



Tax tobacco. Save lives.

A partnership between



Programme for Research, Advocacy and
Capacity Building on Tobacco Taxation
(PROACTT)

Applicant Guidelines

Contents

'BEFORE YOU SUBMIT' – Checklist.....	3
2. Introduction	4
2.1. Purpose of these guidelines	4
2.2. About the Programme	4
2.3. Why apply?.....	4
2.4. Programme Structure.....	5
2.5. Key dates	6
3. Scheme Guidelines	7
3.1. Remit	7
3.2. Eligibility	7
3.3. What is funded	7
3.4. Project Team	7
3.5. Support from policy makers.....	10
4. Submitting Your Application	10
4.1. Expression of Interest (EOI).....	10
4.2. Full application	10
4.3. Assessment criteria	11
4.4. Ethics and regulatory approval	12
4.5. Feedback	12
Useful Contacts.....	12
Appendix 1 – EOI template.....	13
Appendix 2 – Cost Guidance	15

‘BEFORE YOU SUBMIT’ – Checklist

EXPRESSION OF INTEREST (EOI) SUBMISSION

- Have you completed each section of the EOI?
- Have you listed each member of your project team according to these guidelines ([see section 2.4](#))?
- Are all your answers within the word limit?
- Is your EOI under 2 pages long?

FULL APPLICATION SUBMISSION

- Have you completed all 6 sections of the application?
- Have you included a list of all publications for each member of the project team where they are listed as a full author?
- Have you attached a CV for each member of your project team to the application?
- Have you used references where applicable?¹
- Have you filled out the budget template?
- Have you completed the relevant due diligence forms?
- Have you attached all the documents listed in [section 6](#)?

¹ When using references, give full details including authors, publication year, title and journal name, volume and page numbers. Number your references in their order in the text and list them in the Vancouver style (https://www.nlm.nih.gov/bsd/uniform_requirements.html)

1. INTRODUCTION

1.1. PURPOSE OF THESE GUIDELINES

These guidelines explain what we are looking for in an application for the Programme for Research, Advocacy and Capacity Building on Tobacco Taxation (PROACTT). Please read these guidelines prior to submitting your application.

1.2. ABOUT THE PROGRAMME

The Programme for Research, Advocacy and Capacity Building on Tobacco Taxation (PROACTT) is a new programme jointly funded by Cancer Research UK and the American Cancer Society. The two organisations have united under mutual organisational commitments to reduce the global burden of smoking and the shared objective to:

Improve implementation of tobacco taxation and illicit trade policy measures as per Articles 6 and 15 of the World Health Organisation's Framework Convention on Tobacco Control, by building the evidence base and capacity of researchers, advocates and policy makers in low- and middle-income countries (LMICs).

To do this, PROACTT will support the formation of project teams based in LMIC countries to undertake policy-research and advocacy work with the aim of supporting governments to implement more effective tobacco taxation and illicit trade policies. Project teams will be comprised of economists and advocates ([see section 2.4](#)).

This initiative aims to fund three project teams for a period of 18-months. Each project team will have a budget of up to \$120,000 which will be used to undertake research and advocacy work.

PROACTT will support project teams through interactive training workshops and mentorship. Each project team will have the opportunity to work with both an economic and advocacy mentor, who will support teams by providing expertise and guidance throughout full application development and project work. In-country training workshops, designed specifically for each project team, will further support capacity building by developing project team member's knowledge of tobacco economics, research methods and related policy advocacy and communications skills.

1.3. WHY APPLY?

This is a unique programme that offers applicants the opportunity to:

- gain practical research skills, training and experience in the area of tobacco control economics research and benefit from having focused support from professional mentors;

- be involved in a grant that supports both policy-focused research as well as advocacy and the communication of research findings;
- publish research findings in a scientific journal;
- learn and share knowledge within a team of motivated participants and talented mentors in tobacco economics, policy and advocacy; and
- excel and gain visibility in the fields of international tobacco control and public health research.

1.4. PROGRAMME STRUCTURE

This 18-month project grant is designed to support teams to deliver policy relevant research and advocacy outputs as well as provide ongoing training through mentorship and workshops. The below diagram shows how the programme is structured in order to do this:



1.4.1. PRE-WORKSHOP PREPARATION

Project teams who have had their EOI approved will be assigned economic and advocacy mentors at the application development stage. Team members and mentors will use this time to develop a strong research protocol, acquire data sets and plan for communications and advocacy activities.

