



Health Care Delivery Initiative RFP Round XI  
 Proposals due: February 15, 2019

## **U.S. Health Care Delivery Initiative (HCDI) Request for Proposals (RFP) Proposal Instructions**

### **Focus of the RFP**

J-PAL North America’s U.S. Health Care Delivery Initiative (HCDI) supports randomized evaluations of strategies that aim to make health care delivery in the United States more efficient, effective, and equitable.

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### **RFP Timeline**

HCDI RFP Round XI (Winter 2018) Opens	November 9, 2018
HCDI RFP Round XI (Winter 2018) Closes	February 15, 2019
Award Letters Released	Week of April 15, 2019



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## Proposal Types

### Full Research Projects

Full research projects are typically awarded between \$150,000 and \$250,000, with a maximum award size of \$400,000. These projects should meet the following criteria:

- Researchers propose a clear and well-developed research question including detailed randomization design and sample size estimates.
- Researchers must include power calculations based on a minimum detectable effect (MDE) size with a clear explanation of why the minimum detectable effect size is realistic and decision-relevant. Please include enough detail for reviewers to understand how you arrived at the MDE and cite the relevant literature.
- Proposals should also indicate the outcomes of interest.
- A strong proposal will demonstrate academic rigor, policy relevance, and alignment with J-PAL's mission to reduce poverty by ensuring that policy is informed by scientific evidence.
- Proposals must include proof of commitment from partner organizations (in the form of letters of support).
- Note: Proposals can be submitted for funding an ongoing study that has already begun without J-PAL NA funding.

### Pilot Studies

Pilot studies may be awarded up to \$50,000. Pilots should meet the following criteria:

- Researchers seek to answer a particular research question; however, the design and implementation require further testing and piloting.
- Pilot studies should help researchers develop projects that are not yet ready for launch.
- Random assignment does not necessarily need to occur during a pilot study, but applications should explain how the pilot *will lead to a randomized evaluation in the future*.
- Pilot proposals are not expected to have full power calculations. However, applicants should provide a clear discussion of what minimum detectable effect size (MDE) they consider to be relevant for the study including a rough estimate of the necessary sample size for a full study.
- Applicants should share back-of-the-envelope sense of the potential sample size and power to detect relevant impacts if a randomized evaluation were launched.
- Projects that receive pilot funding are welcome to apply for additional funding in future RFPs.

### Travel/proposal development grants



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Travel/proposal development grants are to be used for early stage activities with the goal of launching a randomized evaluation in North America. Researchers may be awarded up to \$5,000. Please see application instructions [here](#).

Off-cycle proposals

In rare instances, proposals facing time constraints due to factors outside of their control may apply to the RFP off-cycle. Off-cycle proposals will face the same scrutiny as proposals submitted during the RFP round, and should include a justification for off-cycle submission.

## Eligibility Criteria

J-PAL affiliates, J-PAL post-doctoral fellows, and HCDCI researchers invited by J-PAL North America (special invitees) are eligible to apply for funding.

Graduate Student Eligibility

Graduate students may apply for full research projects or pilot studies up to \$50,000 if they meet the following criteria:

- They have a J-PAL [Affiliate](#) on their thesis committee. **Please note that having an invited researcher who is not a J-PAL affiliate on a student's thesis committee does not satisfy this criterion.**
- They received a travel/proposal development grant from J-PAL for the specific project proposed or have documented evidence of successful piloting activities.

Graduate student proposals must reference the student's prior travel/proposal development grant and/or document successful piloting activities. The proposal must also include a letter of support from the J-PAL Affiliate on this student's committee, in which the adviser attests to being on the student's thesis committee.

Students may be awarded a maximum of two travel/proposal development grants and two grants for pilot/full study funding during their time as graduate students.

## Review Process

Proposals are reviewed by two peer reviewers from J-PAL's academic network. After peer review, the HCDCI RFP Review Board, consisting of Amy Finkelstein, Larry Katz, and Joe Doyle, reviews each proposal and makes all funding decisions. The Review Board may grant an unconditional approval, a conditional approval (pending minor revisions), a request to revise and resubmit, or a rejection. Regardless of funding status, all applicants to the RFP will receive redacted comments from the referees.

