

*Statistics for
Results
Facility*

Catalytic Fund

Monitoring and Evaluation Arrangements

SRF Catalytic Fund Administration Unit

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Overview

1. The Statistics for Results Facility (SRF) is a global initiative concerned with supporting the strengthening of statistical systems and building capacity in the poorest developing countries. The SRF focuses both on scaling-up levels of resources for investing in statistical capacity on the basis of an agreed National Strategy for the Development of Statistics (NSDS), and the promotion of more effective delivery of assistance, particularly through the use of program-based approaches.¹ The SRF Catalytic Fund is a multi-donor “programmatically” trust fund² managed by the World Bank in support of the SRF. The Catalytic Fund will provide grants to countries to invest in statistics using a program-based approach, with the expectation that successful implementation will catalyze similar investments and approaches in other countries.
2. The arrangements described in this document are intended to provide the basis for monitoring and evaluating the Catalytic Fund against its objectives, as agreed in the Administration Arrangements between the World Bank and donors contributing to the fund.
3. It is important to note that monitoring and evaluation arrangements for each program supported by the Catalytic Fund will be developed separately in each case, and should be based primarily on the monitoring and evaluation arrangements agreed in National Strategies for the Development of Statistics or similar documents. However the overall monitoring and evaluation arrangements described in this document should be used by project teams and countries in developing those country-specific arrangements; for instance, most of the indicators included in this document will need to be included in the reporting frameworks for country-specific projects.

Objectives of the SRF Catalytic Fund³

4. The development objective of the Statistics for Results Facility Catalytic Fund is to increase the capacity of developing countries to formulate policies and to make decisions for development through the sustained improvement in the production, availability and use of quality statistics in participating countries for managing and measuring country development results.
5. In each participating country the SRF Catalytic Fund aims to:
 - Promote a program-based approach to statistical development at the country level.

¹ Program-based approaches include both system-wide and sector-wide approaches, and require comprehensive and coordinated intervention in a given thematic area of intervention, using a program of a developing country government or institution which one or more donors have agreed to support.

² In a programmatic trust fund, activities are not pre-determined but are agreed through established governance structures.

³ These objectives are consistent with those agreed with donors to the SRF Catalytic Fund.

- Substantially increase resources for implementing country-owned national statistical development plans.⁴
 - Explicitly link improvements in the statistical system to the needs of national and sector monitoring frameworks.
 - Promote an improved national dialogue and partnership between statistics users and statistical producers.
 - Deliver more efficient and effective aid and technical assistance for strengthening statistical systems and results measurement, through better coordination and alignment to agreed national statistical development plans and through better alignment to the Paris Declaration on Aid Effectiveness.
6. In countries that receive grants, both governments and development partners are encouraged to follow several basic principles:
- Governments should exercise leadership over their statistical development by preparing and implementing national statistical plans that are comprehensive, realistic, prioritized, and costed. Plans should be consistent with good practice, have clear government commitment and approval, and have been developed by the national authorities through a participatory and inclusive process with data users.
 - Development partners should respect country leadership in statistics, increase resources and provide both technical and financial assistance in line with the Paris Declaration, and promote the use of good quality national statistics in their dialogue with governments and in the management of their own aid programs.
7. A specific requirement of the Catalytic Fund (and part of the program-based approach) concerns the creation, where necessary, of a recognized National Partnership Group of government and development partner representatives, and other stakeholders as appropriate. This group will discuss and agree national statistical development plans, monitor implementation progress, and is expected to have a recognized lead donor. In some countries, existing arrangements may already be in place, or may be used for this purpose.
8. The lead donor will liaise with national authorities and should have appropriate skills, experience and time for this task. The lead donor takes the lead in promoting coordination, and convening

⁴ The term national statistical development plan is used throughout this document, and refers to a plan that has been agreed by both government and development partners as providing a basis for investment in statistical capacity. In most countries this will be a National Strategy for the Development of Statistics (NSDS), or will be an implementation plan based on such a document.

donor consultation processes where required. An in-country donor statistician is also expected to be identified either from within the existing donor community or by new appointment (the in-country donor statistician will not necessarily be from the lead donor institution).

