



Results Readiness in Social Protection & Labor Operations: Technical Guidance Notes for Social Funds Task Teams

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1. Introduction

Overview of the social fund instrument. Social Funds represent a diverse universe of World Bank projects. Social funds are defined as agencies or programs that channel grants to communities for small-scale development projects.² Social funds typically finance some mixture of socio-economic infrastructure (e.g. building or rehabilitating schools, health centers, water supply systems, feeder roads), productive investments (e.g. micro-finance and income generating projects), social services (e.g. supporting nutrition campaigns, literacy programs, youth training, support to the elderly and disabled), and capacity building programs (e.g., training for community-based organizations, non-governmental organizations (NGOs), and local governments). Social Fund programs are demand-driven and aim to involve the active participation of several local actors (communities and community-based organizations, NGOs, local governments), often using a community-driven development approach.³ The main goal is usually to address the needs of poor and vulnerable communities while building social capital and empowerment at the local level.

Social funds have several features that place them in the social protection (SP) realm. They typically target poor communities and/or vulnerable households. They finance social risk management interventions like temporary employment generation and expanded access to basic services by the poorest. Social funds are often employed to address immediate post-conflict needs and responses to natural disasters.

From the perspective of results readiness, social fund features create a unique set of challenges:

- **Multiple policy objectives** (service delivery, empowerment, economic opportunities) make the development of well-defined Project Development Objectives (PDOs) a challenge;
- **Multi-sectoral interventions** create the need to develop sector-specific outcome indicators across a broad range of possibilities;
- **Demand-driven approaches** mean it is not known ex-ante which communities will participate nor what their demand will be, which complicates the creation of baselines and specific outcome targets; and

¹ This Note has been prepared by Julie Van Domelen.

² Social fund definition as presented in World Bank Social Fund Website.

³ The term community-driven development (CDD) is used at the Bank to denote a broad class of interventions that transfer control over resource and decision-making to communities. Social funds are *instruments* that in many cases use a CDD approach. The greater the role of community-level groups in SF operations, the stronger the presence of the CDD approach.

- **Large numbers of small projects** make it costly to input so much data, ex-post evaluations may involve hundreds of project sites to be representative.

Overview of the cohort. Thirteen social funds were studied as part of this SP Results Review, representing social funds approved in FY05-09.⁴ None of these social funds closed during this period, so the reporting of final outcomes is not available through ICRs. Although social funds represent 17 percent of total cohort of SP projects in this review, they are highly concentrated both in emergency contexts and in the Africa Region, where they account for 38 percent and 77 percent of the total cohort, respectively. The cohort is comprised almost entirely of investment operations, with one programmatic loan (a DPL) classified as a social fund. About half of the projects are repeaters or further phases. The full list of projects reviewed, by fiscal year approved, is provided in the table below.

Table 1: Cohort of Social Fund projects approved FY05-09

FY05	FY06	FY07	FY08	FY09
Benin – National CDD Project		Armenia Social Investment Fund III	Malawi 3 rd Social Action Fund Project	Nigeria Community Social Development Project
Tanzania Social Action Fund 2		Yemen Social Fund for Development III	Togo Community Development Project	Uganda 2 nd Social Action Fund Project
DRC Emergency Social Action Project		Liberia Community Empowerment II		Madagascar Emergency Food Security and Reconstruction Project
Liberia Community Empowerment Project		Vietnam Program 135 Phase II DPL		

2. Project Development Objectives

i. Description of General Practice

As mentioned, social funds typically have multi-faceted project development objectives (PDOs). A review of this cohort finds that the most frequently cited project development objectives were to improve access to public services and infrastructure and to reach specific targeted populations (see Table 2). This very much fits with the general reputation of social funds as providing basic infrastructure and services like education, health, water and roads, as identified as core community needs, with resources typically targeted to the poorest communities and groups. A focus on community empowerment and capacity building is also commonly found among social fund development objectives (69 percent). In fact, social funds are really the only part of the SP portfolio where community objectives are found, with only 4 percent of the non-social fund cohort having community empowerment and capacity building objectives. This is also true although to a somewhat lesser extent for local government

⁴ Description of methodology and cohort selection can be found in the main paper.

capacity building, with 38 percent of social funds having this objective versus 14 percent for the non-social fund part of the SP cohort.

Direct human development outcomes are less frequently expressed, like improvements in health and nutrition status, but human development outcomes are typically used as key performance indicators in order to measure the impacts of access to services. Temporary income support, including public works and temporary employment are surprisingly infrequent as development objectives given the genesis of many social funds as emergency response mechanisms. With their increasing focus on improving services and building local capacity, temporary employment benefits appear to have declined in importance. Quality of services is also rarely stated in social fund objectives, although improving access to services and general infrastructure improvements are often measured by service quality indicators. Task teams appear reticent to expand objectives to encompass service quality because much of the quality issues lie under the responsibility of sectoral agencies. And, as would be expected, national and sectoral capacity building and fiscal objectives are rare in social funds.

Table 2: Social Fund Project Development Objectives by Focus Area

Expressed as part of the project development objective:	Frequency
Access to public services and infrastructure (schools, health centers, roads etc.) – local public goods	77%
Reaching specific vulnerable groups/poverty targeted groups	77%
Community empowerment and capacity building (non-government)	69%
Access to economic opportunities (microcredit, active labor market programs, skills development, etc.)	62%
Local government institutional capacity building (anything sub-national)	38%
Human development outcomes (improved education, health and nutrition, HIV status)	15%
Temporary income support (unconditional transfers, public works and temporary employment, CCTs, wage subsidies, etc.)	8%
National/sectoral government institutional capacity building (benefits administration, management and operation of programs, targeting system)	8%
Quality of services/service delivery	8%
Fiscal objectives/efficiency	0%

Social funds almost never have only one focus area in their project development objective. The average number of issues within PDOs for this cohort is 3.6. But this is also typical for non-social fund projects in the SP cohort, which average 3.5. In the social funds group, this is often a blend of delivery of some type of service, targeting objectives and institutional goals of creating stronger communities.

ii. Assessment of Performance

This review finds the overall quality of social fund PDOs to be satisfactory, as presented in Table 3 below⁵. Ratings were based on whether outcomes were clear and concise, whether outcomes were specified to which the project can directly contribute, and whether target groups were identified. Moreover, PDOs should be sufficiently well constructed that the main emphasis of a program is easily discernible.

Table 3: Project Development Objective Ratings

Rating	Frequency
1– Highly Satisfactory	1
2 – Satisfactory	7
3 – Moderately Satisfactory	4
4 – Moderately Unsatisfactory	1
5 – Unsatisfactory	0
6 – Highly Unsatisfactory	0
Average Score	2.3 (Satisfactory)

Where ratings were lower, there tended to be either a mixing up of means and ends or a lack of clarity on the main objectives. For example, in some cases there was confusion on whether using a CDD approach is an end in itself or a means to achieving changes in household wellbeing or community assets and services. Moreover, institutional objectives of empowerment and social capital creation or strengthening of local government raise the question of whether these are core objectives or positive spillover effects or implementation strategies. This mirrors the debate on whether the real objective of social funds is to affect a level of infrastructure and services or endow community groups and local institutions with the skills to tackle their problems long after this financing ends.