In the event that an HCDI RFP Review Board member submits a proposal in the current round of the RFP, s/he is required to recuse her/himself from the Review Board. No spouse, partner, or immediate family member of any individual named on a proposal may serve as a peer or Review Board referee in the round in which the applicant’s proposal is under review.

If you would like to appeal a decision of the HCDI RFP Review Board, please contact [Anna Spier](#) within one week of the decision. Please send a detailed write-up of the reasons for this appeal (maximum two pages in length).

### Evaluation Criteria

<p><b>Relevance to health policy and issues of poverty</b></p>	<ul style="list-style-type: none"> <li>• Does the study address questions crucial to understanding pressing health policy issues in the United States?</li> <li>• Do these questions deal with strategies for improving the effectiveness and efficiency of health care delivery?</li> <li>• Does the study align with our objective of supporting studies of health care delivery interventions that address issues with implications for low-income, marginalized, or vulnerable populations in the United States. <ul style="list-style-type: none"> <li>○ We take a broad view of how policies may impact these populations. This may include policies that address broad system-wide issues affecting many people, including vulnerable populations, as well as issues that if unaddressed could lead people to fall into poverty. For additional examples, please see the <i>Appendix X</i>.</li> </ul> </li> <li>• To what extent does the study address issues that impact low-income, marginalized, and vulnerable populations?</li> <li>• Will results from the intervention have broader implications?</li> <li>• How will the lessons learned from this study have relevance beyond this test case?</li> <li>• Is there demonstrated demand from policy makers for more/better information to influence their decisions in this area?</li> </ul>
<p><b>Contribution</b></p>	<ul style="list-style-type: none"> <li>• Does the study contribute to advancing knowledge in the field?</li> <li>• Does it answer new questions, introduce novel methods, measures, or interventions?</li> <li>• Is there academic relevance?</li> <li>• How does the study compare with the existing body of research?</li> <li>• Is the experiment clearly linked to underlying economic theories?</li> </ul>
<p><b>Value of research</b></p>	<ul style="list-style-type: none"> <li>• Is the cost of the study commensurate with the value of expected lessons learned?</li> </ul>
<p><b>Technical design</b></p>	<ul style="list-style-type: none"> <li>• Does the research design appropriately answer the questions outlined in the proposal?</li> <li>• Are there threats that could compromise the validity of results?</li> <li>• If so, does the proposal sufficiently address those threats?</li> </ul>



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<b>Viability of the project</b>	<ul style="list-style-type: none"><li>• Is the relationship with the implementing partner strong and likely to endure through the entire study?</li><li>• Are there any other logistical or political obstacles that might threaten the completion of the study, for example, government authorization or Human Subjects review?</li></ul>
<b>Publishing data</b>	<ul style="list-style-type: none"><li>• Does the project advance best practices in transparency?</li><li>• Is the researcher committed to registering the research project and publishing data and replication code online when not precluded by privacy restrictions?</li></ul>

## How to Apply

Required documents:

