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Policy evaluation, randomized controlled trials, and external validity: A systematic review

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Policy Evaluation, Randomized Controlled Trials, and External Validity – A Systematic Review

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Jörg Peters, Jörg Langbein, and Gareth Roberts¹

Policy Evaluation, Randomized Controlled Trials, and External Validity – A Systematic Review

Abstract

When properly implemented, Randomized Controlled Trials (RCT) can achieve a high degree of internal validity. Yet, if an RCT is to inform policy interventions that extend beyond the experimental population, it is critical to establish external validity. In this paper, we first present a theoretical framework of external validity and identify the potential hazards that compromise generalizing results beyond the studied population, namely Hawthorne effects, general equilibrium effects, specific sample problems, and special care in the provision of the randomized treatment. Second, we reviewed all RCTs published in leading economic journals between 2009 and 2014 and scrutinized the way they deal with external validity. Based on a set of objective indicators, we find that many published RCTs do not discuss hazards to external validity and do not provide the information that is necessary to assess potential problems. Apparently, external validity is not an important matter of concern during the peer review process. To conclude, we call for a more systematic approach to report the results of RCTs, including external validity dimensions.

JEL Classification: C83, C93

Keywords: Systematic review; internal validity; external validity; randomized controlled trials

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¹ Jörg Peters, RWI and AMERU, University of the Witwatersrand, Johannesburg, South Africa; Jörg Langbein, RWI; Gareth Roberts, AMERU, University of the Witwatersrand, Johannesburg, South Africa. We thank Julian Rose for excellent research assistance and are grateful for valuable comments and suggestions by Martin Abel, Marc Andor, Angus Deaton, Heather Lanthorn, Luciane Lenz, Stephan Klasen, Laura Poswell, Colin Vance and in particular Michael Grimm as well as seminar participants at University of Göttingen, University of Passau, University of the Witwatersrand, and Stockholm Institute of Transition Economics. We contacted all lead authors of the papers included in this review and many of them provided helpful comments on our manuscript. Langbein and Peters gratefully acknowledge the support of a special grant (Sonderatbestand) from the German Federal Ministry for Economic Affairs and Energy and the Ministry of Innovation, Science, and Research of the State of North Rhine-Westphalia. All correspondence to: Jörg Peters, RWI, Hohenzollernstraße 1-3, 45128 Essen, Germany, e-mail: peters@rwi-essen.de.

1. Introduction

Most of the researcher's energy in empirical social sciences is – for good reasons – devoted to ensure the internal validity of her study. In a nutshell, internal validity is achieved if the observed effect is a causal one and free of self-selection biases. Hence, internal validity ensures an evaluation study's policy relevance for the study population itself. External validity prevails if the study's findings can be transferred from the study population to a different policy population. Thus, conditional on internal validity, the external validity of an empirical study ensures its policy relevance beyond the evaluated program itself. In terms of internal validity, one method stands out: Randomized controlled trials (RCTs). RCTs are experimental studies that are implemented not in the laboratory but in the field and, hence, under real-world conditions. Self-selection into treatment, the most important threat to internal validity, is no longer a problem due to the randomized assignment of the treatment.

The high internal validity of RCTs is frequently contrasted with shortcomings in external validity. Critics state that establishing the external validity is in many cases more difficult for RCTs than for studies based on observational data (DEHEJIA 2015, MULLER 2015, MOFFIT 2004, PRITCHETT AND SANDEFUR 2015 and TEMPLE 2010). As long as an RCT's result is only interpreted with regards to the evaluated population, for example for accountability reasons or to inform the future program design, this does not pose a problem. However, most studies are conducted with the intention to derive policy recommendations beyond the evaluated population. For such studies, external validity is a *sine qua non* (PEARL AND BAREINBOIM 2014).

In this paper, we conduct a systematic review of the extent to which papers based on RCTs published in top economic journals address the assumptions required to establish external validity. We reviewed all RCTs published between 2009 and 2014 in the *American Economic Review*, the *Quarterly Journal of Economics*, *Econometrica*, the *Journal of Public Economics*, the *Economic Journal*, the *Review of Economic Studies*, the *Journal of Political Economy* and the *American Economic Journal: Applied Economics*. As a

first step, we provide a theoretical framework that identifies the assumptions required to transfer observations made in an RCT to a non-experimental policy intervention in a different population.

The reason for higher concerns about external validity in RCTs compared to observational studies is that RCTs can mostly be done in a limited region only and rely on short period data. Observational studies, on the other hand are based on panel data that cover in many cases a long period and whole countries or more (see, for example, DEHEJIA 2015, RAVALLION 2012). Furthermore, the controlled and experimental character of RCTs is suspected to co-determine the results in a way that findings cannot be readily transferred to non-study set-ups. More specifically, to the extent participants in an RCT are aware of their participation in an experiment they can be expected to behave in a different manner than they would behave under “real-world” conditions. In addition, in many developing country contexts randomized interventions are often implemented by small non-governmental organizations (NGOs) or the researchers themselves, which might lead to more positive results than what can be expected if the intervention is implemented by a governmental agency.

These concerns about external validity are well-known and have been widely discussed. A very prominent criticism has been brought forward by Dani Rodrik (RODRIK 2009). He argues RCTs require “credibility-enhancing arguments” to support their external validity – just as observational studies have to argue on the internal validity side. Already in 2005, during a symposium on “New directions in development economics: Theory or empirics?” Abhijit Banerjee, one of the most prominent proponents of RCTs, acknowledged the requirement to establish external validity for RCTs (BANERJEE 2005). He explicitly stressed potential limitations in transferring experimental findings from one region to another. In addition, Banerjee emphasized the threat of general equilibrium effects for the external validity of some RCTs and like Rodrik he calls for arguments that establish the external validity of RCTs. To conclude, Banerjee and Rodrik seem to agree that external validity is never

a self-evident fact in empirical research and that particularly RCTs have to discuss the extent to which the results are generalizable.

Against this background, we examine the extent to which the papers published in leading journals follow the recommendation of Banerjee and Rodrik. More explicitly, we are interested in how RCTs are implemented and how the results from these evaluations are reported. In total, we identified 92 RCT-based papers in the above mentioned journals. Our focus is on program evaluation and we therefore excluded lab experiments and artefactual field experiments (see Section 3.1). The identified papers were scrutinized with regards to the different hazards to external validity.

In order to identify these hazards, we establish a theoretical framework that deduces the required assumptions to transfer the findings from an RCT to another policy population. We merge a model from the philosophical literature on the probabilistic theory of causality provided by CARTWRIGHT (2010) with the nomenclature that is used in the economics literature. For the latter, we use the seminal toolkit for the implementation of RCTs by DUFLO, GLENNERSTER, AND KREMER (2008). We identify four hazards to external validity: i) Hawthorne and John Henry Effects, ii) general equilibrium effects, iii) specific sample problems, and iv) problems that occur when the treatment in the RCT is provided with special care compared to how it would be implemented under real-world conditions. Along the lines of these hazards we first formulated 10 questions, then read all 92 papers carefully and asked each of them these 10 questions. All questions can be objectively answered by 'yes' or 'no', no subjective rating is involved.