One issue which complicates the ratings of PDOs is the extent to which they are revised during execution. Four out of the 13 social fund projects had their PDOs revised during execution. In some instances this was to improve on the original specification, for example in the Benin CDD Project, the PDO was revised to take out the goal of using a programmatic approach as this was not an outcome objective. In other cases, PDOs have been revised in response to crises, for instance, in Liberia the PDO was modified to include labor intensive public works and in Togo the PDO was revised to accommodate additional financing in response to a food crisis.

⁵ The original (not the revised) PDO was used for scoring purposes to avoid double counting.

iii. Key Issues in PDOs

- Multiple objectives should capture the range of investments and expected outcomes. For example, if the menu of community investments includes social and economic infrastructure as well as economic opportunities through income generating microprojects or microcredit PDOs should identify these various expected outcomes.
- Adequate specification of target populations. Social fund PDOs often use a relatively non-specific term, like 'poor and vulnerable' in defining their target population. This makes it difficult to adequately specify key performance indicators. For example, in targeting "the poor" it is useful to specify if this is a set of poverty-ranked municipalities or communities or a certain poverty level of poor households. Task teams should also seek to provide greater clarity of the term "vulnerable" groups. For example, displaced populations, women, orphans and vulnerable children are often discussed as vulnerable groups but this is not really specified in the PDO. The Madagascar Emergency Food Security and Reconstruction Project provides a good example of more closely identifying beneficiary populations in a PDO: *"the Project Development Objectives are to: (i) increase access to short-term employment in targeted food-insecure areas; and (ii) restore access to social and economic services following natural disasters in targeted communities."*
- Using a community-driven approach is a means to an end, rather than an end in itself. For example, the Armenia Social Development Fund III PDO makes this hierarchy or distinction quite clear:

"The objective of the Project is to support the Government's policy to raise the living standards of the poor and vulnerable groups through: (i) Improving the quality and access, and increasing the coverage of community infrastructure and services in poor communities, and for the most vulnerable groups in response to emerging critical needs; and (ii) Promoting complementary institutional capacity building at the community and municipal level so as to improve the quality and sustainability of community investments and service delivery, increase accountability, and enhance greater stakeholder empowerment at the local level".

- For social funds operating in post-conflict or emergency contexts, this context should be captured in the PDO. For example, the Democratic Republic of Congo Emergency Social Action Project PDO does not capture the post-conflict emergency context in the country in its PDO of: "to improve access of the poor to social and economic services and increase the availability and management of development resources at the community level". The Liberia Community Empowerment ERL's stated PDO "to assist war-affected communities to restore infrastructure and services and to rebuild their capacity for collective action' better captures a more focused post-conflict operation. This in turn provides a framework for developing more realistic key performance indicators, which in the case of emergency-type operations may be more limited to reconstruction and opening up of services rather than longer-term institutional development or deeper engagement of state and community actors in developing sustainable delivery systems.
- Each phase of successive social fund operations should seek to capture the main challenges of that phase. For example, the Malawi Social Action Fund Phase II seeks to continue with the delivery of community service packages and promote accountability and measurement of MDG outputs. As such, its PDO specifies an objective of improving the livelihoods of poor households with the framework of improved local governance at community, Local Authority and national levels.

iv. Identification of good practice

The best PDOs specify not only the changes being sought, but who the target populations are and what specific institutional improvements are expected as a result.

Examples of good practice include:

- The Armenia Social Investment Fund III Project is particularly clear about its development objectives: *to support the Government's policy to raise the living standards of the poor and vulnerable groups through: (i) Improving the quality and access, and increasing the coverage of community infrastructure and services in poor communities, and for the most vulnerable groups in response to emerging critical needs; and (ii) Promoting complementary institutional capacity building at the community and municipal level so as to improve the quality and sustainability of community investments and service delivery, increase accountability, and enhance greater stakeholder empowerment at the local level.*
- The Liberia Community Empowerment Project captures the emergency nature of the situation: *The objective of the Project is to assist war-affected communities to restore infrastructure and services and to build their capacity for collective action.* The community capacity objective is well-linked to the country's immediate post-conflict needs.

3. Key Performance Indicators

i. Description of General Practice

Key performance indicators are designed to measure a project's performance in meeting its intended outputs and outcomes. KPIs should be directly relevant to a project's development objectives. In general, there was a wide variety in KPIs used for social fund projects (see indicator lists at the end of the annex). A total of 64 outcome indicators were employed in the 13 projects reviewed, for an average of about five per project. One hundred and fifty nine intermediate outcome or output indicators were used, averaging about 12 per project. This includes indicators that were added or dropped during execution.

The distribution of KPIs according to area of focus of project development objectives is presented in Table 4. General observations include:

- There is general consistency between the frequency of indicators and the frequency of a topic within PDOs. Outcome indicators are very closely aligned to the areas of PDOs, with the most frequent outcome KPIs in access to services, reaching targeted groups and community empowerment. Access to services and community empowerment are also the most frequent intermediate outcome indicators.
- Overall, there are a relatively large average number of KPIs per project. While some of these represent modifications to PDOs or KPIs during execution, nonetheless this is a large number of indicators to be tracked.

ii. Assessment of Performance

Linkages with PDO. The clarity of linkages between outcome indicators and PDOs is satisfactory, with an average rating of 2.4. As presented in Table 4, the best 'fit' between outcome KPIs and PDOs was in the areas of access to services, and the human development outcomes resulting from greater utilization of basic services. Ratings were lower in the other focus areas of PDOs largely because KPIs were often used that had no direct relationship with the issues identified in the PDOs. For example, in one case KPIs related to increased utilization of community development plans were specified, but the project's PDO was solely focused on access to services by the poor, with no mention of intended institutional impacts.

Quality of the KPIs. In terms of the quality of the indicators, the overall SMART ratings were 2.7 for outcome and 3.0 for intermediate outcomes. Again, indicators related to service delivery and economic impacts were better specified than those linked to institutional aspects like community empowerment and local government capacity.

Data sources. Even when indicators are well specified, there needs to be a credible source of data for them. The overall rating in this area (Table 4) for outcome KPIs was 3.1 and 2.9 for intermediate KPIs, or marginally satisfactory. Identifying well specified and credible data sources for some of the institutional objectives, like community empowerment and local government strengthening was particularly challenging. In addition, while many projects intended to measure targeting outcomes, it appeared relatively difficult to identify good sources of data for this.

Availability of baselines and targets. Baselines are typically very difficult for social funds to develop since there is no ex-ante knowledge of the actual communities or types of subprojects to be financed. In terms of the outcome indicators, one-third did not have baselines and 60 percent had baselines, which is encouraging (although 1/3 of these were 0). Most of the other baselines were population services coverage figures or data pulled from previous evaluations in repeater operations. For intermediate outcome indicators, 61 percent had baselines, of which 23 percent were numerical values and 77 percent were 0, reflecting the prevalence of project-derived output tracking used. In terms of targets, 76 percent of outcome indicators and 80 percent of intermediate outcome indicators had targets established. This shows a relatively concerted attempt to establish the expectations of the project.