Logical Framework

9. The broad approach of the Catalytic Fund is that financial and technical assistance resources (inputs) are provided to countries to assist in the implementation of a national statistical development plan (activities). The use of effective implementation arrangements, consistent with the Paris Declaration on Aid Effectiveness, will lead to the improved production and use of quality statistics (outputs), in turn leading to increased capacity in recipient countries to formulate and manage development policies and strategies, such as Poverty Reduction Strategies or sectoral development programs (outcomes). A key feature of the Catalytic Fund is that an improved approach to statistical capacity building is also considered to be a desirable output: a catalytic effect to scale-up efforts and to improve the effectiveness of international support is intended.

10. The “results chain” of the Catalytic Fund is illustrated in Figure 1. A full logical framework, based on this results chain and providing monitoring indicators, means of verification, and critical assumptions and risks, is provided in Attachment 1.

Figure 1: Results Chain for the SRF Catalytic Fund

Inputs	→ Activities	→ Outputs (program level)	and Outputs (country level)	→ Outcomes
Finance from the SRF-CF, other development partners, and government. Technical assistance from the SRFCF Administration Unit and from other development partners Staff time of the lead donor, other development partners, and government officials In-country donor statistician	Implementation of good quality national statistical development plan Promote use of program-based approach Strengthen mechanisms for user feedback and prioritization of statistical activities Design efficient and effective project implementation arrangements, consistent with Paris Declaration on Aid Effectiveness	More efficient and effective delivery of support to the national statistical system, and improved alignment with principles of Paris Declaration on Aid Effectiveness Adoption of program-based approach for supporting statistical development both in grant-recipient countries and in other countries Increase in resources for implementing national statistical development plans	Sustained improvement in capacity to produce and use official statistics Improved response of statistical system to national and sectoral needs Improved dialogue and partnership between statistics users and producers	Increased capacity for policy formulation and decision-making for development

11. Most of the indicators listed in the logical framework will need to be measured as part of specific monitoring and evaluation arrangements in each grant-recipient country. Since the Catalytic Fund is expected to have a catalytic impact on the approach to statistical capacity building, some indicators

also relate to impact at the global level. It should be noted that individual country indicators will not normally be aggregated, but will be reported separately in progress reports to the SRF-CF Council.

Monitoring and Evaluation Arrangements

12. Baseline values and targets for indicators identified in the logical framework will be estimated for each country during the application, project design and appraisal process, and as part of the design of country-level monitoring and evaluation arrangements. Baseline values and targets may differ for different countries, as they will be appropriate to the prevailing circumstances. The SRF Catalytic Fund Council may comment on targets selected by countries and project teams.
13. The indicators required for monitoring the Catalytic Fund will be included in country-level monitoring and evaluation arrangements as far as they apply. Data to measure those indicators which apply at country-level will be collected and compiled through those arrangements. Data required to measure indicators that cannot be collected at the country-level (such as indicators related to the administration of Catalytic Fund, or progress in implementing SWAp approaches in non-Catalytic Fund recipient countries) will be collected and compiled by the SRF Catalytic Fund Administration Unit.
14. The logical framework proposes that outcome-level monitoring should be based on feedback from users through well-designed user surveys. All grant-recipient countries will therefore need to arrange user surveys during project inception and then at appropriate intervals (for instance, to coincide with any Mid-Term Review, and project completion). Existing surveys or user feedback arrangements may be used, but they should be of high-quality and should be conducted in a manner which provides an independent assessment of the performance of the National Statistical System in meeting priority national and sectoral needs. Guidance on the implementation of user surveys will be provided by the SRF Catalytic Fund Administration Unit.
15. The logical framework also includes output-level indicators related to making improvements in statistical capacity. This is a key output of the SRF Catalytic Fund, and three specific indicators are proposed to monitor progress: the Statistical Capacity Indicator of the World Bank; the publication of data quality assessments in priority data areas (to be agreed in each country), using the Data Quality Assessment Framework of the IMF (unless similar assessment frameworks already exist in the country concerned); and the publication of a data dissemination policy that includes an advanced data release calendar and mechanisms to provide controlled access to survey metadata. Additional specific, measurable and relevant indicators will also need to be included in country-specific monitoring and evaluation arrangements. To help project teams and national authorities choose appropriate indicators, suggestions are provided in Attachment 2.