In the remainder of the paper we first present the theoretical framework of what constitutes external validity and the respective hazards to it (Section 2), before the methodological approach and the 10 questions are discussed (Section 3). The results are presented in Section 4. Section 5 concludes.

2. Theoretical Background and Definition of External Validity

2.1. Theoretical Framework

The understanding of what external validity exactly is and how it might be threatened is not clearly defined in the literature. The pertinent question we would like to raise is the extent to which an internally valid finding obtained in an RCT is relevant for policy makers who want to implement the same intervention in a different policy population. CARTWRIGHT (2010) defines external validity in a way that is also coherent with the understanding conveyed in DUFLO, GLENNERSTER AND KREMER (2008): “External validity has to do with whether the result that is established in the study will be true elsewhere.” Cartwright provides a model that is based on the probabilistic theory of causality.¹ Based on this model we establish a simple framework to identify the assumptions that have to be made when transferring the results from an RCT to what a policy maker can expect if she brings the intervention to scale under real-world conditions. Suppose we are interested in whether a policy intervention C affects a certain outcome E , we can state that C causes E if

$$P(E|C\&U\&K_i) > P(E|\bar{C}\&U\&K_i)$$

where U denotes potential confounding factors that codetermine E and K_i describes the environment and intervention particularities under which the observation is made. In an RCT it is appropriate to argue that confounding factors U – observable and non-observable ones – are controlled for. This is what internal validity refers to. Assume this causal relationship was observed in population A and we want to transfer it to a situation in which C is introduced to another population A' . In this case, Cartwright points out that those observations K_i have to be identical in both populations A and A' as soon as they interfere with the treatment effect. More specifically, Cartwright formulates the following assumptions that are required:

¹ In the same vein, PEARL AND BAREINBOIM (2014) confirm that “the conditions that permit such transport [experimental results to a policy population] have not received systematic formal treatment” and provide theoretical guidance in extrapolating findings from an experimental study to other settings.

- (i) A needs to be a representative sample of A'
- (ii) C is introduced in A' as it was in the experiment in A
- (iii) The introduction leaves the causal structure in A' unchanged

In order to translate the assumptions identified by Cartwright to the language that is widely used in the economics literature we refer to the toolkit on how to implement RCTs by DUFLO, GLENNERSTER AND KREMER (2008, DGK in the following). Fully in line with Cartwright, DGK introduce external validity as the question “[...] whether the impact we measure would carry over to other samples or populations. In other words, whether the results are generalizable and replicable” (p. 3950).

The four hazards to external validity that are identified by DGK reflect the assumptions formulated by Cartwright: the specific sample problem (i.), Hawthorne/John Henry Effects and the special care problem (both ii.), as well as General Equilibrium Effects (iii.). The following section presents these hazards to external validity in more detail.

2.2. Potential Hazards to External Validity

In order to guide the introduction to the different hazards of external validity we use a stylized intervention C of a randomized cash transfer given to young adults in an African village. Suppose the transfer is randomly assigned among men in the village. The evaluation examines the consumption patterns of these young men, which is our outcome E . We might observe that the transfer receivers use the money to buy some food for their families, football shirts and air time for their cell phones. In comparison, those villagers, who did not receive the transfer, will buy fewer products. What would this observation tell us about giving a cash transfer to people in different set-ups? The answer to this question depends on the external validity and

thus the assumptions identified in the previous subsection based on Cartwright's model and DGKs' nomenclature.

The first of four identified hazard arises from potential **general equilibrium effects** (GEE).² Such GEE only become noticeable if the program is upscaled to a broader population or extended to a longer term. In the stylized cash transfer example provided above, GEE occur if many villagers in the village receive transfer payment and some of the products that young male villagers want to buy become scarcer and, thus, more expensive. The severity of GEE depends on some parameters, most notably the regional coverage of the RCT and the impact indicators the study looks at. For market based outcomes like wages or employment status GEE can be expected to be stronger than for non-market outcomes like immunization in a vaccination program, because an effect on outcomes in markets also affects other outcomes in the same market, at the latest if the intervention is upscaled. Hence, the hazard that GEE constitute for the external validity of a study vary with the indicator we look at and only a profound discussion on the GEE relevant features can provide Rodrik's "credibility-enhancing arguments".

Hawthorne and John Henry effects might occur if the participants in an RCT know or notice that they are participating in an experiment and that they are under observation.³ It is obvious that this could lead to an altered behavior in the treatment group (Hawthorne effect) and/or the control group (John Henry effect).⁴ In the stylized cash transfer example above the receiver of the transfer can be expected to spend the money for other purposes in case he knows that his behavior is under observation. It is also obvious that such behavioral responses clearly differ between different experimental set-ups. If the experiment is embedded into a business-as-usual set up, distortions of participants' behavior is very unlikely. ANDERSON AND

² See CRÉPON ET AL. (2013) for an example of such GEE in a randomized labor market program, in which treated participants benefited at the expense of non-treated participants.

³ The Hawthorne effect in some cases cannot be distinguished from survey effects, the Pygmalion effect, and the observer-expectancy effect (see BULTE ET AL. 2012). All of these effects, which generally also might occur in observational studies, can be amplified by the Hawthorne effect and the experimental character of the study.

⁴ See BULTE ET AL. (2012) for evidence on strong Hawthorne effects in an experiment in Tanzania.

SIMESTER (2010), for example, send out catalogues without mentioning an experiment or a study related to the catalogues towards the recipients. In contrast, if the randomized intervention interferes noticeably with the participants' daily life (for example, an NGO appearing in an African village to randomize a certain training measure among the villagers), participants will probably behave differently than they would under non-experimental conditions.⁵ Qualitative or quantitative evidence on how the experiment was implemented and conceived can provide Rodrik's "credibility-enhancing arguments".

The third hazard to external validity that DGK discuss is the **specific sample problem**, which occurs if the study population is different from the policy population in which the intervention will be brought to scale. Taking the cash transfer example, the treatment effect for young male adults can be expected to be different if the cash transfer is given to young female or to young male adults in a different part of the country with better education levels. Even if a RCT covers the whole country (as in the case of the PROGRESA program in Mexico), specific sample problems might occur to the extent to which the findings are transferred to other countries. ALLCOTT (2015) provides evidence for differing treatment effects in homogenous RCTs conducted in different regions.

A fourth hazard appears if the treatment in the RCT is provided with what DGK call **special care**, which makes the implementation of the treatment different from what would be done in an upscaled program. In the stylized cash transfer example, an upscaled lump sum payment would perhaps be provided by a larger implementing agency with less personal contact. BOLD ET AL. (2013) provide compelling evidence for the special care-effect in an RCT that was scaled up based on positive effects observed in a smaller RCT conducted by DUFLO ET AL. (2011b). The major difference was that the scaled program examined in Bold et al. was implemented by the national government, whereas the smaller one examined by Duflo et al. had been

⁵ CILLIERS ET AL. (2015) provide evidence for the distorting effects of foreigner presence in framed field experiments in developing countries.

implemented by an NGO. The positive results could not be replicated. According to the authors:

“Our results suggest that scaling-up an intervention (typically defined at the school, clinic, or village level) found to work in a randomized trial run by a specific organization (often an NGO chosen for its organizational efficiency) requires an understanding of the whole delivery chain. If this delivery chain involves a government Ministry with limited implementation capacity or which is subject to considerable political pressures, agents may respond differently than they would to an NGO-led experiment” (p. 29f.).