Table 4: Key Performance Indicators – Frequency and Ratings

Outcome Indicators	Frequency	Clear Link with PDO ratings	SMART ratings	Data source rating
Access to public services and infrastructure	24	2.1	2.3	2.9
Community empowerment and capacity building	15	3.0	3.4	3.5
Reaching specific vulnerable/targeted groups	11	3.0	3.1	3.4
Temporary income support	7	2.5	2.1	2.7
Quality of services/service delivery	6	2.8	3.0	2.8
Local government institutional capacity building	5	3.3	3.3	3.0
Access to economic opportunities (microcredit, active labor market programs, skills development, etc.)	3	3.0	2.3	2.3
Fiscal objectives/efficiency	3	3.0	5.0	5.5
Human development outcomes (improved education, health and nutrition, HIV status)	2	2.0	2.0	1.5
National/sectoral government institutional capacity building	0	--	--	--
Intermediate Outcome (Output) Indicators				
Access to public services and infrastructure	59	2.3	2.7	2.7
Community empowerment and capacity building	31	2.5	2.9	2.6
Reaching specific vulnerable/targeted groups	10	2.3	3.0	2.9
Temporary income support	8	3.0	2.9	3.5
Quality of services/service delivery	7	3.0	2.7	4.1
Local government institutional capacity building	12	3.0	2.9	2.8
Access to economic opportunities (microcredit, active labor market programs, skills development, etc.)	21	2.2	2.6	2.9
Fiscal objectives/efficiency	8	3.9	3.3	3.5
Human development outcomes (improved education, health and nutrition, HIV status)	8	2.0	2.0	3.5
National/sectoral government institutional capacity building	18	3.7	4.1	3.0

Ratings done by external reviewer on a scale of 1 (highly satisfactory) – 6 (highly unsatisfactory)

iii. Key Issues

Some of the more common issues in developing KPIs include:

- An outcome statement is not an indicator. There are lots of examples (e.g. Liberia, Armenia) of KPIs which express goal –like increased access of population to health care or water supplies, but it needs to be **as measured by**...distance to water source, utilization of water, etc. The same is true of indicators like “increase in quality of basic social services”. These should be further defined **as measured by**: beneficiary satisfaction, availability of staff and other inputs, quality of infrastructure. The problem with stating objectives as outcome indicators is that you do not know how they are to be measured.
- Failure to adequately specify the target population. For example, service delivery indicators are often set too broadly, like gross enrollment in primary education or improved access to health care, without identifying if this is among a specific subset of the population (e.g. in regions or communities served by the social fund). Or, more generic terms like “among the poor” or “vulnerable groups” fail to sufficiently identify the target population.
- Vagueness. Indicators like “improved quality” or “improved capacity” are not well specified for measurement.
- Overly composite indicators. Multi-faceted indicators are difficult to operationalize. To illustrate one overly complex indicator: By the end of the Project, at least 80 percent of the 1,400 targeted communities have implemented a subproject for basic services and infrastructure; and at least 80 percent of these sub-projects comply with eligibility criteria; and 80 percent of vulnerable groups within the concerned communities are satisfied with these subprojects.
- Program rules should not be KPIs. There are several indicators which are in fact program rules, like having unqualified audits or project management committees opening bank accounts, 100 percent of the Annual Work Plan and Budgets have been timely prepared and found satisfactory.

iv. Identification of good practice

There are several key aspects to keep in mind in defining key performance indicators, including:

- **Outcomes compared to what?** Outcome and impact measures require a framework that allows for determining net program effect. This encompasses before and after and with and without.
- **Timing of expected outcomes.** A certain level of impact may not be immediately apparent. For example, enrollment increases might not be felt until next academic year. And sustainability measures should be taken at more than one year after completion.
- **Need to determine at which level outcomes should be measured.** For social funds, results may be observed at the level of the household, the community and the facility (school, health center, water system).
- **When national strategy indicators/targets are available, they should be used as KPIs.** This allows for the project to be able to report the extent to which it is contributing to national goals.
- **There are several “false friends”,** or commonly used indicators that really don’t work. These include:

- Number of sub-projects - for example, 10 subprojects of \$10,000 do not necessarily have a bigger impact than one subproject of \$100,000.
- Level of community counterpart contributions or number of women in project management committees because a minimum is typically set as a program rule.
- General level of beneficiary satisfaction, because in all countries that have studied and surveyed this question, the response is always very high (+85 percent or more satisfied)
- Number of meetings and other similar process indicators because they do not show number attending or hours spent meeting or meeting results.

Examples of good practice as well as examples of weaker indicators are provided in Table 5. A key challenge to social funds is to develop good indicators for institutional impacts, particularly in the area of community empowerment and local government strengthening. Benin provides an interesting example in that it developed a comprehensive set of institutional capacity indicators related to CDD approaches and then set a target of how many should be met by participating localities. These indicators presented in Box 1.

Table 5 : Examples of Good Practice

Outcome Indicators	Weaker	Stronger
Access to social and economic infrastructure -- health	Increase in access to health centers	Increased medical consultations in FSRDC build rehabilitated health centers
-- education	Increase in access to education	Increased enrollment rate in basic education by 7% for boys and girls in the areas the SFD intervened
--- roads	Increase with population with access to improved economic infrastructure (roads, irrigation, markets)	Increased number of motorized vehicles using rehabilitated rural roads
Access to economic opportunities (employment, financial services, livelihoods)	Contribution to short-term employment and income generation in poor participating communities	40-50% of microfinance savers/borrowers confirming an improvement in their household living standard
Community empowerment	Ensuring that communities have benefited from social mobilization and facilitation using highly participatory methodologies and that community-based organizations (CBOs) are inclusive and well represented;	Over 50% of participating households record increased levels of trust and cooperation among stakeholders at community level
Local government strengthening	Capacity building at the municipal level to train municipal officials directly involved in community microprojects in financial management	By the end of the Project, 70 percent of participating communes have improved their capacity to implement the CDD approach and comply with at least 10 CDD capacity indicators (indicators specified).
Targeted (poor communities and households, affected by shocks)	Program resource allocation favors poorer participating communes and villages	Repartition of financing of subprojects consistent with regional targeting criteria as estimated by the QUIBB 2006 Survey
Other	Number of sub-projects to have permanent maintenance mechanisms in place	90% of sub-projects operational and maintained one year after completion

Box 1: Benin - Using Composite Indicators to Track the CDD Approach

The Benin National CDD Project developed a series of process indicators to capture the achievement of one of the main goals of the project: to institute a CDD approach within the main decentralization framework and agencies in the country. The scoring of achievement is based on the following set of indicators:

