



## Type I study proposal form

Type I or formative evaluation grants are for new, untried innovative approaches in a small number of communities (1-3 communities). The focus of these grants is on field testing of interventions. These grants are expected to be no longer than 9-12 months with a maximum budget of US\$200,000.

I. BASIC DETAILS	
<b>Number of the grant submission (to be filled by 3ie)</b>	
Click here to enter text.	
<b>Title of proposed study*</b> <i>(Please include intervention type, country and possible method in the title)</i>	
Click here to enter text.	
<b>Proposed duration of grant in number of months</b>	
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.
<b>Region(s) and Country(s) in which the intervention takes place</b>	
Choose an item.	<b>Fill in country(ies):</b>
	Click here to enter text.

II. ORGANISATIONAL INFORMATION			
<b>Implementing Agency and intervention/programme to be evaluated</b>			
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.		
<b>Proposed grant-holding organisation</b>			
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.
<b>Verification*</b>			
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 <b>yes</b> , please list these below, <b>maximum</b> : 200 words
	Click here to enter text.

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

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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 topic (in the context of political, economic, social, cultural, ethnic, geographic/topographic/climatic, infrastructural and institutional setting).
- Evaluation questions of interest
  - Main research questions of the formative evaluation
- Methods and data
  - What are the methods that will be used for the evaluation?
  - What are the key sources of data for this study?

**Maximum:** 750 words

[Click here to enter text.](#)

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<b>V. INNOVATION AND KNOWLEDGE GAP</b>	
<b>Intervention description and justification</b>	
<p>This section should include a detailed description of the intervention. While doing this please:</p> <ul style="list-style-type: none"> <li>a) describe the intervention /programme;</li> <li>b) indicate whether the intervention/programme has already started/been implemented/will be implemented;</li> <li>c) provide a clear timeline for the roll-out of the intervention;</li> <li>d) include details about the local context, including the social, cultural, economic, political drivers and legal structures that are relevant to the intervention /programme;</li> <li>e) describe the implementing agency's intended beneficiaries, including the process used to select programme beneficiaries; and</li> <li>f) briefly indicate the key outcomes of interest to the implementing agency.</li> </ul> <p><b>Maximum:</b> 800 words</p>	
<p><a href="#">Click here to enter text.</a></p>	
<b>Innovation and knowledge gap</b>	
<p>Please describe why this programme is innovative. Innovative programmes may be wholly new ideas that should first be subject to formative evaluation or they may be those that test previously untried or untested approaches in engaging communities to increase immunisation coverage.</p> <p>Please state how the knowledge gap is relevant to other key decision-makers/local/global community. Please also describe the evidence that was used to inform the design of the intervention.</p> <p><b>Maximum:</b> 500 words</p>	
<p><a href="#">Click here to enter text.</a></p>	

<b>VI. IMPLEMENTATION FEASIBILITY AND THEORY OF CHANGE</b>	
<b>Intervention implementation</b>	
<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><b>Maximum:</b> 800 words</p>	
<p>Click here to enter text.</p>	
<b>Implementation feasibility and theory of change of the programme</b>	
<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:  <a href="http://www.3ieimpact.org/en/evaluation/working-papers/working-paper-3/">http://www.3ieimpact.org/en/evaluation/working-papers/working-paper-3/</a></p> <p><b>Maximum:</b> 800 words</p>	
<p>Click here to enter text.</p>	

VII. FORMATIVE EVALUATION	
Priority evaluation questions	
<p>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.</p> <p><b>Maximum:</b> 300 words</p>	
<p>Click here to enter text.</p>	
Monitoring and process evaluation	
<p>Please describe the methods that will be used to answer the following questions:</p> <ol style="list-style-type: none"> <li>a) Does the proposed programme work in the context and with the planned implementation structures and processes?</li> <li>b) Is there sufficient take-up of the intervention at the community level?</li> <li>c) If the evaluation reveals key challenges in the implementation of programme, how will the key challenges be mitigated?</li> <li>d) What are the key mechanisms through which these implementation challenges could be addressed?</li> </ol> <p><b>Maximum:</b> 200 words</p>	
<p>Click here to enter text.</p>	



### Ethical issues

Please explain any ethical issues related to the 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, and risks related to 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><b>Maximum:</b> 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 indicate why you think the implementing agency will remain engaged in this evaluation’.</p> <p><b>Maximum:</b> 300 words</p>	

## IX. DELIVERABLES AND BUDGET

### Work plan and Deliverables

3ie grant agreements include a deliverables schedule that combines 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				
<p>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 <a href="#">3ie website</a>.</p> <p>Upload the budget and the accompanying Budget Narrative document. Enter the amounts from the Financial Summary worksheet in the table here.</p>				
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.
<b>Total</b>	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.](#)

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## 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 formative or 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?
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## 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)

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