1.4.2. TRAINING WORKSHOP 1

Once the full application is approved, project teams will be required to attend two local workshops. These workshops will provide research teams with an opportunity to work with international experts in economics of tobacco control research and advocacy.

The first workshop will introduce the teams to some of the key theoretical and empirical literature in the economics of tobacco control field. The workshop will also support the research teams to conduct practical data work and to further develop the communication and advocacy plan developed in the application.

1.4.3. RESEARCH AND ADVOCACY DEVELOPMENT

Following the first workshop, teams will focus on conducting their research tasks and start the process of delivering their advocacy plans. Mentors will continue to support project teams by communicating with them on a monthly basis, offering advice and training where needed.

1.4.4. TRAINING WORKSHOP 2

The second workshop is designed to help teams finalise the research paper and start implementation of the advocacy and communications strategy for sharing the research results. During this workshop, research teams will analyse and strengthen their research paper and gain additional practical skills in advocacy and communication training.

1.4.5. RESEARCH DISSEMINATION AND COMMUNICATION

The PROACTT team is committed to supporting project teams throughout the research and advocacy element of their project. Consequently, project teams will be given a period of time to implement the communication and advocacy plans following completion of the research. This includes activities such as: submitting the research paper to an academic journal, disseminating the policy brief, presenting the research at conferences, conducting media outreach and policy-maker outreach, amongst other things.

1.5. KEY DATES

Expression of Interest (EOI) deadline	12pm (London UK time) 24th February 2017
Successful applicants invited to submit a full application	Beginning of March 2017
Full application deadline	12pm (London UK time) 7th April 2017
Applications are reviewed	April 2017
Applicants advised of funding decision	May 2017
Commencement of programme	May/June 2017²
Training Workshop 1	July - September 2017 ³

² Dates dependent on country-specific needs and research timelines.

³ As above.

2. Scheme Guidelines

2.1. REMIT

You can apply for PROACTT in any (or more than one) of the following research areas:

- tobacco economics;
- tobacco taxation;
- tobacco tax structures;
- illicit trade;
- tax administration as it relates to tobacco; and
- tobacco pricing.

Project teams need to be based in one of the countries specified in [section 2.2](#) and project proposals need to clearly articulate the policy outcomes to which the research is expected to contribute.

2.2. ELIGIBILITY

The current call is only open to project teams based in the following countries: Colombia, Peru and Bangladesh.

We may open future rounds to project teams based in other LMICs, as defined by the [DAC List of ODA Recipients](#).

2.3. WHAT IS FUNDED

The funding available will cover the research, communications, dissemination, and advocacy elements of the grant. The CRUK/ACS programme team will cover the costs associated with attendance of the first and second workshops. You can apply for grants up to \$120,000 per proposal.

Funding will be available for up to 18-months and can be used to fund the salaries of project team members with associated running expenses, if fully justified. See [Appendix 2](#) for more information.

Grantees must be able to comply with Grant Conditions and respond satisfactorily to due diligence requests as required.

2.4. PROJECT TEAM

Project teams applying for funding should consist of at least one senior economist, economist and an advocate. One of these team members will also need to take on the role of Project Director. Applicants to PROACTT should have formed their project team at the EOI stage.

As this is a team-based grant, every member of the team will be expected to contribute to all components of the project: research, communication and advocacy. However, tasks may also be allocated according to each member's strengths.

Below is a list of activities that all team members will be involved:

- preparing and submitting the EOI and full proposal which includes discussions with key stakeholders such as government;
- preparing for and participating in the first and second training workshops;
- undertaking the research with support from the economics mentor;
- writing and revising the research paper;
- taking part in monthly calls with economic and advocacy mentors;
- taking a lead in the dissemination, advocacy and communication of the research results to a variety of audiences; and
- cooperating in the monitoring and evaluation of the programme.

2.4.1. THE PROJECT DIRECTOR

Project teams will select a Project Director (PD), with any of the team members eligible to take on this role. The PD will be responsible for:

- assembling all documents required for the EOI and the full application;
- negotiating with the relevant authority(ies) to secure access to the relevant data sets and getting written agreement that the research results can be published internationally;
- liaising with the Ministry of Finance to ensure that the proposed research question is aligned with and will support national tobacco control policy;
- managing all project team members throughout the duration of the project;
- ensuring regular communication among project team members, mentors and the CRUK/ACS programme team;
- ensuring that good quality financial and narrative reports are submitted on time to the donor; and
- delivering the key project milestones on time and to a high professional standard.