- Percentage of targeted communities which have already participated in a CDD project in the past and have an acceptable understanding of this methodology
- Percentage of targeted communities in the commune which have received the GMT and technical assistance to identify and prepare sub-projects
- Percentage of targeted communities in the commune having submitted a community development sub-project in the planned period for this phase in the Project Manual
- Percentage of targeted communities in the commune for which sub-projects have been approved by the commune (in an acceptable period after the initial grassroots training according to Project Manual)
- The commune has all competencies to carry out procurement and field monitoring of sub-projects (adequate staff, appropriately trained).
- Percentage of sub-projects submitted by targeted communities and rejected by commune (measure of the communities' mastering of the process).
- Percentage of sub-projects of unacceptable quality submitted by targeted communities and accepted by commune (measure of quality of the appraisal/approval process by the commune).
- Average period of time between date of submission of a sub-project by communities and date of approval compared to planned duration in the PIM.
- Average period of time between date of approval/rejection of sub-project and date of information of the community regarding the decision compared to planned duration in the PIM.
- Average period of time between date of approval of sub-projects and date signature of the financial agreement between the commune and communities, compared to planned duration in the PIM.
- Average period of time between date of signature of the sub-projects and date of availability of funds in the communities' bank account.
- Average period of time between date submission by communities of the documentation for the justification of expenditure incurred out of the first payment, compared to planned duration (measure the community's capacity to manage procurement according to schedule).
- Number of documentation packages transmitted by communities to the communes which have been rejected by the commune because of errors or misuse of funds (measure of the quality of the documentation provided by communities, and assessment of the financial management performance of the community).

4. Design and Implementation of M&E

Design Stage

i. Description of General Practice

In terms of the types of monitoring and evaluation mechanisms used by social funds, the core packet found in almost all social fund projects consist of an MIS system (100 percent), process evaluations (77 percent) and beneficiary assessments (77 percent), as shown in Table 6.⁶ This reflects the nature of a social fund. The hundreds or thousands of community subprojects received and approved required modern information management tools. Given the operational intensity of a such a level of small-scale projects scattered throughout a country, process evaluation is a commonly used M&E approach to monitor the timeliness and transparency of these grants. And the demand driven nature of the investment combined with a high level of community engagement makes getting direct feedback from beneficiaries – through Beneficiary Assessments – essential. Slightly over half of the social funds in the cohort have planned an impact evaluation, though the robustness is not always evident in the PAD write-up. Almost all social fund projects used some other form of monitoring and evaluation as well, including technical audits to assess quality when using community self help and small scale local contractors, and other participatory monitoring and evaluation instruments like community score cards.

Table 6: Monitoring and Evaluation Approaches

	Frequency
Management Information Systems	100%
Process evaluation	77%
Beneficiary assessment	77%
Impact evaluation	54%
Technical audits	54%
Participatory M & E/Score cards	54%
Expenditure tracking studies	15%
Spot checks	8%
Tracer evaluations	8%

ii.

iii. Assessment of performance

In terms of readiness and ability to carry out the proposed M & E, Table 7 below provides ratings on capacity and institutional arrangements. Overall ratings are satisfactory, with an average of 2.6 for the cohort. The level of detail in the write-up was an important factor. Capacity issues are particularly important in new projects.

⁶ The exceptions to this are the Vietnam Program 135 Support Credit, a DPL,, and the Madagascar Emergency Food Security and Reconstruction Project which may be more of an issue of PAD documentation, since it is being implemented by the FID in Madagascar which routines carries out beneficiary assessments and process evaluations.

Findings on specific aspects of M & E arrangements at the design stage include:

- Most PADs analyzed capacity to carry out M & E and, if there were weaknesses identified, presented a plan to strengthen capacity. Projects were rated lower where there either was nothing presented or, particularly in crisis contexts, where fairly elaborate M & E expectations were presented against weak or non-existent country capacities.
- Eight out of the cohort of 13 projects, or 62 percent, presented a concrete program in the PAD for generating baseline data if such data were lacking. This was largely in the context of the projects planning impact evaluations.
- Integration with national M & E systems: There is a wide range – from no integration with national systems, in Togo and Liberia for example, largely because national systems themselves are very underdeveloped, to strong attempts at integrating social fund M & E systems into the national framework, for example, in Benin and Malawi.
- Only two of the cohort of 13 social fund PADs mention explicitly any collaboration with other donors on the M & E work.
- There was virtually no information presented on the cost of M & E and how this would be financed. In 70 percent of the cohort no cost information was provided; in 23 percent M & E costs were included among other capacity building costs; and in only one case was a specific cost given.

Table 7: Results Readiness Ratings

Rating	Does the PAD analyze the capacity to carry out M & E?	If M & E systems are weak, is there a plan to strengthen?	Do adequate arrangements exist for M & E beyond the indicators?	Summary rating of M & E arrangements in PAD
1– Highly Satisfactory	2	1	3	3
2 – Satisfactory	5	5	2	4
3 – Moderately Satisfactory	3	1	4	2
4 – Moderately Unsatisfactory	2	2	3	3
5 – Unsatisfactory	1	1	1	1
6 – Highly Unsatisfactory	-			
Average Score	2.6	2.7	2.8	2.6

Impact evaluations. Although several PADs mention impact evaluation, there is a dearth of information on methodologies to be applied, cost or how and when these would be carried out. Moreover, most appear to use beneficiary and ex-post evaluations without setting up the basic framework of an impact evaluation, in which it is not entirely clear how the evaluation will develop before and after data and specify the counterfactual through the use of comparison groups.

Five out of the 13 projects plan robust impact evaluations, defined as using a methodology with some form of counterfactual, as opposed to just carrying out general ex-post evaluations. Most of these use reflexive comparison and/or matching methodologies. None provide specific costing for the impact evaluation.

iii. Key Issues

Key issues in the design stage of social fund M&E frameworks include:

- ***Trade-offs between cost and frequency of ex-post evaluations and robustness of methodology.*** Social funds have grappled with the extent to which impact evaluations should be a routine part of their M & E. systems. There has been a great deal of robust impact evaluations of social funds. One question is whether or not such studies are necessary in every phase of every social fund, given the expense and complexity of such evaluations.
- ***Linkages to national and sectoral system often pose a challenge.*** Since social funds operate across multiple sectors and may have relative weak reporting linkages to sectoral ministries, it is difficult to embed them in the routine reporting structures for national agencies, where such structures exist.
- ***Capacity constraints have been largely external to social funds.*** Social funds are known for their effective MIS systems, their use of participatory M& E and their use of impact evaluations. This has not been too difficult to achieve. However, there has been little real progress in integrating social fund systems with national M & E systems because of the weaknesses in such systems.
- ***An M & E Manual is an important part of preparation.*** The PAD does not allow for a sufficient format to fully develop an M & E system, although the more effective PADs did include a separate M & E Annex. An M & E Manual is an important part of ensuring results readiness, including full descriptions of roles responsibilities, instruments, methodologies, timing and costs. When such manuals were left to develop during implementation, results monitoring lagged and opportunities like establishing baselines or carrying out beneficiary assessments in the initial year of operations to detect process or implementation issues, were not done.

