



## Development Priorities Window 1 (DPW1)

### FAQ

#### 1. Most Frequently Asked Questions

##### **What do you mean by ‘Development Priorities Window’?**

The Development Priorities Window (DPW1) is aimed at supporting and promoting innovative and [rigorous impact evaluation](#) of policies and programmes in a variety of development sectors where high-quality evidence is scarce. For DPW1, 3ie has identified four sectors: environment, governance, infrastructure and public finance.

##### **What organisations or institutions are eligible to submit proposals in response to this call for expressions of interest (EOI)?**

Organisations or institutions, with relevant evaluation and sector expertise, are eligible to submit proposals, as long as they have established and can prove demand for the evaluation from the implementing agency. The typical applicant is a research institute, think tank, university or consultancy firm. Both non-profit and for-profit organisations can apply. Governmental implementing agencies can also apply for DPW1 grants; they must submit a letter stating how potential conflicts of interest will be avoided.

##### **How can I apply?**

All EOIs and subsequent full proposals should be submitted using 3ie’s online [Grant Management System](#). The person, in charge of submitting the proposal, must register on the site and will be given login details. The system opened on 2 December 2015, when the window was launched and will remain open until 18 January 2016.

##### **Can I work on my application on and off and then upload it when I am ready to submit it?**

The EOI application cannot be completed offline and uploaded. There is, however, a [sample version of EOI](#) application form available for reference on the 3ie website. The applicant can work on the EOI application online and save the changes in draft until the application has been submitted. Even after submission, if the application needs to be amended, there is a provision to ‘unsubmit’ the application. Once the necessary changes have been made, the applicant can resubmit the proposal. This ‘unsubmit’ button will remain active until the end of the submission deadline on 18 January 2016.

#### **New Delhi**

202–203, Rectangle One  
D-4, Saket District Centre  
New Delhi – 110017, India

[3ie@3ieimpact.org](mailto:3ie@3ieimpact.org)  
Tel: +91 11 4989 4444

#### **London**

c/o LIDC, 36 Gordon Square,  
London WC1H 0PD  
United Kingdom

[3ieuk@3ieimpact.org](mailto:3ieuk@3ieimpact.org)  
Tel: +44 207 958 8351/8350

#### **Washington, DC**

1029 Vermont Avenue, NW, Suite 1000  
Washington, DC 20005  
United States of America

[3ieus@3ieimpact.org](mailto:3ieus@3ieimpact.org)  
Tel: +1 202 629 3939

---

**Where can I download the EOI form?**

Once applicants register and log into 3ie's online [Grant Management System](#), they will have access to the online EOI form and can complete it online.

**Can an organisation submit multiple proposals for the same grant window?**

Yes. But the organisation must be willing to demonstrate the ability to undertake all selected impact evaluations concurrently.

**Can one organisation be awarded more than one grant?**

Yes.

**Can a researcher be involved in more than one proposal?**

Yes, as long as s/he has the time available to participate as proposed in all submitted studies that receive awards.

**Can more than one affiliate of an organisation submit proposals?**

Yes.

**What is the maximum or minimum grant limit for a single study under DPW1?**

There are no pre-established funding limits. However, the costs of the evaluation are one of the criteria used to score and rank proposals. The overall window for DPW1 is US\$7.5 million and 3ie expects to make 18 awards.

**What is the average grant size awarded by 3ie?**

The average 3ie grant is approximately US\$400,000.

**Does 3ie fund the interventions being evaluated?**

Unless specified otherwise in a call, 3ie funds can only be used for the costs of the impact evaluation. 3ie expects the costs of the intervention to be borne by the implementing agency, or planned implementing agency, in case of a pilot programme.

**If the applicant organisation is unable to accept the grant agreement terms, regarding arbitration, governing law and enforcement, is there scope for negotiation?**

The terms of the grant agreement are fixed. If your institution cannot accept them, you will need to find another institution to submit the proposal and hold the grant for you. The terms of the 3ie grant agreement may be changed subject to negotiations between the institution and 3ie's law firm. However, 3ie provides no guarantee of a change in the terms to fit an applicant organisation's demands.

**2. Other questions about DPW1****What is the total value of the award under 3ie's DPW1?**

3ie hopes to make 18 awards, up to a total value of US\$7.5 million.

**What are the target or priority countries under this call for EOIs?**

Proposals must be submitted for impact evaluations in any [low- or middle-income country](#), as classified by the World Bank.

### **Who is the primary audience for 3ie's funded studies?**

The primary audience for DPW1 are developing country policymakers and programme managers and other key actors, such as the beneficiaries, identified during the design phase who will find the evaluation findings relevant and useful.

### **Can I access the proposal form for the full proposal during the EOI phase?**

A draft version of the full proposal is available [here](#). But this is only indicative of broad question areas. While the main sections will be retained in the final version, several parts are likely to change. **A final version of the full proposal template will be available by 22 December 2015.** Only if your EOI is selected for the second phase of the proposal process, will you be able to complete the full proposal form, through the online [Grant Management System](#).