1. **The proposal application cover sheet (available [here](#)).**
  - Please save the coversheet as *[PI Name]\_[Topic Name].pdf*
2. **A 5-page narrative**
  - The narrative must include a 150-200 word abstract of the study, which J-PAL NA will post online if the project receives funding. The abstract should include information on the research question, the hypotheses, the intervention, the (potential) sample size, and the outcomes.
  - The narrative should clearly describe the underlying project and the evaluation, including descriptions of:
    - The policy problem that motivates this research,
    - The extent to which this issue impacts low-income and vulnerable populations (see page 1 for guiding questions)
    - The treatment/intervention, evaluation design, the study population (including demographics), and implementing partners.
    - Power calculations based on a minimum detectable effect (MDE) size with a clear explanation of why the minimum detectable effect size is realistic and decision-relevant. Please include enough detail for reviewers to understand how you arrived at the MDE and cite the relevant literature.
    - The expected timeline to complete the study and analysis.
  - The narrative should address each of the topics listed in the Evaluation Criteria.
  - The narrative may not exceed five pages in length. The minimum font size is 11 points, and margins may not be smaller than 1 inch. J-PAL NA will send back any proposals violating these formatting rules.
  - Please save as a Word document, titled *[PI Name]\_[Topic Name].doc(x)*
3. **A complete budget (template available [here](#)).**
  - Project budgets should reflect the actual needs of the project.
  - All J-PAL North America Initiatives cap overhead charges at 9% of total direct costs.
  - J-PAL NA does not cover investigator time or summer months. We will support salary, recovery, and fringe benefits for other project personnel. Please provide description of personnel roles in budget narrative.
    - Personnel costs should include base salary, effort percentage, and expected expenditure per year.
  - Specify the details of each item in the column provided in the budget template.
    - Travel costs should include a breakdown of how many trips are planned, the estimated cost per trip, and the purpose of the trip.



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- Field costs that are detailed clearly in the budget (e.g., # of respondents times \$/respondent = total \$) do not require additional justification in the budget notes.
  - Any computer/equipment purchases should include an itemized list of purchases, e.g. how many laptops, and the staff assigned to the equipment.
  - J-PAL will not approve costs labeled incidental, miscellaneous, contingency, or rent.
  - J-PAL does not allow variance greater than 10% (by major line item) without prior approval. If modifications are needed, project staff are required to inform J-PAL and request approval in advance.
  - If there is co-funding for the project, please complete the Total Project Budget and the J-PAL NA Budget tabs in the budget template.
  - Expenses associated with the provision of detailed information on program costs are allowable (this is included in the budget template with an estimated cost).
  - Please save the budget form as a single Excel file, titled *[PI Name]\_Budget.xls(x)*
4. **A brief budget narrative.**
- Please save the budget narrative as *[PI Name]\_BudgetNarrative.doc(x)*
5. **Letter(s) of support from the partner organizations**
- Full projects are required to provide a letter of support from implementation partners. Applicants for pilot funding are encouraged to submit letters of support.
  - Letters of support should indicate willingness to share cost data.

**Additional Notes:**

- Applicants are encouraged to concurrently apply for approval from their respective Institutional Review Boards (Human Subjects Committees). The award of any J-PAL NA grant is contingent on approval from the host institution's IRB as well as the IRB at MIT, known as the Committee On the Use of Humans as Experimental Subjects (COUHES).
- Applicants are encouraged to submit the application to their office of sponsored programs or contracts department as MIT will need official acceptance of the proposal and budget by your institution to process the subaward. You can do this after submitting a proposal, but doing so before the award decision will help avoid delays.
- It is your responsibility to ensure the budget you submit is correct and follows your host institution's policies for costs. If you wait until an award has been made by the RFP Review Board before getting approval from your planned host institution, you risk having an award that your institution cannot accept. We recommend that as soon as you submit your proposal to J-PAL NA (if not before), you send it through your host institution for their review and acceptance.

**Send all documents to [HCDI@povertyactionlab.org](mailto:HCDI@povertyactionlab.org)**

**Due: 5 pm EST on February 15, 2019.**

**Questions? Email initiative manager, Anna Spier**

## Appendix 1: Connection to J-PAL Mission

One consideration in the RFP is the extent to which a study aligns with J-PAL's mission to reduce poverty by ensuring that policy is informed by scientific evidence. We think of poverty along several dimensions and define it quite broadly:

Overall, does the study address a policy issue that has a significant impact for low-income, marginalized, or vulnerable people?

More specifically,

1. Does the policy issue have a disproportionate impact on low-income or vulnerable populations? Does the intervention target better/ more appropriate care for people in poverty?
2. Is the policy issue a broad, system-wide issue that affects many people, including low-income and vulnerable populations?
3. Is the policy issue an issue that, if unaddressed, could lead people to fall into poverty?

