



Type II study proposal form

Type II grants are for impact evaluations (IE) of existing programmes which have not been tested before at all, or have not been tested in the context in which they will now be implemented, or new programmes with sufficient formative evidence. These could be rapid or full IE grants. Rapid IE grants are expected to be no longer than 12-18 months with a maximum budget of US\$250,000. Full IE grants are expected to be no longer than 18-36 months with a maximum budget of US\$600,000.

I. BASIC DETAILS	
Number of the grant submission (to be filled by 3ie)	
Click here to enter text.	
Title of proposed study <i>(Please include intervention type, country and possible method in the title)</i>	
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.
Type of grant (please tick)	Rapid IE <input type="checkbox"/> Full IE <input type="checkbox"/>
Region(s) and Country(s) in which the intervention takes place	
Choose an item.	Fill in country(ies):
	Click here to enter text.

II. ORGANISATIONAL INFORMATION			
Implementing agency and intervention/programme to be evaluated			
Name of implementing agency(ies) for intervention/programme to be evaluated	Click here to enter text.		
Type of organisation	Choose an item.		
Name of intervention or programme	Click here to enter text.		
Web address of implementing agency and/or intervention, if available	Click here to enter text.		
Proposed grant-holding organisation			
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.	<input type="checkbox"/> Yes		

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?	<input type="checkbox"/> Yes
	If yes , please list these below, maximum : 200 words
	Click here to enter text.

Verification	
“We certify that we have reviewed 3ie’s grant agreement documents available on the 3ie website and confirm that the grant-holding organisation agrees to the terms of the documents.”	<input type="checkbox"/> Yes

SAMPLE

III. APPROVALS	
Approval	
It is the responsibility of the study team 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.	
Is government approval required for the implementing agency to participate in the evaluation and to coordinate with the research team?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, which country(ies)?	Click here to enter text.
Is ethical approval required by the grant-holding organisation to undertake this evaluation?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is ethical approval required by any other organisation, such as the affiliations of members of the research team, to undertake this evaluation?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, which organisations?	Click here to enter text.

IV. 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:

- Overview of the intervention/programme
 - Description of the intervention/programme
 - Importance and relevance of the programme (in the context of political, economic, social, cultural, ethnic, geographic/topographic/climatic, infrastructural and institutional 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?
 - What is the relevant sample size that the study will be using to examine its key questions?

Maximum: 750 words

[Click here to enter text.](#)

V. INNOVATION AND KNOWLEDGE GAP	
Intervention description and justification	
<p>This section should include a detailed description of the intervention. While doing this please:</p> <ol style="list-style-type: none"> a) describe the intervention /programme; b) indicate whether the intervention/programme has already started/been implemented/will be implemented, a timeline for the roll-out of the intervention; c) include details about the local context, including the social, cultural, economic, political drivers and legal structures that are relevant to the intervention /programme; d) describe the implementing agency's intended beneficiaries, including the process used to select programme beneficiaries; e) briefly indicate the key outcomes of interest to the implementing agency; and f) indicate briefly whether any previous process evaluation or formative work has been done for the programme/intervention (please provide source if available) <p>Maximum: 800 words</p>	
<p>Click here to enter text.</p>	
Innovation and knowledge gap	
<p>Please describe why this programme is innovative. Programmes can be innovative if they are existing programmes that have not been tested before at all, or have not been tested in the context in which they will now be implemented or new programmes with sufficient formative evidence.</p> <p>Please also outline the knowledge gap (for the other key decision-makers/local/global community as relevant) that the proposed study will address. Please also describe the evidence that was used to inform the design of the intervention.</p> <p>Maximum: 500 words</p>	
<p>Click here to enter text.</p>	

VI. IMPLEMENTATION FEASIBILITY AND THEORY OF CHANGE	
Intervention implementation	
<p>Please describe the activities that will be undertaken in order to implement the intervention (i.e. how the intervention will be carried out). This section should also describe the coordination necessary with any stakeholders, including the government and ethical approval boards, in order to implement the intervention.</p> <p>Maximum: 800 words</p>	
<p>Click here to enter text.</p>	
Implementation feasibility and theory of the programme	
<p>This section should explain implementation feasibility of the proposed programme/intervention. Please include a justification of why you think it is feasible to implement the proposed programme, keeping in mind the costs associated with the intervention.</p> <p>Please focus on the theory of change and the budget for the intervention to discuss the feasibility of the planned or on-going intervention. Please be clear about intervention components as well as the assumptions. Please indicate intended and unintended outcomes from the intervention /programme [<i>To supplement the explanatory text, you have the option of uploading a diagram at the end of this form.</i>]</p> <p>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. You may want to refer to 3ie’s guidance on using theory for impact evaluations while completing this section: http://www.3ieimpact.org/en/evaluation/working-papers/working-paper-3/</p> <p>Maximum: 800 words</p>	
<p>Click here to enter text.</p>	

VII. EVALUATION QUESTIONS AND DESIGN	
Priority evaluation questions	
<p>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.</p> <p>Maximum: 300 words</p>	
<p>Click here to enter text.</p>	
Impact heterogeneity and unintended consequences	
<p>Please briefly present the intended and unintended outputs, outcomes, and 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 or 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.</p> <p>Maximum: 200 words</p>	
<p>Click here to enter text.</p>	

Evaluation design: internal validity

Please describe the identification strategy that will be used to measure the causal change in outputs, outcomes, and impact that this impact evaluation aims to estimate.

