

## **Award Requirements and Set Up Process**

If your proposal is accepted for award, the funding will be provided under an award from MIT to your host institution. Please review these requirements in detail as part of preparing your submission. **We expect applicants to budget sufficient time and money to meet these grant conditions and processes.**

It is **strongly recommended** that before the announcement of ATAI awards, applicants secure approval from the host institution's Institutional Review Board (IRB) for any human subjects protocol required to implement your project. **MIT requires proof of IRB approval prior to processing any ATAI award that involves Human Subjects.**

The process MIT follows for processing ATAI awards is as follows:

1. The ATAI Board sends official award notification letter.
2. If not already submitted, you will need to provide formal institutional approval of the proposal and your institutional IRB approval.
3. In certain cases, approval from MIT's IRB will also be required; at a minimum MIT will cede IRB authority to the host Institution. We will assist with these processes.
4. J-PAL informs MIT contracts office of the award.
5. MIT establishes a subaward with your institution.

We aim to complete this process within 60 days of receiving all your forms and IRB approvals, but delays on MIT or on the part of your host institution may delay the process. We can backdate the award to cover expenses from the Award Date or the date of IRB approval, whichever is later. If a project includes non-Human Subjects work prior to the IRB approval, please let us know following award and we may in some cases be able to cover those costs (post-award, but pre-IRB) under the award.

### ***Institute to Receive Award (ITRA) Requirements***

**MIT requires that there is a subawardee PI at the Institute to Receive Award (ITRA) who will be responsible for overseeing the work on the ground.** This may be one of the academic co-PI's or it may be a non-academic PI, such as the Executive Director or Director of Research of the ITRA. This person must be formally affiliated with the ITRA. Affiliation could be as a professor, associate professor, staff, fellow, or some other type of relationship that is recognized by the university or organization. A J-PAL Affiliation or J-PAL Invited Researcher status does not constitute an official affiliation with J-PAL regional office host universities. Please be sure to denote who the PI responsible for the subaward contract at the Institute to receive the award is with '(subawardee PI)' following their name on the cover letter.

### ***Trial Registration***

**Before starting fieldwork, researchers must register their RCT with the AEA RCT Registry (<http://www.socialscienceregistry.org>).** Registration includes 18 required fields (such as your name and a small subset of your IRB requirements), and the entire process should take less than 20 minutes if all documentation is in order. There is also the opportunity to include more information, including power calculations and an optional pre-analysis plan. Grantees are required to submit proof of AEA registration with their three-month Start-up Report. Please note that registration is only required for RCTs (not pilots). For questions and support with the registry, please contact the help desk ([support@socialscienceregistry.org](mailto:support@socialscienceregistry.org)).

### ***Annual Progress Reporting, Final Technical, and Financial Reports***

Grantees should provide brief annual progress narrative reports and biannual financial reports using templates provided to them by ATAI for this funded project (refrain from recycling old templates to prevent having to re-submit deliverables). Biannual financial reports are due every six months from the date the award letter was issued, which is considered the date of approval. These reports are required whether or not project activities have been delayed. We will send you reminders and instructions about these reports. Upon completion of the project, you are required to submit any survey instruments used.

### ***Implementation Cost Collection (see “Project Costing Exercise” section of the RCT Proposal Guidelines)***

For RCTs, researchers are required to collect data on program costs associated with this evaluation, which may be used as an input to J-PAL and CEGA cost-effectiveness analyses (we will, of course, contact you before undertaking such an analysis). We will ask for costs on an annual basis, but only expect fully complete information at the end of the project. Your award includes \$1,000 to defray expenses associated with collecting these data.

ATAI will provide a costing template to collect this information. Please see the [J-PAL basic costing template](#) included in the FAQs for an idea of what you will need to collect. If implementing partners' program budgets (i.e. the organizations' costs to implement the program or intervention, exclusive of research costs) are already available, please share those with us. As part of the first annual reporting cycle, we do require submission of the above costing template.