Examples:

<i>Connection to Mission</i>	<i>Examples of Tested Interventions</i>
1. Issue with disproportionate impact on low-income populations; better/ more appropriate care for low-income people	Nurse home-visiting program for first-time low-income mothers
2. Broad, system-wide issue that affects many people, including low-income and vulnerable populations	Medicare bundled payments for knee and hip replacements
3. Issues that, if unaddressed, could lead people to fall into poverty	Program to buy and abolish medical debt

A full list of funded evaluations is available [here](#).



## Appendix 2: Grant Requirements

If funded, researchers agree to the following:

The terms of the award are as follows and as specified in any subaward established with MIT in connection with the administration of the grant. Acceptance of funding from J-PAL North America signals your consent to all these requirements. **Non-compliance with these requirements could affect your eligibility for future funding from any J-PAL initiative.**

### AEA and OSF Trial Registration

1. Researchers must register their trial with the [AEA RCT Registry](#) as soon as IRB approval or exemption is granted. For questions and support with the registry, please contact J-PAL staff member Keesler Welch ([support@socialscienceregistry.org](mailto:support@socialscienceregistry.org)). Please notify and send the assigned registration number to Keesler as soon as it is available, and copy Alex Marlowe ([amarlowe@povertyactionlab.org](mailto:amarlowe@povertyactionlab.org)). **Please note: Pilot projects that do not include any randomization (e.g. those that do NOT include an actual experiment) do NOT need to register.**
  - a. This registration must include the analysis plan describing the hypothesis or hypotheses to be examined in the empirical research study, the primary and secondary outcomes, the statistical model(s) and methodologies to be used. Additional guidelines can be found [here](#).
2. Researchers must also create an account for their project on the [Open Science Framework](#). Researchers must 1) create an account, 2) create a page for the project, and 3) add “Keesler Welch” as a collaborator. J-PAL staff will then copy your information from the AEA registry to the OSF. Please contact Keesler Welch ([support@socialscienceregistry.org](mailto:support@socialscienceregistry.org)) with any questions.
  - a. Upon study completion, the OSF page must be updated with the results of the study and information on paper publication (as available).

### Accessing Funds

To access the grant, you will need to submit the following document(s):

1. A formal letter of transmission from the subaward institution agreeing to the proposal and budget. The letter must be on the subaward institution’s letterhead, and should state that they support the proposal and plan to carry out the work in accordance with approved budget. They should also include contact information for the person who will receive and sign the subaward on behalf of their institution.
2. IRB Approval or exemption: We expect that MIT’s IRB will not require a full review of

your project but will instead cede authority to your university.<sup>1</sup> Please send the following to Alex Marlowe ([amarlowe@povertyactionlab.org](mailto:amarlowe@povertyactionlab.org)):

- a. A copy of your university's IRB approval or exemption and accompanying documents.
  - b. A 1-2 page summary of the research being conducted, written for a general audience;
  - c. Copies of any consent forms being used, with the hosting IRB's approval stamp
  - d. The name and title of the hosting IRB's signatory official, FWA #, and IRB # (the university's IRB #, not the specific project's IRB #)
3. Confirmation of AEA and OSF registration (as outlined above).

Once all materials have been received, it typically takes up to **60 days** to establish the subaward, though usually subawards can be backdated to allow costs from the date when all IRB approvals are in place. The subaward will be paid on a **cost-reimbursable basis**.

## Reporting

1. Grantees must provide the reports below:
  - a. Brief annual progress reports highlighting key elements of RCT development such as recruitment and enrollment due September 1 each year until the completion of the project (see template);
  - b. A final financial report within 60 days of completion of the award period (see template);
  - c. A final project report with preliminary results within 6 months of completion of the award period;
    - i. We request that you submit a copy of any survey instruments used for the project with your final report. Pilot studies are encouraged, but not required to share survey instruments.
  - d. The completed costing template (attached) with detailed information on program costs within 6 months of completion of the award period.
    - i. J-PAL has found that policymakers are very interested in how much a program costs, as it is one of the key factors in decision-making. Detailed cost data allows for cost effectiveness analysis (CEA), which J-PAL may conduct (with permission from the researchers).
    - ii. If researchers are unable to collect detailed cost data, we require initiative-funded projects to provide estimates of total program cost,

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<sup>1</sup> If you have already ceded authority to MIT for this project and there are no IRB modifications, you do not need to cede authority again. If there have been IRB modifications, please send over the requested IRB materials and we will re-cede authority.