If the EOI is selected for the second phase of the proposal process, applicants will receive a notification by 1 March 2016 with a link to the full online proposal form, along with detailed instructions on how to complete it.

### **Can an organisation apply to DPW1, even if they have not applied for grants under earlier 3ie grant windows or were unsuccessful?**

Yes, DPW1 is open to all qualified organisations or institutions, even if they have never applied for a 3ie grant window earlier or were unsuccessful previously.

### **Can funds be budgeted towards implementing agency staff time, if they are part of the evaluation team?**

The [cost policy](#) for DPW1 states that staff of the implementing agency cannot be remunerated under the grant. Implementing agency staff time spent on the evaluation must be covered by their employer.

## **3. EOI and proposal process**

### **Is the proposal process under DPW1 similar to the proposal process under [Open Window 4 \(OW4\)](#) and [Social Protection Thematic Window \(SPTW\)](#)?**

Yes, the proposal process is similar to those under OW4 and SPTW. As in OW4 and SPTW, DPW1 also uses a two-stage proposal process: an EOI phase, followed by a full proposal stage. However, there are some differences.

### **The 3ie [direct cost policy document](#) states, "3ie funds may not be used to remunerate the staff of any implementing agency (including NGOs) whose programme is evaluated under a 3ie grant." Can the staff working in a different and separate department from the programme managers in the implementing agency be remunerated for participating in the evaluation team?**

DPW1 can remunerate external researchers that are hired by an implementing agency. However, the staff of the implementing agency cannot be directly remunerated by a 3ie grant. This policy is consistent with 3ie's policy that no government employee can be remunerated through a 3ie grant. 3ie extends the same policy to NGOs, so that all implementing agencies are treated equally. This policy also promotes independence of evaluations. 3ie expects that the benefits of the evaluation are worth the investment of time of implementing agency staff.

3ie does not prohibit staff of the implementing agency from serving on the evaluation team. However, reviewers do check for possible conflict of interest, while reviewing proposals before

selection and also at the time of review of grant deliverables, during implementation. If implementing agencies are applying for a DPW1 grant, 3ie requires a letter stating how possible conflicts of interest will be avoided.

**Can I submit a full proposal even if my EOI has been rejected?**

No, only successful applicants will be eligible to submit a full proposal.

**What are the deadlines for submissions?**

Applicants are required to submit an **EOI no later than 18 January 2016 (18:00 Indian Standard Time)** through the 3ie [Grant Management System](#). Only teams that have passed the first round of screening will be eligible to submit a **full proposal by 12 May 2016 (18:00 Indian Standard Time)**.

**When will I be notified about the results of my EOI?**

All applicants will be informed **by 1 March 2016**. Successful applicants can begin preparing full proposals, upon receiving notification from 3ie.

**Once I submit a full proposal, when will I be notified about the final awards?**

The deadline for submitting full proposals is **12 May 2016 (18:00 Indian Standard Time)**. Announcement of the final awards will be made **29 July 2016**.

**If my EOI is rejected, can I revise and resubmit it, before the deadline of the full proposal on 12 May 2016?**

No. The call for EOIs closes on 18 January 2016. Applicants, who are not shortlisted, will be notified through the 3ie online system. If your EOI is unsuccessful, you can apply under subsequent 3ie grant windows. 3ie has [policy](#) and [thematic](#) windows, where proposals for impact evaluation are competitively tendered. Such calls are issued through the year. If you wish to be notified of upcoming funding opportunities, please fill this [form](#) for funding alerts.

#### **4. Review process for the EOI and full proposal**

**How is 3ie's review process organised?**

All EOIs go through internal review by 3ie staff. Applications selected during the first phase become eligible to submit full proposals. Full proposals are reviewed by at least one internal reviewer and two independent external reviewers. Subsequently, a selection panel will work with 3ie to select the studies that will be provisionally awarded a grant. Final approval of awards is made by the 3ie Board of Commissioners.

**What are the review criteria for the EOI?**

The review criteria can be found on page 7 of the [call for EOIs document](#).

**Will the review of my EOI affect the results of my full proposal?**

No, the EOI and full proposal review process are separate processes. However, the review of the EOI determines eligibility to submit a full proposal. If the EOI is not selected, applicants cannot submit the full proposal.

## 5. Full Proposal

### **Can the full proposal be submitted at the EOI phase one?**

No, this is a two-stage proposal process. Only applicants that are successful in the EOI phase are invited to submit a full proposal.

### **How do I know if my evaluation design stands a good chance of being selected?**

Applicants should familiarise themselves with [3ie's principles for impact evaluation](#) and 3ie's current [strategy](#). In addition, applicants are encouraged to read the review and scoring criteria, which is available with [call for EOIs](#).

### **How will the full proposal be scored and what are the criteria?**

See page 7 in the [call for EOIs](#) for an overview of the review process and the scoring criteria.