### ***Preliminary Results Report***

**Researchers are required to publish a publicly available “Preliminary Results Report” within twelve (12) months of receiving cleaned end-line data from the field.** We will provide a specific template to submit this deliverable, asking for no more than 10 pages and including the following information/sections: policy issue, intervention description, research design, and preliminary results (noting that the information reported is subject to change if analysis is ongoing). Upon submission, the report must be made publicly available, and will therefore be posted to the ATAI website. Once a working or published paper is available, we will replace this "Project Results Report" posted on the ATAI website with the working/published paper.

### ***Data Publication***

**Researchers are required to submit data to J-PAL from their ATAI-funded projects within eighteen (18) months of completing data collection.** J-PAL has services you can access such as preparing the data and code, replicating results and tables, and uploading data for publication. In special circumstances, such as a delay in publication, researchers may request J-PAL embargo the data for up to five years, with the understanding that it will be released simultaneously at paper publication. If data is held by J-PAL under an embargo agreement, we will ask researchers each year to ask whether the dataset has been made available. If there is no response, J-PAL will keep the embargo. On the fifth year following data collection, the presumption is that J-PAL will share the data. J-PAL will again ask the researcher if the dataset can be made public. If there is no response, the dataset will be made public. In cases in which the researcher requests a further extension, s/he will be asked to submit this request to ATAI leadership for special approval. Further details outlining when a dataset should be published and which data should be published are available in [J-PAL's Guidelines for Data Publication](#), adopted June 2015.

### ***Working Paper “Publication”***

**Researchers are required to post a publicly available working paper or other publication from their**

**ATAI funded projects within twenty-four (24) months of completing fieldwork.** This should be coordinated with the above data publication timeline and requirements, and ATAI will similarly request a link to the posted working paper on this timeline. ATAI staff will then access the working paper and post it on the ATAI website.

For more information on the Bill & Melinda Gates Foundation's Open Access Policy for peer-reviewed publications and underlying data, see [www.gatesfoundation.org/How-We-Work/General-Information/Open-Access-Policy](http://www.gatesfoundation.org/How-We-Work/General-Information/Open-Access-Policy). For information on FCDO's Research Open and Enhanced Access Policy, see <https://www.gov.uk/government/publications/dfid-research-open-and-enhanced-access-policy>.

### **Expected Deliverables Submission Timeline**

The deliverables and reports described above will be due based on the following timeline.

- **Before starting fieldwork:** Grantees should register their trial with the AEA RCT Registry (see details above)
- **Three months after project's start date:** a brief start-up report describing the initial stage(s) of the funded project and whether there are any delays in the implementation of the project activities
- **Semi-annually** (often in either March or September) grantees are expected to submit: (1) a financial update on spending relative to the project budget, and (2) a brief annual program report on project implementation
- **Within 30 days of fieldwork concluding:** (1) a final financial report and (2) for RCTs only, completed implementation costing information (see "Implementation Cost Collection" section, above)
- **Within 12 months of receiving cleaned end-line data from the field:** a final substantive narrative report with preliminary results, i.e. a submitted Preliminary Results Report template that will be posted publicly (see "Preliminary Results Report" section, above)
- **Within 18 months of fieldwork concluding:** Cleaned and anonymized data submitted to ATAI for public dissemination (or held under embargo per the Data publication policy outlined above). Data will be included in ATAI's cross-project database for harmonization work conducted by ATAI's Data Analyst with oversight from ATAI leadership. Note that ATAI invites PIs to submit data earlier where possible to do so (for example where data is cleaned and treatment identifiers have been removed).
- **[RCTs only] Within 24 months of fieldwork concluding:** Working paper publicly available (see "Working Paper Publication" section, above)

**Timely submission of reports is very important.** We will send reminders to you at least one month in advance of reporting due dates. **Please note that researchers whose projects are more than 30 days late on any reports or other deliverables to any J-PAL Initiative, including ATAI, and who have not received an approved extension, will not be eligible to have new projects funded by J-PAL, including ATAI.**

**As the need arises, we may ask ATAI-funded researchers to:**

- Peer-review proposals in future ATAI RFP rounds in which you are not applying for funding.
- Participate in a harmonization process to ensure consistency and comparability across studies.
- Share data collection instruments and methodologies with other grantees.
- Participate in one of ATAI's policy outreach activities on a mutually agreed date and place. This activity could be an evidence workshop, a matchmaking conference, or a presentation to one of ATAI's donors.