Further evidence on the special care problem is provided by ALLCOTT (2015). He shows that electricity providers that implemented RCTs in cooperation with a large research program to evaluate household energy conservation instruments are systematically different from those electricity providers that do not participate in this program. This hints at what Allcott refer to as “site selection bias”: Organizations that agree to cooperate with researchers on an RCT can be expected to be different compared to those that do not. This difference, for example more motivated staff or some sort of research affinity, can also be expected to translate into a higher general effectiveness. Therefore, the effectiveness observed in RCTs is probably higher than it will be when the evaluated program is scaled to those organizations that did not cooperate with researchers at first.

In Section 3.2, these hazards to external validity are translated into the objective questions to be asked during the review of published RCTs.

3. Methods and Data

3.1. Review approach

We reviewed all RCTs published between 2009 and 2014 in the leading journals in economics. We included the five most important economics journals, namely the *American Economic Review*, *Econometrica*, the *Quarterly Journal of Economics*, the *Journal of Political Economy*, and the *Review of Economic Studies*.⁶ In addition, we included further leading general interest journals that publish empirical work and RCTs in particular: *The Economic Journal*, the *Journal of Public Economics*, and the *American Economic Journal: Applied Economics*.

We scrutinized all issues in the period; all papers that mention either the terms “field experiment”, “randomized controlled trials” or “experimental evidence” in either the title or the abstract or that indicated in the abstract or the title that a policy intervention was randomly introduced were examined further. Thereby, 149 papers were initially identified. We used the taxonomy by HARRISON AND LIST (2004) to identify RCTs that intend to evaluate a policy intervention. Lab experiments and what Harrison and List classify as “artefactual field experiments” are excluded from this review, because they are mostly used to test parameters of economic behavior and not to evaluate a certain policy or program. In most cases, the demarcation was very obvious and we subsequently excluded 57 papers; most of them because they could be classified as artefactual experiments or quasi-experiments.⁷ In total, we found 92 papers based on an RCT to evaluate a certain policy intervention. The distribution across journals is uneven with the vast majority being published in the *American Economic Journal: Applied Economics*, the *American Economic Review* and the *Quarterly Journal of Economics* (see Figure 1).

⁶ We exclude papers from the yearly *Papers & Proceedings* Issue of the *American Economic Review*.

⁷ A comprehensive list of both included and excluded papers can be found in appendix A and B, respectively.

Figure 1: Published RCTs between 2009 and 2014 (92 studies included in total, frequencies in brackets)

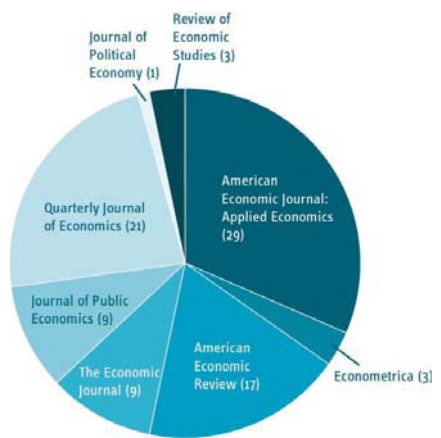
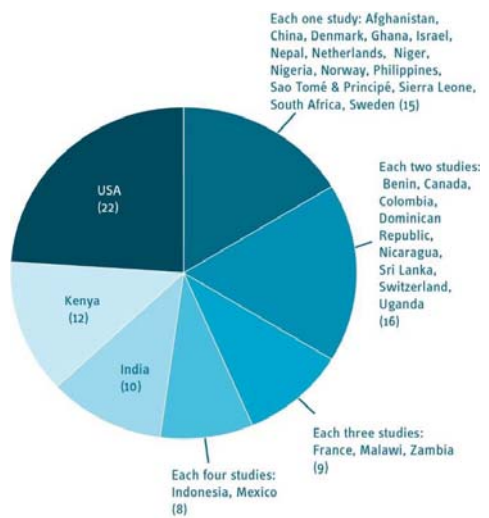


Figure 2 depicts the regional coverage of the surveyed RCTs. The number of RCTs implemented in Kenya is due to the strong connection that the two dominating organizations that conduct RCTs (Innovation for Poverty Action, IPA, and the Abdul Latif Jameel Poverty Action Lab J-Pal) have to the country. Most of their studies were implemented in Kenya’s Western Province by the Dutch NGO International Child Support (ICS), for long IPA’s and J-Pal’s cooperation partner in the country.⁸

Figure 2: Countries of implementation (92 studies included in total, frequencies in brackets)



⁸ See ROETMAN (2011) for more information on the genesis of RCTs in Kenya and the role of ICS.

We read all 92 papers (including the online appendix) carefully and each paper was asked 10 *objective* questions related to external validity and the four hazards to it outlined in Section 2. All questions can be objectively answered by either ‘yes’ or ‘no’ and simply examine whether the “credibility-enhancing arguments” are provided to underpin the plausibility of external validity. Appendix A in the Annex shows the answers to the 10 questions for all surveyed papers individually. In general, we answered the questions conservatively, i.e. when in doubt we answered in favor of the paper. We abstained from applying subjective ratings in order to avoid room for arbitrariness. A simple report on each paper displays the answers to the 10 questions and the quote from the paper relevant to the respective answer. We sent these reports out to the 73 lead authors of the 92 papers and asked them to review our answers for their paper(s). For 54 of the 92 papers we received feedback. In 16 cases (out of 920 questions and answers in total), we changed an answer from ‘no’ to ‘yes’. The comments we received from the authors were included in the reports, if necessary followed by a short reply. The revised reports were sent again to the authors for their information and can be found in the online appendix.⁹

3.2. Ten questions

In this section we present the questions we asked to every paper included in our review. Not all of these ten questions are equally important. Three of the ten questions ask for whether certain terms are used in a paper (Hawthorne and John Henry effects, general equilibrium effects, generalizability of the sample; Question 1, 4 and 7). This is rather to capture how established these concepts are and whether a uniform nomenclature exist. Obviously, many papers deal with a certain dimension of external validity without using the identified terms. Therefore, the more significant questions are those on whether the respective dimension of external validity is discussed – irrespective of the terms that are used (Question 3, 5, 6, 7, 8 and 9) or if the required information is provided (Question 2).

⁹ The online appendix can be obtained from the authors upon request.

In order to elicit the extent the paper accounts for *Hawthorne and John Henry* effects we first asked the following objective questions:

1. Does the paper explicitly mention the term “Hawthorne effect” or “John-Henry effect”?¹⁰
2. Does the paper explicitly say whether participants are aware (or not) of being part of an experiment or a study?¹¹

The second question accounts for whether a paper provides the information that is minimally required to assess whether Hawthorne and John-Henry effects might occur. More would be desirable: In order to make a substantiated assessment whether Hawthorne-like distortions could be at work, information on the implementation of the experiment, the way how participants were contacted, which explanations they received, and the extent to which they were aware of a an experiment should be presented. We assume (and confirmed in the review) that papers that receive a ‘no’ for Question 2 do not discuss these issues, because a statement on the participants’ awareness of the study is the obvious point of departure for this discussion. It is important to note that unlike lab or medical experiments participants in social science RCTs are not always aware of participating in an experiment.

