please present the sample sizes that you will use to estimate your main outcomes. In discussing this, please provide the value and a justification for the following parameters that will inform your sample size calculations:   * Expected baseline levels for main output(s)/outcome(s)/impact(s); * Expected effect size or minimum detectable effect; * Levels of alpha and beta (significance and power) assumed; * If relevant, intra-cluster correlation coefficient and justification; * If relevant, expected take-up rates; * If relevant, expected treatment and study attrition. * If relevant, the subgroups that will be examined. Please indicate if the evaluation is powered to examine consequences for these sub-groups.   Please state the assumed values and please provide a justification for them.  ***Maximum***: 500 words | |
| Click here to enter text. | |

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| **Costing** |  |
| If available, please indicate the total budget of the intervention/programme/policy and list the (co-) funders of the intervention.  Please describe your plans for collecting costs and approach (es) for cost related indicators of the intervention/programme/policy that will be examined during the course of the evaluation (including as relevant, approaches for cost-benefit or cost-effectiveness analysis).  ***Maximum***: 500 words | |
| Click here to enter text. | |

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| **Ethical issues** |  |
| Please explain any ethical issues related to the proposed intervention and/or evaluation. How will these be addressed by the study team? (Where relevant, these may relate to ethical risks related to selection, ethical risks due to the identification strategy, direct risks to respondents from the intervention starting or ending, and risks related to data confidentiality.) How would you ensure ethics in this evaluation practice? Will your/has your team received training in ethics for the conduct of evaluation? What other approval would you secure to undertake this evaluation?  ***Maximum***: 500 words | |
| Click here to enter text. | |

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| **Evaluation design: external validity** |  |
| In order to clarify the potential transferability of impact findings, please describe the extent to which the chosen study sample represents the broader context and (subnational, national, international) populations. This description should include:   * A brief description of the study site(s), including relevant political, administrative, institutional, social, cultural, structural or other details of the context that may affect transferability of findings. * The rationale and process for selecting the study site(s) or data sources.   ***Maximum***: 500 words | |
| Click here to enter text. | |

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| **POLICY PROCESS, ALIGNMENT, AND INFLUENCE** | |
| **Influence on policy, programming and practice** |  |
| In your assessment, what existing or previous experience and capacities of the evaluation team make it likely that evaluation findings will be communicated and disseminated for influencing and informing policy, programme design and decision-making more generally?  Please indicate why you think the implementing agency and other stakeholders would continue to be interested in the evaluation and its findings.  ***Maximum***: 800 words    **Note**:  If the research design is accepted, 3ie grantees are asked to develop a stakeholder engagement and evidence uptake plan. An indicative template can be found [here](http://www.3ieimpact.org/sites/default/files/2018-12/3ie_SEEP%20template.pdf). | |
| Click here to enter text. | |

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| **DELIVERABLES AND BUDGET** |  |
| **Work plan and deliverables** | |
| 3ie grant agreements include deliverables schedules that combine regular reporting requirements with technical outputs for the deliverables against which tranches of the grants are paid. For complete details refer to the indicative grant agreement template on the [3ie website](https://www.3ieimpact.org/funding/call-proposals-swashakt-empowering-women-through-collectives-and-group-based-approaches).  Each tranche payment must be supported by (1) one or more implementation-related deliverable, (2) one or more evaluation deliverables and (3) the three-part progress report, which includes the stakeholder engagement and evidence uptake progress report and the funds utilisation report.  Applicants must propose the specific technical deliverables for the desired tranche payments, as well as propose the time periods between tranches for the term of the grant. (In the grant agreement, all due dates will be stated as the number of months from the grant effective date, based on the information provided here). For fewer than seven tranches, just select 0% for the unnecessary rows. Tranche percentages must sum up to 100%. 3ie mandates that the first tranche payment cannot be more than 30% of the total grant. The last two tranches (for the draft final report and the final report) should each be for 10% of the total grant.  Please note that 3ie recommends that 10% of the budget be allocated to policy and programmatic engagement with stakeholders, and for communicating and disseminating findings and integrating these into policies and programmes. Possible activities in this category include staff time; meeting costs to engage with key stakeholders and build stakeholder/implementing agency capacity to use research; travel costs for disseminating information about the study or its findings at any stage; media outreach; publications costs of knowledge products; and costs of any web-based communication related to the study. | |