The PD's institution will sign the grant contract and will be accountable for receipt, management and disbursement of programme funds.

2.4.2. THE SENIOR ECONOMIST

The senior economist will assume the role of Principle Investigator (PI) of the research and will:

- oversee the design and implementation of the research plan;
- provide advice, mentorship and support to the economist;
- agree with the mentors on a plan of engagement over the project;
- communicate regularly with the economic mentor;
- maintain a close working relationship with the advocate and government official; and
- ensure that all team members are included in the research process.

The PI will ultimately be responsible for the quality of the research paper submitted for publication.

2.4.3. THE ECONOMIST

Supported by the senior economist the economist will:

- implement the research plan;
- collect data;
- conduct data analyses;
- write up the research paper; and
- work with the advocate to publish and communicate research findings.

2.4.4. THE ADVOCATE

The advocate will:

- identify stakeholders such as: primary and secondary stakeholders in the tobacco control arena, members of relevant media, policy makers who support or oppose tobacco control policies and build close relations with them in preparation for the communication of the research results;
- monitor and track key events and dates such as budget formulation, political debates, research conferences;
- map the tobacco industry's tactics;
- support the project team in its deliberations over the identification of project research questions;
- work closely, and communicate regularly, with the advocacy mentor in formulating the communication and advocacy plan and the timing of the regular meetings;
- develop advocacy and communication materials; and

- implement the advocacy and communications plan.

2.5. SUPPORT FROM POLICY MAKERS

An important goal of PROACTT is to support the implementation of tobacco control policies. In order to do this, project teams need to form close links with government officials to ensure that teams understand the policy process and have an understanding of what research will be most useful to policy makers.

Applicants will be expected to engage with government officials who work on tobacco tax policy (e.g. a representative from the Ministry of Finance, Ministry of Health or another relevant government body) prior to submitting an application to ensure the team has access to government data sets, permission to publish the research findings internationally and the ability to gain government support for, and participation in, the research question proposed by the team. Applicants will need to demonstrate how they have engaged government officials in the past, and how they intend to engage with them at the full application stage and during the project (e.g. via a letter of support, access to date, narrative of engagement activities etc).

3. Submitting Your Application

3.1. EXPRESSION OF INTEREST (EOI)

The EOIs are your opportunity to describe your idea. They should include a brief summary of your proposed research idea. Expressions of interest should be no more than **2 sides of A4 paper**.

Throughout the proposal:

- use single-line spaced text, in Calibri font, pt 11, black;
- number all pages; and
- show surname and initials of the PD in a header or footer on all pages.

A form is included in [Appendix 1](#). Please ensure that you use this form, no other format will be accepted.

3.2. FULL APPLICATION

Following submission of the EOI, successful applicants will be **invited** to submit a full application. It is at this stage that each project team will be matched with an economic and/ or advocacy advisor to support the application development.

A form will be provided for the full application.

Throughout the proposal:

- use single-line spaced text, in Calibri font, pt 11, black;
- number all pages; and
- show surname and initials of the PD in a header or footer on all pages.

All research teams will be notified about the final decision.

3.3. ASSESSMENT CRITERIA

Please use the following checklist to ensure your applications cover key areas on which it will be judged:

Potential impact on policy and practice

- ✓ You have demonstrated how your research will have impact on policy and practice in your country, region and internationally, if applicable.
- ✓ You have considered the local/national political agenda and shown how this will influence your research and communication planning.

Scientific excellence

- ✓ You have included strong scientific rationale to support the proposed research proposal.

Potential for developing capacity in research and advocacy

- ✓ You have outlined clearly how your team will use and benefit from the capacity building opportunities (workshops and mentors) of this programme.

Project team

- ✓ You have a project team comprised of: i) a senior economist (preferably with experience in tobacco control), ii) an economist, iii) and a tobacco control advocate.

Stakeholder engagement

- ✓ Your proposal includes demonstrable support from key civil society stakeholders in your country and senior policy makers, particularly in the ministries of health and finance.
- ✓ You have shown how you will engage the Ministry of Finance in the formulation of your proposed work and how you will use your research results to help them move the tobacco tax agenda forward in your country.