Only for those papers that explicitly state that people are aware of being part of an experiment we additionally raise the question:

3. If people are aware of being part of an experiment or a study, does the paper (try to) account for Hawthorne or John-Henry effects (1. in the design of the

¹⁰ We also checked papers for comparable terms referring to the same problem (e.g. randomization bias), but did not encounter any paper that used a different term.

¹¹ In a strict sense, Hawthorne and John-Henry effects (in demarcation to survey effects, desirability bias etc.) are induced by the experimental character of a study, not by the mere survey. Some papers that do discuss Hawthorne-like biases do not make this demarcation in an entirely clear way. In order to draw a conservative picture, we also assigned a ‘yes’ to Q2 in such cases, i.e. if a paper explicitly mentions participants’ awareness of a study only.

study, 2. in the interpretation of the treatment/mechanisms, 3. in the interpretation of the size of the impact)?

The next set of questions probes into *general equilibrium effects*. As outlined in Section 2, we define general equilibrium effects as changes due to an intervention that occur in a noticeable way only after a longer time period or if the intervention is upscaled. We reviewed the papers asking the following question:

4. Does the paper explicitly mention the term general equilibrium effects?

We also answered this question with ‘yes’ if a paper mentions the term “partial equilibrium effects”, since it is perfectly complementary to GEE. Moreover, a ‘yes’ was also assigned to papers that mention the term “macroeconomic effects”, because it refers to the same concept as GEE. Two further questions capture the two transmission channels via which GEE might materialize:

5. Does the paper explicitly discuss what might happen if the program is upscaled?¹²
6. Does the paper explicitly discuss if and how the treatment effect might change in the long run?

For both questions, we give the answer ‘yes’ as soon as the respective issue is mentioned in the paper, irrespective of whether we consider the discussion to be comprehensive.

The third hazard is what DGK call the *specific sample problem*. Question 7 covers this by asking whether one of the widely used terms is mentioned in the respective paper, Question 8 asks whether the representativeness for a different policy population is discussed.

¹² Obviously, this question does not apply to programs that are already implemented at scale, for example country wide. Only four papers in our review use data based on such a program (all on the Mexican PROGRESA program). We excluded these four papers from Question 5.

7. Does the paper explicitly mention one of the terms transferability of results, generalizability of results, extrapolation of results or external validity of results?
8. Does the paper discuss the representativeness of the study population for the policy population?

As soon as a paper contains such considerations, we answered the question with 'yes', irrespective of our personal judgement on whether we deem the statement to be plausible and comprehensive.

The fourth hazard, special care, is accounted for by two questions:

9. Does the paper discuss particularities of how the randomized treatment was provided in demarcation to a (potential) real-world intervention?

As soon as the paper makes a statement on the design of the treatment compared to the potential real-world treatment, we answered the question with 'yes', again irrespective of our personal judgement whether we deem the statement to be plausible and comprehensive.

In addition, to account for the concern that RCTs implemented by NGOs or researchers themselves might be more effective than scaled programs implemented by, for example, government agencies, we elicit for every paper:

10. Who is the implementation partner of the RCT?

4. Results

Table 1 shows the results for the ten questions asked to every paper. Answers to Questions 1, 4, and 7 show that only a minority of papers uses the terms referring to Hawthorne and John-Henry effects, general equilibrium effects, or specific sample problems. No uniform nomenclature exists. More importantly, we find that a large number of papers also do not discuss these potential problems and hence the required assumptions to generalize the findings. It is particularly striking that only 46 percent of the published papers mention whether people are aware of being part of an experiment (Question 2). This number also reveals that it is far from being common practice in the economics literature to publish the protocol of the experiment or the communication with the participants. Some papers even mention letters that were sent or read to participants but do not publish the content (including the appendix).

Only 50 percent of all papers discuss implications for long-term effects (Question 5). Here, it is important to note that many studies look at effects in the short- or mid-term only. Three fourth of the reviewed papers examine impacts less than two years after the randomized treatment (not shown in the table). While this is in most cases probably inevitable for practical reasons, a discussion whether treatment effects might change in the long run, for example based on qualitative evidence or theoretical considerations, would be desirable. Note that most of the papers that do discuss long-term effects are those that in fact look at such long-term effects. In other words, a small minority of papers that only look at very short term effects does provide a discussion of potential changes in the long run.

Potential changes in treatment effects in case the intervention is brought to scale are hardly discussed (Question 6, 35 percent of papers). 34 percent of the papers do not mention GEE related issues at all (i.e. received a 'no' for Question 4, 5 and 6, not shown in Table 1).

Table 1: Reporting on external validity in published RCTs

| Question | Answer is yes (in percent) |
|--|-------------------------------|
| <i>Hawthorne and John-Henry Effect</i> | |
| 1. Hawthorne or John-Henry Effect are explicitly mentioned? | 11 |
| 2. Does the paper explicitly say whether participants are aware of being part of an experiment or a study? | 46 |
| 3. Does the paper (try) to account for Hawthorne or John Henry effects?* | 25 |
| <i>General Equilibrium Effects</i> | |
| 4. General Equilibrium Effects are mentioned? | 17 |
| 5. Discusses what happens if program is upscaled?† | 35 |
| 6. Discusses changes to treatment effects in the long run? | 50 |
| <i>Specific Sample Problems</i> | |
| 7. Transferability/generalizability/external validity/extrapolation of results mentioned? | 48 |
| 8. Representativeness of study population discussed? | 62 |
| <i>Special Care</i> | |
| 9. Particularities of how the randomized treatment was provided in demarcation to a (potential) real-world intervention discussed? | 12 |

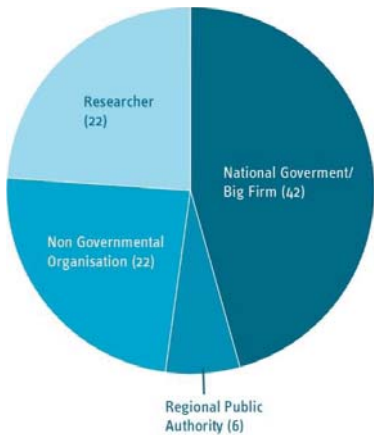
* Question 3 only applies to those 32 papers that explicitly state that participants are aware of being part of an experiment.

† Note that 4 papers were excluded from this question, since they evaluate an already upscaled intervention.

As can be seen in the answers to Question 7, the terms on specific sample problems are used comparatively widespread. Slightly less than half of the published papers mention one of these terms (48 percent). 62 percent of papers discuss the extent to which the studied population is representative for a certain policy population or not. While this is the best result among the different dimensions of external validity hazards examined in our analysis, combining the results of question 7 and 8 shows that still 26 percent of the papers do neither mention one of the terms nor discuss its representativeness and generalizability (not shown in Table 1).