iv. Identification of good practice M & E systems

Three projects were rated as highly satisfactory in the design of M & E arrangements by this review:

- **The Benin National Community Development Project.** The Benin PAD provides an excellent description in Annex 4 of each component and subcomponent – what are the objectives, what are measurements of outcome, institutional responsibilities, and links to national system Consistent with this project’s broader institutional objectives of assisting the Government in developing a more decentralized and community-driven approach to investment planning, finance and management the Benin project seeks an integration with the PRSC and national indicators and systems, with a large reliance on national systems not one-off project actions. Moreover, the project develops a very comprehensive set of institutional development indicators.
- **The 3rd Social Action Fund Project in Malawi** is an example of a very effective approach to reinforcing a national system from a project platform as well as multifaceted evaluation instruments. The M&E system for this project is designed to monitor project processes using the following methods and tools: (a) well defined Results Framework with clearly defined goals, objectives, outputs, and activities with corresponding indicators, means of verification and key

assumptions; (b) a strategy for project processes, information requirements, tools and methodologies for data collection, analysis and reporting; (c) a plan with clear roles and responsibilities for indicators tracking with respect to data gathering and reporting; (d) a computerized Local Authority Management Information System (LAMIS) to cater for LA level information needs; (e) internal and external periodic assessment and evaluations in the form of annual tracking studies, baseline studies, engendered community score cards, mid-term evaluations, ex-post evaluations, and impact evaluations; and (f) Participatory Community Monitoring and Accountability approaches and systems using Citizen Report Cards and Community Score Cards.

- Uganda Second Northern Uganda Social Action Fund provides a comprehensive and well described system for monitoring and evaluation that is detailed in a separate annex. This includes a description of the basic components and methodologies for all of the M & E instruments which encompasses an MIS system, process evaluation, participatory monitoring and evaluation, integration with the local government management information system, beneficiary assessments, and an impact evaluation.

In addition to these overall strong examples of M & E at the design stage, this review highlights several interesting components or approaches, including:

- The Liberia Community Empowerment Project PAD specifies that one of the prerequisites for CBOs to obtain the second funding installment will be that they provide baseline data on existing access to and use of the selected type of infrastructure of the sub-project. It is not clear whether this happened in practice.
- Also of note is the approach of the Yemen Social Development Fund, which is one of the few World Bank projects that has a rolling system of impact evaluations using the pipeline of projects as a baseline (see Box 2). The full schedule of key M &E activities entails: (a) an annual facility/project quantitative survey of randomly selected projects and a qualitative beneficiary impact assessment of the survey's subsample; (b) regular follow-up of projects during and after implementation; (c) periodic evaluations by external consultants of the SFD's innovative programs; and (d) impact evaluations to be conducted every three years. While the write-up of the Yemen approach in the PAD is slightly less strong, its implementation performance is highlighted in the following section.

Implementation Stage

i. Assessment of Performance

Reporting on KPIs is a core part of the implementation of M & E frameworks. Developing KPIs is only useful if they are actually collected and used. The overall rating by this review, as presented in Table 8 below, was satisfactory/marginally satisfactory in terms of regular updating and the utilization of KPIs to measure progress and inform decisions to correct problems. This analysis first looks at outcome indicators and then at intermediate outcome indicators:

Box 2: Yemen Social Development Fund's Approach to Successive Impact Evaluations

SFD carries out a rigorous impact evaluation study every three years to generate data for the evaluation of its impacts at the levels of Results and Development Goals at the household level. This system has been in place since 2003. Yemen uses a mixed method of quantitative and qualitative approaches based on a sample of households that are real or potential beneficiaries of the projects. The survey components include: a facility or project survey; a survey of (real or potential) beneficiary households of the sampled projects; and a beneficiary assessment/qualitative study of a sub-sample of the projects and communities in the project survey sample. The option of a randomized control group was considered not advisable because of both the possibility of "control group contamination" from other programs (public works, basic education) and political/ethical difficulties in excluding eligible communities in a demand driven program. Instead, to provide meaningful points of comparison the Impact Monitoring and Evaluation System will generate three sorts of observation:

- Baseline data for a group of sub projects that have been programmed by the SFD, but not yet completed.
- Ex-post data for a group of finished projects for which baseline data were collected previously; and recall data on ex-ante conditions for variables for which baseline data are not available.
- Ex-post data of the ex-post sample from the 2003 survey, in order to evaluate the medium term sustainability of the benefits which were observed at that point. The baseline dataset or ex-ante data for this sub-sample comes from the 1999 NPS.

The exercise will permit a systematic comparison of conditions relevant to the SFD intervention before and after the intervention takes place, through two sets of comparisons: (a) the conditions in beneficiary communities before the SFD intervention, and approximately three years after the intervention; and (b) the conditions in SFD beneficiary communities that have already had the investment, compared with those in the program "pipeline" that are to benefit from similar investments. The table below summarizes the system.

Baseline and Ex-post surveys for the SFD impact evaluation system

Year	Finished projects	Pipeline projects
Pre-2003		Baseline data collected as part of the 1999 NPS for 117 projects and their beneficiary communities.
2003-2004	Ex-post data collected for 100 projects between 1999-02 and their beneficiary communities, the baseline for which come from the 1999 NPS (Survey group 2)	A new set of Baseline data is collected for 101 new projects and communities in the SFD pipeline (Survey group 3).
2005-2006	Ex-post data collected for Survey Group 3 (Survey group 4E)	New Baseline data is collected for a set of projects in the pipeline (Survey group 5). Targeting can be analyzed for the new pipeline group to see how it compares with the previous pipeline group.
	Data from a return visit to completed projects collected for Survey group 2 (Survey group 4EE)	
2009	As above every 3 years.	

Source: SFD Monitoring and Evaluation Manual, 2005

Table 8: M & E System Performance

Rating	Was the data collection plan described in PAD actually implemented?	Are KPIs updated regularly?	Are the KPIs used to measure progress and to inform decisions to correct any problem identified?
1– Highly Satisfactory	1	1	1
2 – Satisfactory	2	3	4
3 – Moderately Satisfactory	1	1	
4 – Moderately Unsatisfactory	3	4	3
5 – Unsatisfactory			
6 – Highly Unsatisfactory		1	
Average Score	2.9	2.8	2.6

Outcome Indicators: In total, there were 61 outcome indicators developed for the 13 social funds in this cohort. Only 33 of them, or slightly over half, were presented in Annex 3. Many of these were developed during implementation, for example with improvements made to indicators at mid-term or to integrate IDA 15 indicators into results tracking. Of those outcomes indicators presented in Annex 3, 88% were transferred from PADs into ISRs. Overall, there was a very consistent effort to have project outcome indicators reflected in ISRs: of the 61 outcome indicators 51 were entered into ISRs. Of these 51 indicators, 37 (73 percent) had actual values entered, six were not applicable (for example when the only ISR available was the initial one), and 8 – or 16 percent - were not reported.