16. Implementing agencies⁵ will be responsible for measuring indicators included in country-specific monitoring and evaluation arrangements, according to identified reporting frequencies. Implementation progress reports should be prepared in collaboration with development partners through the National Partnership Group and the lead donor; the frequency of progress reports will be determined on a case-by-case basis, but is likely to be semi-annual.
17. Supervising entities⁶ will be responsible for reporting on progress according to their specific procedures unless otherwise specifically directed by the SRF Catalytic Fund Council.
18. Where the supervising entity is the World Bank, progress reporting normally consists of six-monthly assessments of implementation status and results (known as ISRs), as part of project supervision activities. Progress will also be briefly summarized by Task Teams in six-monthly Grant Monitoring Reports, principally used by the SRF Administration Unit to track grant activities. Additionally, implementation progress and the achievement of project objectives will normally be assessed during a Mid-Term Review and at the end of the project in an Implementation Completion Memorandum. When implementation is unsatisfactory, or when objectives are unlikely to be met, any restructuring of project design will be considered with the appropriate country authorities concerned and with the National Partnership.
19. The Administration Unit will use information provided in project-level monitoring reports of supervising entities to assess progress against indicators listed in the logical framework for the SRF Catalytic Fund, and will provide this information in an annual progress report to the Governing Council.

Evaluation

20. An evaluation of the effectiveness of the SRF Catalytic Fund will be conducted by September 2013. An independent evaluation firm will be selected through a competitive bidding process organized by the SRF Catalytic Fund Administration Unit. Members of the Council (or nominated representatives) will be invited to participate in the selection process.
21. Terms of Reference for the evaluation will be approved by the SRF Catalytic Fund Governing Council. Relevant evaluation questions are:
 - a. **Country leadership:** To what extent have countries led the process of improving statistical capacity? Have development partners respected country leadership and supported countries in the development and implementation of their national statistical development plan? Are changes sustainable?

⁵ This is expected to be the national statistical office

⁶ This will be the World Bank in most cases

- b. **Resource allocation:** Have governments and development partners allocated appropriate resources for implementing the national statistical development plan? Have governments allocated resources for sustaining any statistical capacity improvements? Are resource levels sustainable?
- c. **Coordination mechanisms:** What mechanisms have been put in place to ensure a better response to user demand by the national statistical system, and how effective have they been? How effectively has the National Partnership Group facilitated donor coordination? Has the presence of a lead donor and in-country donor statistician improved the dialogue between national authorities and the donor community? To what extent have development partners aligned their statistical support to national priorities? Are development partners actively supporting a program-based approach in the delivery of statistical capacity building programs? To what extent has there been improvement in alignment with the principles of the Paris Declaration on Aid Effectiveness for statistical capacity building (for example, in the use of country systems and procedures). What have been the strengths and weaknesses of a program-based approach, compared to a series of stand-alone projects? To what extent have agreed monitoring and evaluation frameworks been followed?
- d. **Catalytic impact:** Has the SRF Catalytic Fund had an impact in attracting additional resources for statistical capacity building in grant-recipient countries? Or has the SRF Catalytic Fund substituted for available funding? Has there been a catalytic impact in promoting the use of program-based approaches in other countries and with other development partners? Has there been a catalytic impact in scaling-up resources for statistical capacity building in countries other than those that received grant funds?
- e. **Governance and administration:** Have the governance arrangements, including the Governing Council and the Administration Unit, been efficient and effective? Has World Bank management of the global trust fund and of country-specific projects been efficient and effective? Have funds been disbursed according to disbursement forecasts? Where the World Bank is the supervising entity, to what extent are countries satisfied with World Bank project administration (from application process to project supervision), and the quality of any technical assistance provided? Has the role played by any in-country donor statisticians been effective?
- f. **Increase in statistical capacity:** Have there been improvements in the capacity of the national statistical system, and, if so, in what areas? To what extent is the national statistical system compliant with the United Nations Fundamental Principles of Official Statistics? Has data quality and data availability improved? Are improvements made likely to be sustainable?
- g. **Use of data:** Is there evidence of greater trust in national statistics by policy-makers and other users? Have development partners shown greater willingness to use good quality data in their results-oriented measurement frameworks?