- average cost per beneficiary, and marginal cost to add another beneficiary.
- iii. For questions about the scope of this requirement or assistance with the costing worksheet, or if you have a compelling reason for being unable to share any cost data, please email Initiative Manager, [Anna Spier](#).
2. If you are not be able to meet the reporting deadline you may request an extension. This request should be submitted before the due date.
  3. If projects are unable to complete the project by the end of the award period and need to extend the award end date for the project, please fill out and submit a no cost extension request form. For questions about this please email Alex Marlowe at [amarlowe@mit.edu](mailto:amarlowe@mit.edu).
  4. Researchers whose reports are more than 2 months late and who have not received an approved extension will not be eligible for additional J-PAL funding until the reports are submitted.

#### Data & Code Publication

1. Except to the extent limited by law, IRB requirement, and/or any applicable binding agreement, we require researchers to submit data to J-PAL within eighteen months of completing data collection. Submitted data will be held by J-PAL under an embargo agreement, which may, in appropriate circumstances, restrict data access to protect confidential or proprietary information. J-PAL will follow up on a yearly basis following the submission of data as to whether the data has been made public. J-PAL may share submitted data beginning on the fifth year following completion of data collection. If the researcher does not wish the data to be shared by this time, the researcher may petition the initiative co-chairs, who, in their discretion, will determine whether to share the data. If legal or other restrictions prohibit the submission of data to J-PAL, researchers must (1) inform J-PAL as early as possible, and (2) exercise reasonable efforts to procure permission to publish de-identified or slightly aggregated data. Please see [J-PAL's Guidelines for Data Publication](#) for additional details. Pilot studies are not required to publish data.
2. In addition to publication of the underlying data, we also encourage researchers to publish the code needed to replicate data analysis within six months of the publication date of a final evaluation report or scholarly article.

#### Paper Publication

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1. After the completion of the RCT, the grantees will complete an academic paper and submit the academic paper to least one peer-reviewed academic journal for publication. Grantees must send a PDF of the published paper to the Initiative Manager as soon as it is available, and report on intentions to publish in the final report.
  - a. If grantees are not able to do so, please inform the Initiative Manager and write a brief explanation to J-PAL detailing any challenges or issues that arose, which prevent grantees from writing a paper.
2. PIs are highly encouraged to share the public working papers from funded projects with Initiative staff as soon as they are available. J-PAL staff will then work with grantees to develop a strategy for communicating the results via traditional or social media and J-PAL publications like evaluation summaries.

#### J-PAL Involvement

1. All J-PAL affiliates and initiative special invitees who are co-PIs on this project certify that they will be active, engaged and responsive PIs on this project dedicated to guaranteeing the quality control on all aspects of this research; and that their participation in this project is not merely to provide access to J-PAL resources and funding to anyone else working on this project who is neither a J-PAL affiliate, nor an initiative special invited researcher.
2. J-PAL funded researchers are required to participate in one of J-PAL North America's activities on a mutually agreed date and place. This activity could be a presentation of research, a matchmaking conference (bringing together researchers and implementing partners), a training (e.g. a lecture at J-PAL's Executive Education course), or a presentation to one of J-PAL North America's donors.
3. Applicants who are selected for funding will be requested to peer review proposals in future J-PAL North America RFP rounds.
4. The J-PAL academic network is asked to consider sharing data collection instruments and methodologies with other J-PAL affiliated researchers.
5. In an effort to gather and share lessons learned from funded RCTs, PIs are required to have a debrief call with J-PAL NA staff at the conclusion of the project. The purpose of this call is to learn from both the successes and challenges of implementing the project.