Intermediate outcome/output indicators: The performance for intermediate outcome/output indicators was less complete. Summary statistics are as follows:

- 159 intermediate outcome indicators across 13 projects (average 12 per project).
- 127 were drawn from Annex 3 (i.e. foreseen at appraisal)
- In terms of tracking during implementation, 87 were entered in ISRs, 19 were not applicable (i.e. first ISR not yet logged in) and 53 (about one-third) were not entered into ISR.
- Of the 87 entered into ISRs to track – 52 (or 60 percent) have data entered for them, 15 have not been tracked (i.e. 17 percent no reporting) and 20 are not yet applicable (i.e. projects not yet fully in execution).

This finding is surprising, since typically outcome indicators are more difficult to monitor versus the more output-oriented intermediate indicators. This shows that there is still some room for improvement in consistently and frequently tracking KPIs, particularly output oriented ones.

In addition, substantial restructuring of KPIs during execution was common, occurring in 7 out of the 10 project in the cohort that had already had more than one ISR entered (the remaining 3 were just recently launched). There were several reasons for this:

- To introduce IDA 15 and AARP reporting requirements. Several social funds, including those in Benin, Tanzania and the Democratic Republic of Congo, formally revised their KPIs to include these core common indicators: number of health centers built, number of classrooms built, number of water and sanitation system installed and kilometers of rural roads built.
- To correct on poor specification of indicators at project entry. A great deal of adjustment occurred as a result of poorly specified indicators at the outset.
- Tendency to drop indicators that could not be measured. Despite intentions up front, certain indicators could not be measured in practice and tended to be dropped from monitoring.
- To report on achievements not captured as KPIs at project entry. When the MIS system or evaluations generated data on outputs or outcomes that were not part of KPIs, reporting was retrofitted to capture this information.

By type of project, the five Emergency projects had satisfactory ratings for both design and implementation, showing that the country context does not necessarily mean weak M & E. On the other hand, the DPL format does not seem conducive for setting up effective results frameworks. The one DPL in the sample consistently received unsatisfactory ratings for M & E.

ii. Key Issues

Key issues in the implementation stage of results frameworks include:

- The ratings for M & E performance during implementation tended to be adversely affected by the ***lack of reporting on KPIs and on not carrying out the data collection plan as expected.*** Typical problems were delays in establishing MIS systems capable of reporting consistently on key output indicators as well as delays in contracting the various external studies, like technical audits, beneficiary assessments or baseline studies. For example, the Benin National CDD Project had an excellent design of a results framework but severe difficulty in carrying out the intended M & E activities. This may be indicative of the added challenges of trying to entwine a project monitoring system into existing national and decentralized agencies. However, there were also difficulties in contracting adequate staff for the project's M & E Unit, another common issue identified in several ISRs.
- ***Actual readiness in practice.*** Delays were in launching critical M & E activities were largely a result of incomplete preparation. In many instances, contracting of M & E staff took a good part of the first year of implementation, as did drafting M & E manuals and/or establishing MIS systems. Unless they were repeater operations, few projects were ready to hit the ground running on M & E.
- ***Inconsistent reporting of indicators.*** This is particularly true for the DPL format and most often, in the case of social funds, observed for output indicators.
- ***Frequency of reporting of KPIs.*** Even when indicators are reported, it is often not clear how often they should be updated. In many cases, indicators that should be derived from the social fund MIS, like percentage of projects in different poverty zones or physical outputs of projects (kilometers of roads repaired or number of classrooms constructed) are only updated on an annual basis. Most outcome indicators which rely on household level survey data can typically

only be reported following an impact evaluation, which in most cases means only reporting on them at the end of the project.

- ***Different types of instruments are needed to capture institutional development impacts.*** While many social fund projects have the intention of measuring institutional impacts, this is quite difficult in practice. Relying on activity-type indicators, like number of meetings or number of community development plans issued, are the easiest to report but do not really reveal capacity or other aspects of institutional development. Impact evaluations were almost exclusively oriented to capturing household, not institutional, information. Few projects presented clear methodologies for how they would assess institutional impacts, which weakened their ability to report on such program effects during implementation.
- ***General reshuffling of indicators during execution.*** There was a great deal of movement in KPIs during execution. In part this is due to lack of clear guidance as to whether all KPIs (for example the full list from Annex 3) need to be reported in ISRs and whether there is flexibility in introducing new or revised KPIs. While flexibility is an important attribute, the initial set of KPIs must be reported at the project closing phase as part of the ICR document. It is quite common that at the end of social fund projects, not all KPIs can be reported, causing difficulty in justifying the achievement of project objectives.
- ***Overly-ambitious expectations about capacity and time-frame needed to carry out evaluations.*** In many cases, the number of evaluations expected to be carried out, for example annual beneficiary assessments or monthly monitoring reports, could not be achieved.

iii. Good Practice during implementation

Some good proactive examples during execution include:

- The Democratic Republic of Congo presents a useful story of implementation challenges in a post-conflict setting. At project launch, implementation of the M & E component lagged behind. In response, escrow funding was used for an M&E expert to work intensively with the social fund to design an appropriate system, but progress on this issue remained slow. An M & E manual had not been drafted during preparation, so the social fund had to quickly catch up with general system design, development of reporting forms and staff training. The social fund identified an excellent MIS system used in another Bank social fund, which accelerated the implementation of its MIS. This close attention to M & E capacity during execution allowed for an upgrading of ratings to satisfactory based on improved reporting from the provinces and the utilization of monitoring data for programming supervision missions from Kinshasa.
- Yemen is a good practice example of a mature social fund with a good track record of M & E. All systems were in place at project launch, including a detailed M & E plan and manual and a well-experienced staff. Yemen's experience in robust impact evaluation had led the Yemen team to act as a technical reference point for impact evaluations, attracting international attention. It is worth pointing out that this is not generally reflective of other program in Yemen. The SDF is an example within its own country of effective results monitoring and reporting.

5. Use of Results

i. Description of general practice

Typically there are several instruments that allow for Task Teams and Bank Management to use results focus as a management tool. Routine reporting through the ISR allows for Task Teams to review whether results are in fact being tracked by project teams and in turn allows Bank Management to track whether Task Teams are monitoring outcome and output results of Bank projects.

ii. Assessment of Performance

Table 9: Use of Results by Bank Team and Management

Rating	Most recent M&E rating in ISR?	M & E issues discussed under key issues/actions for management?	Is Bank management commenting on results and M & E issues?	Summary rating of results monitoring and use by the Bank
1– Highly Satisfactory	1	2		1
2 – Satisfactory	7	3	5	5
3 – Moderately Satisfactory	2	1	2	1
4 – Moderately Unsatisfactory	1	2	1	2
5 – Unsatisfactory				
6 – Highly Unsatisfactory		1		1
Average Score	2.3	2.5	2.5	2.9*

*This composite score also include quality of indicators and links to PDO which were covered in the previous section.

Bank management and task teams were relatively diligent about addressing M & E issues and adjustments to M & E ratings were common. However, the section ‘quality of the information on outcomes’ does not seem to be used actively or effectively in ISRs.