Logical Framework for the Statistics for Results Facility Catalytic Fund

Narrative	Indicator	Baseline	Milestone 1	Milestone 2	Target	Important Assumptions and Risks
Outcomes						
Increased capacity in developing countries to formulate policies and make decisions for development using better statistics	1. Proportion of user survey respondents satisfied that statistical outputs meet their priority data needs in grant-recipient countries, e.g., proportion of PRSP indicators that can be reported					
	Source: Country-specific user surveys of key government officials, donors, research institutions, academia, and civil society, to be conducted at start and end of project, and survey of data use including qualitative assessment of key policy documents					
	2. Extent to which statistical data is used in policy and decision making processes in selected areas in grant-recipient countries (qualitative indicator)					
	Source: Country-specific user surveys of key government officials, donors, research institutions, academia, and civil society, to be conducted at start and end of project, and survey of data use including qualitative assessment of key policy documents					
Outputs (country level)						
Sustained improvement in capacity to produce quality official statistics	3. Statistical Capacity Building Indicator					Environment exists for use of statistics for evidence-based policy and decision making to take place
	Source: World Bank Statistical Capacity Database					
	4. Additional indicators of statistical capacity established in results frameworks of country-specific projects (see Attachment 2 for suggested indicators)					
	Source: Progress reports of implementing agencies and reports of supervising entity					

Narrative	Indicator	Baseline	Milestone 1	Milestone 2	Target	Important Assumptions and Risks
Improved response of statistical system to national and sector needs	5. % increase in user satisfaction of official statistics					Statistical system responds to user feedback
	Source: Country-specific user surveys of key government officials, donors, research institutions, academia, and civil society, to be conducted at start and end of project, and survey of data use including qualitative assessment of key policy documents					
Improved dialogue and partnership between statistics users and producers	6. Proportion of users in priority sectors who agree that consultation mechanisms between users and producers on statistical priorities functions well (regular meetings, open discussion of issues, etc.)					Results are used by statistical producers to adjust work plan priorities Improved dialogue can be sustained Coordination of statistical activities across Ministries, Departments and Agencies (MDAs) is effective
	Source: Interviews with users in priority sectors by project supervision teams					
Outputs (program level)						
More efficient and effective delivery of aid and technical assistance for strengthening the statistical system through better coordination and alignment to national statistical development plan and through better alignment Paris Declaration on Aid Effectiveness	7. Commitments and expenditure for statistical activities by development partners not participating in the National Partnership Group					
	Source: Survey of donor activities in statistics, organized by the Partnership Group or the national statistical agency					
	8. Proportion of support to statistics by development partners that is aligned with the national priorities identified in the national statistical development plan					
	Source: Survey of donor activities in statistics, organized by the Partnership Group or the national statistical agency					
Adoption of program-based approach for supporting statistical development both in grant-recipient countries and in other countries	9. Existence of National Partnership Group where implementation and status of national statistical development plan status is monitored					Program-based approach provides more effective process for supporting statistical development: identified lead donor in statistics able to perform role effectively, and in-country donor statistician can be identified or recruited
	Source: Minutes of National Partnership Group meetings, progress reports of implementing agency, and reports of supervising entity					

Narrative	Indicator	Baseline	Milestone 1	Milestone 2	Target	Important Assumptions and Risks	
Increased resources for implementing national statistical development plans	10. Levels of funding committed and spent for national statistical development plan implementation by donors and government compared to agreed budget of implementation plan					National statistical development plan responds to priority needs and provides basis for sustainably improving statistical capacity; government is able to support change process and to provide funding for improved statistical system	
	Source: Minutes of National Partnership Group meetings, progress reports of implementing agencies, and reports of supervising entities						
	11. Levels of funding committed and spent by government for national statistical development plan implementation						
	Source: Government budget and expenditure reports, progress reports of implementing agencies, reports of supervising entities						
Activities							
Implementation of good quality national statistical development plan	12. Activities implemented compared to agreed implementation plan					Activities in national statistical development plan provides good basis for improving statistical capacity, and improvements can be sustained at end of financing from development partners	
	Source: Implementation progress reports of national statistical development plan						
	13. Implementation progress rating (if World Bank is supervising entity)						
	Source: Implementation Status and Results monitoring						
Processes to promote use of program-based approach	14. % of development partners participating in the National Partnership Group, compared to number actively supporting statistical development					Sufficient development partners are willing to engage in program-based approach	
	Source: Minutes of National Partnership Group meetings						
	15. Publication of annual national statistical development plan implementation progress report						