### **I have an impact evaluation in mind, but I am currently looking for a principal investigator to partner with to conduct it. Does 3ie connect organisations with researchers or institutions that have the expertise to conduct rigorous impact evaluations?**

3ie has an [expert roster](#), which currently profiles more than 300 impact evaluation experts. However, 3ie does not endorse any expert listed. Being on the expert list is not an assessment of the expert's qualifications. Using an expert from the list is also not a guarantee that your proposal will be accepted.

### **Is it possible to review sample proposals of awarded studies selected under earlier open windows?**

Some [samples of successful proposals](#) are available on the 3ie website. However, 3ie's review criteria and scoring have since evolved. Applicants need to ensure that DPW1 guidance is used as their primary guide, since it lists out all the requirements for this window.

### **Do I need to submit additional documents as part of the online application form for the full proposal?**

Yes, you must submit CVs and budgets with the full proposal, while submitting your application. If selected for a 3ie grant, you will also be requested to upload letters of support of the implementing agency and an additional letter that states how potential conflict of interest will be avoided, in the case that the implementing agency is the grant-holding organisation.

### **How long should the proposal be?**

The maximum number of words allowed for each section is indicated in the grant proposal form.

### **What is the timeframe of the average 3ie-funded study?**

The length of the research typically varies from 12 months to 4 years.

### **Do we need a 3ie member or associate member as part of the team, since the call for EOIs gives additional weight to applications, with a 3ie member or associate member as part of the team?**

No, having a 3ie member or associate member as part of the team is not a necessary for a successful proposal. If the grant-holding organisation is a 3ie member or a 3ie associate member, or if the programme to be evaluated is being implemented by a 3ie member or associate member, the application will receive a score worth five per cent in each of the two phases.

### **What do you mean by ‘high-quality impact evaluations’?**

Please refer to section 3 of the DPW1 [call for EOIs](#). Also, see [3ie Principles for Impact Evaluation](#).

### **What kind of methodological standards are expected from the evaluation design?**

3ie supports impact evaluations that adhere to design and methodological standards for establishing attribution, i.e. using experimental or quasi-experimental designs to establish cause and effect between programme activities or policies and specified outcomes. In particular, evaluation designs must be capable of addressing these challenges: (a) confounding factors; (b) selection bias; (c) spillover effects; (d) contamination of control groups; and (e) impact heterogeneity by beneficiary type and context. 3ie also encourages the use of formative and/or process research that can inform the evaluation design and the interpretation of results. Researchers must explicitly state the programme or policy theory of change and use mixed methods to collect data and analyse the causal mechanisms between interventions and measured outcomes.

### **Does 3ie promote or prefer specific evaluation methods and approaches?**

3ie promotes the use of the most appropriate methods and implementation approaches to address the evaluation question at hand, with the available resources. Please consult [3ie Principles for Impact Evaluation](#) and [call for EOIs](#) for further information.

## **6. Contracting and administration**

### **Can there be more than one grant-holding institution for one grant?**

No. Only a single organisation can be the grant-holding institution. The grant-holding institution may have sub-agreements and sub-contracts.

### **Our grant funds pass through two separate organisations with overhead costs which, when combined, amount to more than ten per cent. Should we state our real costs or restrict the overhead amount to the ten per cent limit?**

Please refer to the [Direct Cost Policy](#) and [Indirect Cost Guidelines](#) for detailed guidance. The indirect cost guidelines specify the maximum amount of indirect costs that can be claimed by a grantee and a sub-grantee or a sub-contractor.

### **What is the meaning of the term ‘fringe’?**

Fringe is a term used for the benefits paid by employers to eligible employees. For different organisations, it includes different elements—the determination of a fringe rate should be part of an organisation’s accounting statements. Fringe may include leave, public holidays and health insurance. It is typically separate from overhead or indirect costs.

### **If a surveying firm is contracted for data collection and data entry, should this be reflected in the survey tab worksheet or the sub-grantee tab worksheet of the [budget template](#)?**

The prime grantee should list the total cost for the surveying firm in the sub-grantee tab of the budget template. The prime grantee is also required to submit the detailed budget of the sub-grantee (surveying firm), in the 3ie budget template, listing all these costs under the survey tab.

## 7. Other 3ie funding opportunities

### Other than DPW1, are there funding opportunities with 3ie?

Yes. 3ie issues requests for qualifications or proposals through these other funding windows:

- [Policy windows, including country policy windows and policy window advanced](#), which fund impact evaluations of priority interventions and programmes proposed by 3ie members.
- [Thematic windows](#), which fund impact evaluations of priority themes and sectors that have been identified through a stakeholder consultation and scoping process.

[Systematic review grants](#), which examine existing evidence on the impacts of a particular intervention or set of similar interventions, based on agreed questions and using recognised full systematic review methods.

### How will I know when the next grant window request for proposals is open?

You can sign up to receive funding alerts by completing this [form](#).