In terms of using results as a management tool, there was satisfactory performance by Bank Task Teams in discussing M & E issues under key actions/issues as well as satisfactory attention by Bank management to these issues. Of the 13 social fund projects reviewed, 4 were only recently launched so it was too early to tell. Five projects showed signs that M&E issues were not only well tracked, but M & E ratings in the ISRs had been either downgraded or upgraded in response to performance.

iii. Key Issues during implementation

The main issues in terms of use of results by the Bank include:

- **Ensuring that PDO ratings are well-substantiated by KPI reporting.** In cases where key performance indicators were not consistently reported, it is difficult to see how the Task Team justifies PDO ratings.
- **While downgrading of M & E ratings was fairly common, this did not seem to affect overall project ratings.** At a certain point, unsatisfactory ratings for M & E should affect overall implementation ratings, given the importance of tracking project performance.

iv. Good Practice

Good practice examples of task team and management attention to results during implementation include:

- The Benin National CDD Project ISRs shows a very proactive approach by the Bank Team. For example, the M&E rating has been downgraded to U because the M&E Unit of the PIU has not performed satisfactorily and the Project management has decided to terminate the contract of the M&E specialist and re-open the competition. An emergency plan designed in June 2006 was updated to ensure the availability of baseline data, technical audit and beneficiary assessment. M & E issues were often picked up in the Priority Actions such of the ISRS to alert management to evolving issues.
- The Bank Management Team showed particular attention to M & E issues during implementation of the Tanzania Social Action Fund Project. The Country Director not only commented on the adequacy of the PDO, but consistently tracked its achievement, challenging the Task Team to justify the satisfactory rating of achievement of development objective against the outcome KPIs.

6. Main Messages and Conclusions

PDOs

Social fund PDOs are relatively well-specified, with an almost universal emphasis on improving access to services among a targeted population, most commonly poor communities or those affected by different kinds of shocks. Beyond these impacts on communities and households, social funds typically seek institutional impacts, particularly at the community level. However, rarely do social funds take on broader objectives dealing with national and sectoral level institutions and outcomes.

To ensure quality of PDOs, social funds should make sure to specify as narrowly as possible the target beneficiaries, and in particular whether the goals apply to communities or households in terms of access to services and when vulnerable groups are addressed, these should be specified. Higher order objectives, like poverty reduction, are difficult to achieve or attribute to one project intervention, though social funds that include economic objectives should have some form of income effect. In terms of institutional objectives, PDOs should seek to more narrowly specify the type of impact – on social

cohesion, ability to manage resources, trust in government, better match between community goals and investments, etc.

KPIs

KPIs for social funds were generally developed satisfactorily, particularly in the main areas of social fund emphasis. Baselines and targets were set for the majority of operations. Nonetheless, many indicators could be better specified, including a better identification of credible data sources.

In addition, there are several often-missed opportunities to construct better KPIs and track them more consistently:

- Using the ex-ante appraisal process to build baseline indicators
- Using the ex-post period to continue to collect outcome indicators
- Comparing across similar types of interventions in the same country
- Development of a set of consistent indicators across SF/CDD programs

Design and Implementation of M & E

Overall, design and implementation of social fund M & E systems is satisfactory. The core packet of components typically consists of an MIS, process evaluations and beneficiary assessments. Technical audits, impact evaluations and other participatory M & E approaches are used by about half of the cohort. The majority of KPIs are reported on.

Several improvements over current practice are possible by:

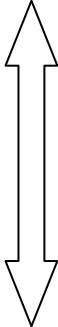
- Providing greater specificity and a deeper level of detail in the preparation of M & E frameworks
- Reviewing the kind of indicators used to measure institutional impacts and the instruments used to collect data on these impacts. This is an area where the Network should provide greater technical guidance to task teams.
- In general, greater discrimination in the selection of KPIs and less 'churn' in changing KPIs during execution.
- More realistic assessment of the capacity and timing for evaluations, taking into consideration the need to develop terms of reference and carry out the contracting process.
- There needs to be greater clarity on expectations about robust impact evaluations. Most of the social funds use outcome KPIs that would imply the need for robust impact evaluations, like changes in household access to and utilization of services, or poverty level of beneficiary households, etc. While social funds were at the forefront of standardizing impact evaluations in the last 20 years, but it is not clear whether each and every subsequent social fund project must

plan for and carry out a robust impact evaluation. Clear guidance from Bank management, in consultation with IEG, would be helpful to Task Teams.

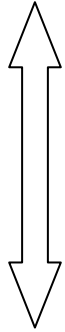
Use of Results

Bank Task teams and management appeared relatively well engaged in monitoring the use of results. However, performance could be improved in several ways, including (i) more consistent reporting by task team as to whether key components of the M & E framework are on track; (ii) identification of M & E issues under Priority Actions with time bound actions required, and (iii) more consistent attention to M & E beyond disbursements by a segment of Bank Managers.

Appendix 1: Sample KPIs by Project Objective Area

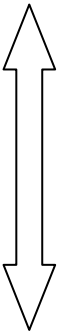
Focus area	Sample KPIs	Data Collection Instruments	SP thematic area	Lending Instrument
Access to public services and infrastructure (local public goods)				
<p>More final outcome oriented</p>  <p>More project output-oriented</p>	Net enrollment grade (by grade and/or gender)	Household surveys	Social Funds	SIL
	% of people with access to safe drinking water	Household surveys	Social Funds	SIL
	Increase in population with access to improved health facilities within 5km	Household surveys or health information system if functioning	Social Funds	SIL
	Increase with population with access to improved economic infrastructure (roads, irrigation, markets)	Household surveys or Project MIS	Social Funds	SIL
	% of sub-projects operational and maintained one year after completion	Facility surveys	Social Funds	ERL
	% households reporting utilization of health centers	Household surveys	Service Delivery	SIL
	Proportion of births attended by skilled health personnel	Household surveys	Service Delivery	SIL
	Availability of essential drugs at health facilities (%) (Percentage of months with tracer drugs availability)	Facility survey or health information system if functioning	Service Delivery	SIL
	% of births in rural targeted communities in accredited facilities	Household survey including demographic information	Social Safety Nets	DPL
	% of children in poor households (quintiles 1 and 2) in targeted communities participating in Early Childhood Education Services	Household survey (linked with national income or consumption household data)	Social Safety Nets	SIL