As the results for Question 9 show, only 12 percent discuss the special care problem, i.e. the particularities of how the randomized treatment was provided in demarcation to a (potential) real-world intervention. The results on Question 10 are shown in Figure 3 and suggest that such a discussion would be appropriate in many cases. Almost half of the RCTs were implemented by either the researchers themselves or an NGO. The other half of published RCTs was implemented by either a large firm or a governmental body – which resembles most to the natural business-as-usual situation. For RCTs in developing countries, even more than 60 percent were implemented by either the researchers or an NGO (not shown in Figure 3). In these contexts the external validity concern is probably highest, since the intervention – if brought to scale – would in most cases be implemented by the government with obvious implications for the effectiveness.¹³

Figure 3: Implementation partners of published RCTs (92 studies included in total, frequencies in brackets)



Note: “Regional public authority” comprises all interventions that were implemented on a local level (and not country-wide) by regional governments, schools, or universities.

¹³ It could of course be argued that NGOs can also be considered as “business-as-usual”, since many real-world interventions, especially in developing countries, are implemented by NGOs. However, for most of the 19 RCTs that were implemented by an NGO, the cooperating NGO was a rather small one and regionally limited in its activities. Thus, bringing the intervention to scale would be the task of either the government or a larger NGO with potential implications for the efficacy of the intervention.

Table A1 in the online appendix¹⁴ provides a further decomposition of the results presented in Table 1 and shows the share of ‘yes’-answers for the respective year of publication. There is some indication for a slight improvement from 2009 to 2014, but only for certain questions. For Question 2 on people’s awareness of being part in a study and Question 6 on the implications of upscaling the share of ‘yes’-answers increases to over 50 percent. For the specific sample dimension the share of ‘yes’ answers to Question 8 is higher in 2014 than in 2009, but lower than in 2012 and 2013. For all other questions, we do not observe major differences. Overall, there is no clear trend towards a systematic and transparent discussion of external validity issues.

5. Conclusion

In theory there seems to be a consensus among empirical researchers that establishing external validity of a policy evaluation study is as important as establishing its internal validity. Against this background, this paper has systematically reviewed the existing RCT literature in order to examine the extent to which external validity concerns are addressed in the practice of conducting and publishing RCTs for policy evaluation purposes. We have identified all 92 papers based on RCTs that evaluate a policy intervention and that are published in the leading economic journals between 2009 and 2014. We reviewed them with respect to whether the published papers address the different hazards of external validity that we developed based on the toolkit for the implementation of RCTs by DUFLO, GLENNERSTER AND KREMER (2008).

Many published RCTs do not provide a comprehensive presentation of how the experiment was implemented. More than half of the papers do not even provide the reader with information on whether the participants in the experiment are aware of being part of an experiment – which is crucial to assess whether Hawthorne- or John-Henry-effects could codetermined the outcomes in the RCT. It is true that in some cases it is somewhat obvious whether participants were or were not aware. In most

¹⁴ The online appendix can be obtained from the authors upon request.

cases, though, it is not. In addition, even if it is somewhat obvious that people indeed were aware, it is important to know what exactly participants were told and the evaluated indicators might be vulnerable to Hawthorne like distortions.

Further, potential general equilibrium effects are only rarely addressed. This is above all worrisome in case outcomes involve price changes (e.g. labor market outcomes) with straightforward repercussions when the program is brought to scale. For specific sample issues, the majority of papers discuss (or at least mention) the extent to which the study population is an appropriate representation of the broader policy population. For all of our results, it is important to emphasize that we answered all questions very conservatively. The questions were answered 'yes' if the paper contains only a brief discussion of the respective issue, irrespective of whether we deemed this discussion to be comprehensive or the argument to be sufficiently substantiated.

In general, external validity is not a binary feature. As a matter of course, a study's findings are not either externally valid or not. In fact, there is a wide variety between the papers we reviewed in the extent to which the external validity of their findings is at stake. Some are less exposed to Hawthorne effects (for example, because there is hardly any perceivable contact with the participants) and specific sample problems (for example because they use samples that are representative for a whole country). In other cases, strong doubts prevail, for example because only small excerpts of the policy population are studied and there is intense contact between the field researchers and the participants. We believe that such qualitative differences call for a careful discussion of these issues to allow the reader to separate studies that are very prone to a certain problem from those that are not. However, in many of the studies we reviewed, the assumptions that the authors make in generalizing their results, as well as respective limitations to the inferences we can draw, are left behind a veil.

It is sometimes argued that most researchers do account for external validity issues in the design phase of the study and just do not include the measures and

considerations in the published paper. While this is certainly true, we nonetheless believe that one of the major objectives of policy evaluation is to inform policy. This thinking implies that the research published in these journals is not only targeted at an academic audience, but also at a policy-oriented audience (including, among other, decision-makers or journalists). This audience, in particular, needs all the information necessary to make informed judgements on the extent to which the findings are transferable to other regions and non-experimental business-as-usual settings. Thus, even if external validity issues were accounted for in a study design, it is unfortunate that these design features and thus the assumptions the researchers make on the different dimensions of external validity are not made transparent in the papers (or at least in an appendix). A more transparent reporting would also lead to a situation in which RCTs that properly accounted for the potential hazards to external validity receive more attention than those that did not. Indeed, CARTWRIGHT (2010) explicitly recommends:

“A good project would be to lay out the assumptions for various ways of inferring policy predictions from RCTs on all three accounts [authors’ note: assumptions i)-iii) in our Section 2.1], side-by-side, so that for any given case one could study the assumptions to see which, if any, the case at hand might satisfy.” (p. 69)

We therefore call for dedicating the same devotion to establishing external validity as is done to establish internal validity. It would be desirable if the peer review process at economics journals explicitly scrutinized design features of RCTs that are relevant for extrapolating the findings to other settings and the respective assumptions made by the authors. For some features this does not need to be more than a checklist and short statements that could be included in an electronic appendix. The CONSORT statement used in medical research could be a starting point for deriving such a checklist.¹⁵ In some more critical cases, a checklist would disclose the necessity to provide more qualitative “credibility-enhancing arguments” or additional data.

In a nutshell, papers should discuss the extent to which the different hazards to external validity apply. Only if researchers know already in the design phase of a

¹⁵ After its first introduction in 1996, the list has been updated two times and its last version is from 2010 (MOHER ET AL. 2010).

study that they will need to provide such checklists and discussions, they will have clear incentives to account for external validity issues in the study design. Otherwise, external validity degenerates to a “nice-to-have” feature that researchers account for voluntarily and for intrinsic reasons. This will probably work in many cases, but given the trade-offs we all face during the laborious implementation of studies it is almost certain that external validity will often be sacrificed for other features to which the peer-review process currently pays more attention.