Narrative	Indicator	Baseline	Milestone 1	Milestone 2	Target	Important Assumptions and Risks
	Source: Progress report of appropriate national authority					
Establish effective mechanisms for feedback and prioritization of statistical activities	Indicator 6 will be used					Feedback and prioritization is used to adjust activity planning by national statistical authorities and statistical production units in MDAs
Design and use of efficient and effective implementation arrangements, that are consistent with Paris Declaration on Aid Effectiveness	16. Pooled funding arrangements used by development partners					
	Source: Reports of National Partnership Group					
Inputs						
Finance from the SRF-CF and from other development partners	17. Ratio of firm commitments compared to the national statistical development plan agreed by National Partnership					National statistical development plan is appropriately prioritized and realistically costed Policies of supervising and implementing agencies permit use of approaches consistent with Paris Declaration on aid effectiveness, such as use of country systems and/or basket funding
	Source: National Partnership Group reports					
	18. Catalytic Fund project disbursement rates					
	Source: Progress reports of supervising entity					
Technical assistance from the SRFCF Administration Unit and from other development partners for project development and management of program-based approach	19. Technical assistance provided, including in-country donor statistician, where required					Technical expertise provided is able to advise on the use of program-based approach in statistical capacity building
	Source: National Partnership Group reports					
Inputs (e.g. staff time) of lead donor and other development partners	20. Existence of lead donor in National Partnership Group					
	Source: National Partnership Group reports					
Staff time of government officials	21. Number of staff devoted mainly to SRF activities, including line ministries staff					

Narrative	Indicator	Baseline	Milestone 1	Milestone 2	Target	Important Assumptions and Risks
	Source: Progress reports of supervising entity					
In-country donor statistician	22. Existence of in-country donor statistician with role compatible with agreed Terms of Reference					
	Source: National Partnership Group reports					

Suggested Indicators for Monitoring Improvements in Statistical Capacity

Area	Suggested Indicators
	<i>Statistical system aligned with the UN Fundamental Principles of Official Statistics</i>
1	Existence of a modern statistics law guaranteeing the independence of official statistics
2	Mechanisms to coordinate statistical activities and to ensure compliance with international recommendations and good practice are in place
3	Information about statistical practices and procedures (metadata) is compiled and published
4	Statistical agencies are entitled and able to comment on erroneous interpretation and misuse of statistics
5	Statistical data on individuals data are confidential and are used exclusively for statistical purposes
6	Existence of effective procedures for quality reviews of key statistics
	<i>The statistical system is better able to respond to changing and emerging data needs:</i>
7	Mechanism to review data needs and to update priorities is in place
8	Adequacy of institutional arrangements, based on a baseline assessment
9	Capacity to design and implement new statistical activities is in place
10	Regular consultation between data users and providers in place
	<i>More effective statistical work-force with skills and expertise increasingly aligned with needs</i>
11	Frequency of completion of training needs assessments
12	Ratio of unfilled professional posts to total professional posts
13	The number of days of training undertaken by staff on average each year
	<i>Improved access by data users to better quality indicators and data series for priority data needs</i>
14	Improvements in data quality for key indicators, using agreed assessment frameworks ⁷
15	Existence of an advanced release calendar for key statistical series
16	Gaps in data coverage (availability, geographical completeness) for key national surveys and indicators
17	Number of specific surveys for which effective micro-data access procedures are in place
	<i>Improved efficiency and cost-effectiveness of statistical operations</i>
18	Unit cost of key operations, such as household surveys
19	Reporting burden on survey respondents (e.g. average time taken to complete specific survey questionnaires)

⁷ Countries should make use of the IMF Data Quality Assessment Framework (DQAF), unless comparable national quality assessment frameworks have been developed