Please discuss how key sources of bias including externalities and spillovers, contamination issues including Hawthorne effects and John Henry effects will be controlled for, mitigated or eliminated.

Maximum: 1000 words

[Click here to enter text.](#)

Please indicate which of the following identification strategies will be used to quantifiably estimate the attributable change in output, outcome and impact that this evaluation aims to measure. Please mark all that are relevant to this evaluation proposal:

- Case control
- Interrupted time series
- Natural experiment
- Process tracing or analytic narratives
- Quasi-experimental (propensity score or other matching)
- Quasi-experimental (instrumental variables)
- Quasi-experimental (regression discontinuity design)
- Quasi-experimental (difference in difference with matching)
- Quasi-experimental (difference in difference without matching)
- Randomized control trial (or randomized assignment)
- Other (please specify: [Click here to enter text.](#))

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.

- a) Please describe the range of quantitative and qualitative data collection tools and techniques that will be used in the impact evaluation. If relevant please describe any secondary data that may also be used.
- b) Please include a timeline showing when over the course of the impact evaluation, these different sources of data or information will be used.
- c) Importantly please clarify how the variety of data types and sources will be integrated to interpret results.

Maximum: 800 words

[Click here to enter text.](#)

SAMPLE

Sampling strategy

Please describe the sampling strategy that will be used for this impact 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), and 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.](#)

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.](#)

Cost analysis

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 impact evaluation (including as relevant, approaches for cost-benefit or cost-effectiveness analysis).

Maximum: 500 words

[Click here to enter text.](#)

Ethical issues

Please explain any ethical issues related to the evaluation. How will these be addressed by the study team? (Where relevant, these ethical issues may relate to selection, identification strategy, and data confidentiality.)

Maximum: 500 words

Click here to enter text.

SAMPLE

VIII. POLICY PROCESS, ALIGNMENT, AND INFLUENCE	
Policy relevance	
<p>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 above?</p> <p>Maximum: 500 words</p>	
Influence on policy, programming and practice	
<p>One demonstration of policy influence is that key decision-makers, including the implementing agency, make use of the evaluation findings.</p> <p>Please also briefly indicate what attributes of the implementing agency (that is implementing the programme/policy/intervention) make it likely that the study findings will inform future programmatic and policy decisions and choices?</p> <p>In your assessment, what existing or previous experience, capacities, and resources in the evaluation team make it likely that evaluation findings will be communicated and disseminated in a way that is likely to influence and inform policy?</p> <p>Maximum: 500 words</p> <p>Note: If the research design is accepted, 3ie grantees are asked to develop a policy engagement and communication plan. An indicative template can be found here.</p>	

IX. 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 3ie's reporting requirements document on the [3ie website](#).

Each tranche payment must be supported by (1) one or more evaluation deliverables and (2) the three-part progress report, which includes the policy influence 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, 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.

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](#).

Upload the budget and the accompanying Budget Narrative document. 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.

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.

SAMPLE

X. PRINCIPAL INVESTIGATOR/S 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*
Click here to enter text.	Click here to enter text.	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.	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.	Choose an item.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.

Staff Duties

Please present the names, roles and responsibilities of each post, including for all key personnel for the implementation and evaluation of the study in the table below. If the individual's name is not yet known, please indicate the position, such as "research assistant". All principal investigators and principal implementers named in the application will be named as PIs 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 and principal implementers, including the lead principal investigator named in the contact information section below, must be uploaded on the Uploads tab. *Each CV should not exceed three pages* and should highlight this information:

- Research experience and up to three publications directly related to impact evaluation, ideally with a focus on the geographic and sectorial context in which the proposed research will take place.
- Information on success in communicating findings and facilitating policy uptake.
- A history of collaboration with L&MIC PIs, researchers, and research or academic organisations should be highlighted.

To be acknowledged as a *L&MIC* country researcher or implementer, all three of the following conditions need to be fulfilled:

- The team member needs to be an L&MIC national.
- The team member needs to be physically located in an L&MIC.
- The team member needs to be affiliated to an organisation that is registered in an L&MIC.

Please note that 3ie requires that there be at least one L&MIC researcher and one L&MIC team member in the evaluation and implementation team respectively who is involved in a substantial capacity. Please pay special attention to describing the duties of this team member.

Please add additional rows if necessary.

Role (also mention whether implementer or evaluator)	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 member?
--	-----------	------	-------	------------------------------------	--	----------------------	---	-------------------------------------	---------------

ADDITIONAL DOCUMENTS TO INCLUDE

CV(s):

CV(s) of all listed team members including the implementing and the research teams?

Past publications

Copies of up to three evaluation reports or publications relevant for this call, with the proposed PIs as named authors

Budget:

Document with budget narrative; detailed budget in Excel®

Theory of Change:

Document showing theory of change (optional)

Sample size calculations:

Excel® sheet

SAMPLE