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Appendix A: Reviewed Papers and Ratings

| Author | Question 1: HJHE mentioned? | Question 2: Participants aware of experiment / study? | Question 3*: Account for HJHE? | Question 4: GEE mentioned? | Question 5: Upscaling discussed? | Question 6: Long-run discussed? | Question 7: Generalizability discussed? | Question 8: Representativeness discussed? | Question 9: Special Care discussed? | Question 10: Implementation partner? |
|-----------------------------|--------------------------------|--|-----------------------------------|-------------------------------|-------------------------------------|------------------------------------|--|--|--|---|
| Aker et al. (2012) | No | No | N/A | No | Yes | Yes | No | Yes | No | NGO |
| Alatas et al. (2012) | No | Yes | Participants are NOT aware | No | No | Yes | Yes | Yes | No | Government |
| Allcot (2011) | No | No | N/A | No | No | No | Yes | Yes | No | Firm |
| Allcott, Rogers (2014) | No | No | N/A | No | No | Yes | Yes | Yes | No | Firm |
| Anderson, Simester (2010) | No | No | N/A | No | No | Yes | Yes | Yes | No | Firm |
| Angelucci, De Giorgi (2009) | No | No | N/A | Yes | Excluded for this question | No | No | No | No | Government |
| Angelucci et al. (2010) | No | No | N/A | Yes | Excluded for this question | No | Yes | Yes | No | Government |
| Angrist et al. (2009) | No | Yes | No | No | No | No | No | No | No | Regional Public Authority |
| Angrist, Lavy (2009) | No | No | N/A | No | No | Yes | No | Yes | No | Government |
| Ashraf et al. (2010) | No | Yes | Yes | No | No | Yes | Yes | Yes | No | NGO |

*Question 3 only applies to papers that explicitly state that participants are aware of being part of an experiment.
* The paper does discuss the underlying concept of generalizability to some degree, but does not mention the term explicitly. In order to avoid any arbitrariness, we nonetheless answer this question with 'no'.
*The paper does discuss the underlying concept of GEE to some degree, but does not mention the term explicitly. In order to avoid any arbitrariness, we nonetheless answer this question with 'no'.

| Author | Question 1: HJHE mentioned? | Question 2: Participants aware of experiment / study? | Question 3*: Account for HJHE? | Question 4: GEE mentioned? | Question 5: Upscaling discussed? | Question 6: Long-run discussed? | Question 7: Generalizability discussed? | Question 8: Representativeness discussed? | Question 9: Special Care discussed? | Question 10: Implementation partner? |
|------------------------------|--------------------------------|--|-----------------------------------|-------------------------------|-------------------------------------|------------------------------------|--|--|--|---|
| Ashraf et al. (2014a) | Yes | Yes | Participants are NOT aware | No | Yes | Yes | Yes | No | Yes | NGO |
| Ashraf et al. (2014b) | No | Yes | No | No | No | Yes | Yes | Yes | No | Researcher |
| Attanasio et al. (2011) | No | No | N/A | Yes | Yes | No | No | Yes | No | Government |
| Attanasio et al. (2012) | No | No | N/A | Yes | Excluded for this question | Yes | No | No | No | Government |
| Avvisati et al. (2014) | Yes | Yes | Yes | No [#] | Yes | Yes | Yes | Yes | No | Government |
| Baird et al. (2011) | No | Yes | Yes | No | No | No | Yes | No | No | NGO |
| Barrera-Osorio et al. (2011) | No | Yes | No | No | No | No | No | No | No | Regional Public Authority |
| Barton et al. (2014) | No | Yes | Participants are NOT aware | No | No | No | No | No | No | Researcher |
| Behaghel et al. (2014) | No | No | N/A | Yes | No | No | No | No | No | Government |
| Benmarker et al. (2013) | No | Yes | No | No | Yes | Yes | No | Yes | No | Government |
| Bertrand et al. (2010) | No | No | N/A | No | No | No | No | Yes | No | Firm |
| Bettinger et al. (2012) | No | Yes | No | No | No | Yes | No | No | No | Firm |

*Question 3 only applies to papers that explicitly state that participants are aware of being part of an experiment.

[†] The paper does discuss the underlying concept of generalizability to some degree, but does not mention the term explicitly. In order to avoid any arbitrariness, we nonetheless answer this question with 'no'.

[#] The paper does discuss the underlying concept of GEE to some degree, but does not mention the term explicitly. In order to avoid any arbitrariness, we nonetheless answer this question with 'no'.

| Author | Question 1: HJHE mentioned? | Question 2: Participants aware of experiment / study? | Question 3*: Account for HJHE? | Question 4: GEE mentioned? | Question 5: Upscaling discussed? | Question 6: Long-run discussed? | Question 7: Generalizability discussed? | Question 8: Representativenss discussed? | Question 9: Special Care discussed? | Question 10: Implementation partner? |
|---------------------------|--------------------------------|--|-----------------------------------|-------------------------------|-------------------------------------|------------------------------------|--|---|--|---|
| Björkman, Svernsso (2009) | No | No | N/A | No | Yes | Yes | Yes | No | Yes | NGO |
| Blattman et al. (2014) | No | Yes | No | Yes | Yes | Yes | Yes | Yes | No | Government |
| Blimpo (2014) | No | Yes | No | Yes | Yes | No | No | No | No | Researcher |
| Bloom et al. (2013) | Yes | Yes | Yes | No | No | Yes | No | Yes | No | Researcher |
| Burde, Linden (2013) | No | No | N/A | No | No | No | No | No | No | NGO |
| Casey et al. (2012) | No | No | N/A | No | No | Yes | No | Yes | No | Government |
| Charness, Gneezy (2009) | No | Yes | No | No | No | Yes | No | No | No | Researcher |
| Chen et al. (2010) | No | Yes | No | No | No | No | Yes | Yes | No | Researcher |
| Chetty et al. (2011) | No | No | N/A | Yes | No | Yes | No | Yes | No | Government |
| Chetty, Saez (2013) | No | No | N/A | No | No | No | No | No | No | Firm |
| Chinkhumba et al. (2014) | No | Yes | No | No | Yes | No | Yes | Yes | No | NGO |

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[‡] The paper does discuss the underlying concept of generalizability to some degree, but does not mention the term explicitly. In order to avoid any arbitrariness, we nonetheless answer this question with 'no'.
[§] The paper does discuss the underlying concept of GEE to some degree, but does not mention the term explicitly. In order to avoid any arbitrariness, we nonetheless answer this question with 'no'.

| Author | Question 1: HJHE mentioned? | Question 2: Participants aware of experiment / study? | Question 3*: Account for HJHE? | Question 4: GEE mentioned? | Question 5: Upscaling discussed? | Question 6: Long-run discussed? | Question 7: Generalizability discussed? | Question 8: Representativeness discussed? | Question 9: Special Care discussed? | Question 10: Implementation partner? |
|----------------------------|--------------------------------|--|-----------------------------------|-------------------------------|-------------------------------------|------------------------------------|--|--|--|---|
| Cohen, Dupas (2010) | No | No | N/A | Yes | Yes | Yes | Yes | No | No | Researcher |
| Collier, Vicente (2014) | No | No | N/A | No | No | No | No | Yes | No | NGO |
| Crépon et al. (2013) | No | No | N/A | Yes | Yes | Yes | No | No | No | Government |
| Das et al. (2013) | Yes | No | N/A | No | Yes | Yes | Yes | Yes | Yes | NGO |
| De Grip, Sauermaann (2012) | No | Yes | Participants are NOT aware | No | Yes | No | No | No | No | Firm |
| de Mel et al. (2009a) | No | No | N/A | No | No | No | Yes | Yes | No | Researcher |
| de Mel et al. (2013) | No | Yes | No | No | No | No | Yes | Yes | No | Researcher |
| Dewan et al. (2014) | No | No | Yes | No | No | No | No | Yes | No | NGO |
| Drexler et al. (2014) | No | No | N/A | No [#] | No | No | No | No | No | Firm |
| Duflo et al. (2011a) | No | No | N/A | No | Yes | No | Yes | Yes | Yes | NGO |
| Duflo et al. (2011b) | No | No | N/A | No | Yes | No | No | No | No | NGO |