Availability of data

- ✓ You have provided information about the data you plan to analyse to explore your research question.
- ✓ You have provided evidence to demonstrate that you have written permission from the relevant authority to use these data for research purposes and that you are allowed to publish the results of your research in international academic journals.

3.4. ETHICS AND REGULATORY APPROVAL

If you plan to involve healthy volunteers, patients, or patient information in your research, you will need to get ethical approval. It is you and your Host Institution's responsibility to make sure you comply with all legal requirements and ethics approval. We understand that you will generally need to confirm funding arrangements before you can get ethical approval. Therefore, we can make you a provisional offer of funding but will not release any money to you until you have sent us written confirmation of ethical approval. Please bear this in mind when you propose a start date for your award. If you need any other regulatory approval, we will also need written confirmation before we release funding.

3.5. FEEDBACK

Feedback on full applications will be provided, but please remember that all funding decisions are final.

Application reviewers cannot discuss their decisions with applicants, so please do not approach any members directly. Our review process is extremely important to us, so we reserve the right to decline applications from anyone who compromises its integrity.

USEFUL CONTACTS

For more information about PROACTT please contact: PROACTT@cancer.org.uk

Appendix 1 – EOI template

Please provide responses on this form in English and read the applicant guidelines in full before completing this form. The information you provide will be used to determine your eligibility to submit a full application. **Please ensure that you use Calibri, font size 11 and do not exceed two pages.**

Please return this form to PROACTT@cancer.org.uk by 12pm (London UK time) 24 February 2017.

Project title	
Project start date & duration in months:	<i>Please indicate estimated project timelines - NB: the project should aim to start between June – July 2017 and should not exceed 18 months.</i>
Lead Organisation:	<i>Please state the legal name of the organisation that will receive and administer the grant funds and provide proof of registration.</i>
Research Team:	<i>Please list all team members who will be working on this project, including full name, contact details, their role within their current organisation and their role on this project team (please use the roles listed on in section 2.4 of the applicant guideline).</i> 1. 2. 3. 4.

Project Idea:	<p><i>Please provide a summary of your team's research question(s) and explain what you hope to achieve by doing this research and how you expect your results to affect tobacco tax policy in your country (maximum 300 words).</i></p>
Capacity Development	<p><i>Please describe what types of capacity development different members of your team will need over the course of the programme in relation to: i) tobacco economics and ii) communication-advocacy work e.g. training for media interviews, writing policy briefs, publishing journal articles, methodology, talking to policy makers, forming a coalition etc.</i></p>
Stakeholder Engagement	<p><i>Please describe the key civil society, academic and political stakeholders that you plan to engage in this programme (maximum 300 words).</i></p>

Appendix 2 – Cost Guidance

Direct Costs covered under PROACTT

Funding of these costs is not guaranteed and is still subject to review for approval.

1	Salaries	<p>This constitutes payments to individuals within the organisation receiving funding.</p> <p>* Applicants will need to fully justify contributions to salaries including: stipulating the % of their time to be covered under the grant and that it is standard practice for salaries to be funded from project grants within their organisation.</p>
2	Consultants	<p>Payments to individuals working on the project but aren't within the organisation receiving funding.</p> <p>* Applicants will need to fully justify payments to consultants including: stipulating the % of their time to be covered under the grant.</p>
3	Translation services	Related to research
4	Survey firm services	Related to implementation of the project
5	Data sets/ data sharing	Related Research
6	Travel	Mainly local
7	Subsistence and hospitality/catering	Costs related to meetings (food/room hire fees)
8	Publication (to include printing/photo copying if applicable)	

Indirect Costs covered under the PROACTT grant agreement

Indirect costs fit in the context of the “administration tab” within the budget document and are approved upon review and confirmation that they do not exceed 10% of the overall budget.

1	Telephone	
2	Postage	
3	Stationary	

Exceptions which may or may not be covered under the PROACTT grant agreement

These will require individual review to determine if they’re allowable.

1	Laptop	Purchase of a laptop in reference to demands of the project will be reviewed on a case by case basis
2	Promotional materials	This is very unlikely to be allowed, but if there is a request for grant funds to cover such expenses, we will review it and come to a decision.