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| **Summary of resources required for project** | | |  | |
| Please download the Excel© budget template from the ‘Uploads tab’. Complete the budget according to the budget guidelines provided in the document, while paying careful attention to the 3ie direct and indirect cost policies on the [3ie website](https://www.3ieimpact.org/funding/call-proposals-swashakt-empowering-women-through-collectives-and-group-based-approaches).  *In particular, note that 3ie will not fund any part of the intervention itself.*  **Refer to the table below and the accompanying budget template.** Enter the amounts from the Financial Summary worksheet in the table here. | | | | |
| **Fund Heading** | **3ie Contribution** | **Other Contributions** | **Total** | **% Total** |
| **Personnel** | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |
| **Consultancy** | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |
| **Travel** | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |
| **Survey Cost** | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |
| **Office Expenses** | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |
| **Equipment** | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |
| **Sub-grantee direct cost** | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |
| **Grantee indirect cost** | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |
| **Sub-grantee indirect cost** | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |
| **Total** | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |

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| **Other financial support** |
| List and describe the source of and amount of any additional financial support that you have received or expect to receive for the proposed study from other sources.  ***Maximum***: 250 words |
| Click here to enter text. |

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| **PI and STAFF** | | | |  | | | |
| **Contact Information** | | | | | | | |
| Communication regarding this application, and if awarded, the grant, will be sent to the contact person and the authorised contract signatory. Please provide postal addresses for both of these individuals, in addition to the information requested below. To fill in postal addresses, please click on the ’Address’ hyperlink next to the record once that has been added. In addition, the applicant may also designate one additional contact person to be copied on email communication only. | | | | | | | |
| **Name\*** | **Job Title\*** | **Role\*** | **Email Address\*** | | **Postal**  **Address\*** | **Contact phone number\*** | **Skype ID, if available\*** |
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| |  |  | | --- | --- | | **Staff Duties** |  |   Please present the names, roles and responsibilities of each post, including for all principal investigators in the table below. If the individual’s name is not yet known, please indicate the position, such as “research assistant”. All principal investigators named in the application will be named as principal investigators in the grant agreement, and changes will be subject to requests for Letters of Variation.  Curriculum vitae (CV) for each of the named principal investigators, including the lead principal investigator named in the contact information section below, must be uploaded on the Uploads tab. E*ach CV should not exceed three pages* and should highlight this information:   * Research experience and up to five publications directly related to evaluation, ideally with a focus on the geographic and sectorial context in which the prosed research will take place. * Information on success in communicating findings and facilitating policy uptake.   Please note that 3ie requires that there be at least one Indian researcher with considerable and relevant experience in the evaluation team who is involved in a substantial capacity *i.e.* as a PI or a lead PI. Please pay special attention to describing the duties of this researcher(s).  To be acknowledged as an Indian researcher, he/she must be an Indian resident.  *Please add additional rows if necessary.* | | | | | | | | | |
| **Role** | **Job Title** | **Name** | **Email** | **Primary organisational affiliation** | **Number of days person will work on project** | **Duties of the person** | **Contact details, including phone number and/or Skype ID** | **Country of the primary organisation** | **L&MIC researcher?** |
| Choose an item. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | ☐Yes  ☐No |
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| Choose an item. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | ☐Yes  ☐No |

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| **ADDITIONAL DOCUMENTS TO INCLUDE** |
| **CV(s):**  CV(s) of all listed principal investigators |
| **Budget:**  Document with budget narrative; detailed budget in Excel© |
| **Theory of Change:**  Document with diagram showing theory of change |
| **Sample size calculations:**  Excel© sheet |