*Question 3 only applies to papers that explicitly state that participants are aware of being part of an experiment.
[‡] The paper does discuss the underlying concept of generalizability to some degree, but does not mention the term explicitly. In order to avoid any arbitrariness, we nonetheless answer this question with 'no'.
[#] The paper does discuss the underlying concept of GEE to some degree, but does not mention the term explicitly. In order to avoid any arbitrariness, we nonetheless answer this question with 'no'.

| Author | Question 1: HJHE mentioned? | Question 2: Participants aware of experiment / study? | Question 3*: Account for HJHE? | Question 4: GEE mentioned? | Question 5: Upscaling discussed? | Question 6: Long-run discussed? | Question 7: Generalizability discussed? | Question 8: Representativeness discussed? | Question 9: Special Care discussed? | Question 10: Implementation partner? |
|--------------------------|--------------------------------|--|-----------------------------------|-------------------------------|-------------------------------------|------------------------------------|--|--|--|---|
| Duflo et al. (2012) | No | Yes | No | No | No | Yes | Yes | Yes | Yes | NGO |
| Duflo et al. (2013) | Yes | No | N/A | No | No | Yes | Yes | No | No | Regional Public Authority |
| Dupas (2011) | No | No | N/A | Yes | Yes | Yes | Yes | Yes | Yes | NGO |
| Dupas (2014) | No | Yes | No | No | Yes | Yes | Yes | No | Yes | Researcher |
| Dupas, Robinson (2013a) | No | Yes | No | Yes | Yes | Yes | Yes | Yes | No | Firm |
| Dupas, Robinson (2013b) | No | Yes | No | No | Yes | Yes | Yes | Yes | No | Researcher |
| Fairlie, London (2012) | No | Yes | No | No | No | Yes | Yes | Yes | No | Regional Public Authority |
| Fairlie, Robinson (2013) | Yes | Yes | Yes | No | No | No | Yes | Yes | No | NGO |
| Feigenberg et al. (2013) | No | No | N/A | No | No | Yes | No | Yes | No | Firm |
| Field et al. (2013) | No | No | N/A | No | Yes | Yes | No | Yes | No | Firm |

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[§] The paper does discuss the underlying concept of generalizability to some degree, but does not mention the term explicitly. In order to avoid any arbitrariness, we nonetheless answer this question with 'no'.
[‡] The paper does discuss the underlying concept of GEE to some degree, but does not mention the term explicitly. In order to avoid any arbitrariness, we nonetheless answer this question with 'no'.

| Author | Question 1: HJHE mentioned? | Question 2: Participants aware of experiment / study? | Question 3*: Account for HJHE? | Question 4: GEE mentioned? | Question 5: Upscaling discussed? | Question 6: Long-run discussed? | Question 7: Generalizability discussed? | Question 8: Representativeness discussed? | Question 9: Special Care discussed? | Question 10: Implementation partner? |
|-----------------------------|--------------------------------|--|-----------------------------------|-------------------------------|-------------------------------------|------------------------------------|--|--|--|---|
| Finkelstein et al. (2012) | No | Yes | No | Yes | Yes | Yes | Yes | Yes | No | Government |
| Fryer (2011) | No | Yes | No | No | No | No | No | Yes | Yes | Researcher |
| Fryer (2014) | No | No | N/A | No | Yes | No | No | Yes | No | Regional Public Authority |
| Fujiwara, Wantchekon (2013) | No | No | N/A | Yes | Yes | No | No | Yes | No | Researcher |
| Gerber et al. (2009) | No | Yes | Participants are NOT aware | No | No | Yes | Yes | Yes | No | Firm |
| Gertler et al. (2012) | No | No | N/A | Yes | Excluded for this question | Yes | No | No | No | Government |
| Giné et al. (2010) | No | No | N/A | No | Yes | Yes | Yes | Yes | No | Firm |
| Giné et al. (2012) | No | No | N/A | No | No | Yes | Yes | Yes | No | Government |
| Glewwe et al. (2009) | No | No | N/A | No | No | No | No | No | No | NGO |
| Glewwe et al. (2010) | No | No | N/A | No | No | No | Yes | No | No | NGO |
| Habyarimana, Jack (2011) | No | No | N/A | No | No | No | No | No | No | Researcher |
| Hanna et al. (2014) | No | No | N/A | No [#] | No | Yes | Yes | No | No | Researcher |

*Question 3 only applies to papers that explicitly state that participants are aware of being part of an experiment.
[†] The paper does discuss the underlying concept of generalizability to some degree, but does not mention the term explicitly. In order to avoid any arbitrariness, we nonetheless answer this question with 'no'.
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|-----------------------|--------------------------------|--|-----------------------------------|-------------------------------|-------------------------------------|------------------------------------|--|---|--|---|
| Jensen (2010) | No | No | N/A | No | No | Yes | No | Yes | No | Researcher |
| Jensen (2012) | No | No | N/A | No | No | No | Yes | Yes | No | Researcher |
| Jessoe, Rapson (2014) | No | Yes | No | No | No | Yes | Yes | Yes | No | Firm |
| Jones (2010) | No | No | N/A | No | No | No | No | No | No | Firm |
| Karlan et al. (2014) | No | Yes | Participants are NOT aware | No | Yes | No | Yes | Yes | Yes | Government |
| Kleven et al. (2011) | No | Yes | Participants are NOT aware | No | No | No | No | No | No | Government |
| Kling et al. (2012) | No | Yes | No | No | Yes | Yes | No | Yes | No | Researcher |
| Kremer et al. (2011) | No | No | N/A | No | No | No | No | No | No | NGO |
| Li et al. (2014) | No | Yes | No | No | Yes | Yes | Yes | No | No | Researcher |
| Macours et al. (2012) | No | No | N/A | No | No | No | No | Yes | No | Government |
| Macours, Vakis (2014) | No | Yes | No | No | No | No | No | No | No | Government |
| Mueller (2013) | Yes | Yes | Yes | No | No | Yes | Yes | No | No | Government |

*Question 3 only applies to papers that explicitly state that participants are aware of being part of an experiment.
[†] The paper does discuss the underlying concept of generalizability to some degree, but does not mention the term explicitly. In order to avoid any arbitrariness, we nonetheless answer this question with ‘no’.
[‡] The paper does discuss the underlying concept of GEE to some degree, but does not mention the term explicitly. In order to avoid any arbitrariness, we nonetheless answer this question with ‘no’.

| Author | Question 1: HJHE mentioned? | Question 2: Participants aware of experiment / study? | Question 3*: Account for HJHE? | Question 4: GEE mentioned? | Question 5: Upscaling discussed? | Question 6: Long-run discussed? | Question 7: Generalizability discussed? | Question 8: Representativeness discussed? | Question 9: Special Care discussed? | Question 10: Implementation partner? |
|--------------------------------|--------------------------------|--|-----------------------------------|-------------------------------|-------------------------------------|------------------------------------|--|--|--|---|
| Muralidharan, Venkatesh (2010) | Yes | Yes | Yes | No | No | No | No | Yes | No | NGO |
| Muralidharan, Venkatesh (2011) | Yes | No | N/A | No | Yes | Yes | No [§] | Yes | Yes | NGO |
| Olken et al. (2014) | No | No | N/A | No | Yes | Yes | No [§] | Yes | No | Government |
| Oster, Thornton (2011) | No | No | N/A | Yes | No | No | Yes | Yes | No | Researcher |
| Pallais (2014) | No | No | N/A | No [#] | No | Yes | Yes | No | No | Researcher |
| Pradhan et al. (2014) | No | No | N/A | No | No | No | Yes | Yes | No | Firm |
| Robinson (2012) | No | Yes | No | No | No | No | Yes | No | No | Researcher |
| Rockoff et al. (2012) | No | Yes | No | No | No | No | No | Yes | No | Regional Public Authority |
| Rodriguez-Planas (2012) | No | Yes | Yes | No | Yes | Yes | Yes | No | No | Government |
| Schwerdt et al. (2012) | Yes | Yes | Participants are NOT aware | No | No | Yes | No | Yes | No | Government |

* Question 3 only applies to papers that explicitly state that participants are aware of being part of an experiment.
[§] The paper does discuss the underlying concept of generalizability to some degree, but does not mention the term explicitly. In order to avoid any arbitrariness, we nonetheless answer this question with 'no'.
[#] The paper does discuss the underlying concept of GEE to some degree, but does not mention the term explicitly. In order to avoid any arbitrariness, we nonetheless answer this question with 'no'.

| Author | Question 1: HJHE mentioned? | Question 2: Participants aware of experiment / study? | Question 3*: Account for HJHE? | Question 4: GEE mentioned? | Question 5: Upscaling discussed? | Question 6: Long-run discussed? | Question 7: Generalizability discussed? | Question 8: Representativenss discussed? | Question 9: Special Care discussed? | Question 10: Implementation partner? |
|-----------------------|--------------------------------|--|-----------------------------------|-------------------------------|-------------------------------------|------------------------------------|--|---|--|---|
| Stutzer et al. (2011) | No | Yes | Participants are NOT aware | No | No | No | No | No | No | NGO |
| Tarozzi et al. (2014) | No | No | N/A | No | Yes | No | Yes | Yes | Yes | NGO |
| Telle, K. (2013) | No | Yes | Participants are NOT aware | No | No | No | Yes | Yes | No | Government |
| Vicente (2014) | No | No | N/A | No | No | No | No | Yes | No | Government |

*Question 3 only applies to papers that explicitly state that participants are aware of being part of an experiment.
[‡] The paper does discuss the underlying concept of generalizability to some degree, but does not mention the term explicitly. In order to avoid any arbitrariness, we nonetheless answer this question with 'no'.
[§] The paper does discuss the underlying concept of GEE to some degree, but does not mention the term explicitly. In order to avoid any arbitrariness, we nonetheless answer this question with 'no'.

Appendix B: Excluded Papers and Reason for Exclusion

| Author | Reason for exclusion |
|---------------------------------|------------------------------|
| Abdulkadiroğlu et al. (2011) | Natural Experiment |
| Adhvaryu (2014) | Quasi-Experiment |
| Angrist et al. (2013) | Natural Experiment |
| Armantier and Boly (2013) | Artefactual Experiment |
| Ashraf (2009) | Behavioural Field Experiment |
| Attanasio et al. (2012) | Artefactual Experiment |
| Bagues and Esteve-Volart (2010) | Natural Experiment |
| Bauer et al. (2012) | Behavioural Field Experiment |
| Beaman and Magruder (2012) | Artefactual Experiment |
| Beaman et al. (2010) | Natural Experiment |
| Beekman et al. (2014) | Artefactual Experiment |
| Besley et al. (2012) | Theoretical Paper |
| Bobonis, G. J. (2009) | Quasi-Experiment |
| Breman, A. (2011) | Behavioural Field Experiment |
| Bursztyn and Coffman (2012) | Natural Experiment |
| Cai et al. (2009) | Behavioural Field Experiment |
| Calsamiglia et al. (2010) | Artefactual Experiment |
| Carell and West (2010) | Natural Experiment |
| Carell et al. (2011) | Natural Experiment |
| Carlsson et al. (2014) | Artefactual Experiment |
| Castillo et al. (2014) | Behavioural Field Experiment |
| Cerqua and Pellegrini (2014) | Quasi-Experiment |
| Charness and Villeval (2009) | Artefactual Experiment |
| Chassang et al. (2012) | Theoretical paper about RCTs |
| Chetty et al. (2009) | Quasi-Experiment |
| De Mel et al. (2009b) | Reply to an older article |
| DellaVigna et al. (2012) | Behavioural Field Experiment |
| Deming (2011) | Natural Experiment |
| Di Tella and Schargrodsky | Natural Experiment |
| Dobbie and Fryer (2013) | Natural Experiment |
| Eriksson and Rooth (2014) | Behavioural Field Experiment |
| Field (2009) | Natural Experiment |
| Fong and Luttmer (2009) | Artefactual Experiment |
| Fong and Oberholzer-Gee(2011) | Artefactual Experiment |
| Gneezy et al. (2009) | Artefactual Experiment |
| Guryan et al. (2009) | Natural Experiment |
| Hjort (2014) | Natural Experiment |

| Author | Reason for exclusion |
|----------------------------|------------------------------|
| Huck and Rasul (2011) | Behavioural Field Experiment |
| Jacob and Ludwig (2012) | Natural Experiment |
| Karlan et al. (2011) | Behavioural Field Experiment |
| Karlan and Zinman (2009) | Behavioural Field Experiment |
| Kostøl and Mogstad (2014) | Quasi-Experiment |
| Kroft et al. (2013) | Behavioural Field Experiment |
| Kube et al. (2012) | Behavioural Field Experiment |
| Landry et al. (2010) | Behavioural Field Experiment |
| Lavy (2009) | Natural Experiment |
| Levay et al. (2010) | Behavioural Field Experiment |
| Lucas, Mbiti (2014) | Quasi-Experiment |
| Lyle (2009) | Natural Experiment |
| McManus, Bennet (2011) | Behavioural Field Experiment |
| Riddell and Riddell (2014) | Behavioural Field Experiment |
| Shang and Croson (2009) | Behavioural Field Experiment |
| Sojourner (2012) | Theoretical Paper |
| Stoop et al. (2012) | Artefactual Experiment |
| Tran and Zeckhauser (2012) | Behavioural Field Experiment |
| Voors et al. (2012) | Artefactual Experiment |
| Wisdom et al. (2010) | Behavioural Field Experiment |