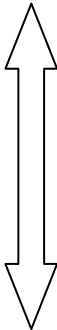
	% of public works assessed to be satisfactory (using PW Review performance criteria - eligibility, appropriateness, effectiveness, quality and sustainability)	Technical audits	Social Safety Nets	ERL
	Number of communities benefiting from at least one sub-project	Social Fund MIS	Social Funds	ERL
	% of targeted Roma settlements water points constructed or rehabilitated	Administrative data	Social Safety Nets	SIL
	# of classrooms/health centers constructed	Social Fund MIS	Social Funds	ERL
	% of classrooms replaced in 40 schools damaged by the Tsunami	Administrative data	Social Safety Nets	ERL
	% of kilometers of rural roads rehabilitated	Administrative data	Social Safety Nets	ERL
	# of bednets, contraceptives etc. distributed	Administrative data from sector	Service Delivery	SIL
	# of service workers deployed (teachers, health workers, etc.)	Administrative data from sector	Service Delivery	SIL
Access to economic opportunities				
More final outcome oriented	Number of participants exiting the program into formal employment (Annual).	Household surveys	Labor markets	SIL
	An increase in the employment rate of younger workers to at least 23 percent (age 15-24)	National surveys (eurostat)	Labor markets	DPL
	% increase of the rate of employment of youth benefiting from multifunctional centers services	Household survey or national labor force survey with beneficiary oversampling	Social Safety Nets	SIL
	An increase in the activity rate of older workers to at least 45 percent (age 55-64)	National surveys (eurostat)	Labor markets	DPL



More project output-oriented

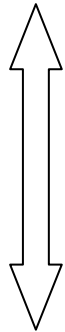
Percentage of graduates employed or self-employed six months after program completion	Household surveys, tracer studies of ex-participants	Labor markets	SIL
Employment rate for labor market program graduates	Tracer studies of ex-participants	Service Delivery	
Wages of graduates of long term training program of the project institutions by student origin.	Household surveys, tracer studies	Labor markets	SIL
# of households with annual increase in average incomes	Household surveys	Social Funds	APL
% of microfinance savers/borrowers confirming an improvement in their household living standards	Tracer studies, beneficiary surveys	Social Funds	SIL
Cumulative # of farming HH receiving and using extension packages (millions)	Project or sectoral information system (distribution of packages), household or farm surveys (using packages)	Service Delivery	SIL
# of income generating local community groups formed	Social fund MIS	Social Funds	SIL
% of supported MFIs reaching operational self-sufficiency	Survey of MFIs	Social Funds	SIL
Reduction in job search waiting time	Household survey or program MIS if reported	Service Delivery	SIL
Number of beneficiaries of program X.	Project MIS	Labor markets	SIL
Number of Employment Offices providing Program X Services	Administrative information systems	Labor markets	SIL
Number of firms registered in program X	Project MIS	Labor markets	SIL

	# of clients of supported MFIs	Social Fund MIS	Social Funds	SIL
	# of beneficiaries trained in income generating activities	Social Fund MIS	Social Funds	SIL
	Cumulative # of people trained (farmers, micro-entrepreneurs etc.)	Project or sectoral information systems	Service Delivery	SIL
Temporary income support (unconditional transfers, public works CCTs, etc.)				
<p>More final outcome oriented</p>  <p>More project output-oriented</p>	Increased income from wages (income transfers) from PWP works	Household surveys	Social Funds	SIL
	% of beneficiaries of grants for productive projects engaged in activities generating income at least equal to AR\$150/mo after 18 months of operation	Household survey	Social Safety Nets	
	% of beneficiary households that receive PSNP resources reporting no distress sales of assets to meet food needs	Beneficiary survey	Social Safety Nets	SIL
	<i>Net</i> improvement in household total, food (including fruits and vegetables) and protein consumption in large municipalities.	Household surveys including consumption module for treatment and comparison groups	Social Safety Nets	SIL
	Average number of months that PSNP households report being food insecure	Beneficiary survey	Social Safety Nets	SIL
	% of labor intensity of public works sub-projects	Social fund MIS	Social Funds	
	Proportion of bi-monthly payments based on a complete cycle of co-responsibilities verification and application of sanctions	Administrative data	Social Safety Nets	SIL
	Person-days provided in labor intensive public works program (number)	Social fund MIS	Social Funds	SIL

	Percentage of farmers who have been affected by the Tsunami receiving compensation grants.	Administrative data	Social Safety Nets	ERL
	# of communities benefitting from public works sub-projects	Social fund MIS	Social Funds	
	% of transfer payments delivered to beneficiaries by the 13th of the payment month	Administrative data	Social Safety Nets	SIL
Human development outcomes				
<p>More final outcome oriented</p>  <p>More project output-oriented</p>	Increased primary school enrollment and completion rates in SF-supported communities	Household surveys	Social Funds	SIL
	<i>Net change</i> in chronic malnutrition amongst children under 5 in large municipalities.	Household survey with anthropometric module applied to treatment and comparison groups; possibly, Health MIS if available and feasible to distinguish treatment and comparison groups	Social Safety Nets	SIL
	<i>Net change</i> in secondary school completion rate of PATH students-boys and girls	Household survey applied to treatment and comparison groups; possibly, Education MIS if available and feasible to distinguish treatment and comparison groups	Social Safety Nets	SIL
	Increase DPT, Triple Viral, and polio vaccination of the population age 0-5 resulting in 3.6 million new children vaccinated.	Sectoral information systems, Health surveillance system	Labor markets	SAL
	Increase in primary completion rate	Household surveys or sectoral information systems	Service Delivery	PRSC

Increase basic and secondary school enrollment rates by creating 1.4 million new spaces, in addition to the existing 7.8 million spaces.	Household surveys , Sectoral information systems	Labor markets	SAL
Annual dropout rate (%) of students in primary and secondary schools	Facility or household surveys	Social Funds	SIL
Reduction in child underweight rate	Household survey (with anthropometric module) or health information system	Service Delivery	PRSC
% of under-fives malnutrition using weight for age method	Household surveys	Social Funds	SIL
Incidence of diarrhea in communities implementing water and sanitation subprojects	Household surveys	Social Funds	SIL
% of children vaccinated	Household surveys and health information system	Social Funds	SIL
% of women receiving prenatal care in project communities	Household and facility surveys	Social Funds	SIL
Average daily medical consultations in health centers	Facility surveys of health information system	Social Funds	SIL
HIV/AIDS prevalence rate	Health surveillance system	Service Delivery	PRSC
Infant/child mortality rate	Household surveys	Service Delivery	SIL
DTP 3 vaccination rate of children below 1 year	Sectoral information systems	Service Delivery	PRSC
Contraceptive Prevalence Women ages 15-49	Household survey	Service Delivery	SIL
% of children under 3 with anemia in 165 high risk municipalities	Household survey including blood samples	Social Safety Nets	
% of married women aged 15-49 using modern contraceptives	DHS type survey	Social Safety Nets	DPL

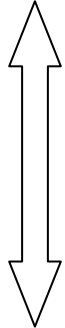
	Percentage of children 0-5 years old with complete immunizations for their age group	Household survey; Health MIS if available	Social Safety Nets	SIL
	Education test scores	Sectoral information system	Service Delivery	DPL
	Share of PATH secondary school boys attending school 85% of the time	Household survey, Program MIS	Social Safety Nets	SIL
	Proportion of children under 2 years old who participate in the growth monitoring according to agreed protocols in the areas of intervention	Household survey; Health MIS if available	Social Safety Nets	SIL
	Percentage of families meeting their education co-responsibilities	Program MIS	Social Safety Nets	SIL
Reaching specific vulnerable groups/targeted groups				
More final outcome oriented	Number of workers that receive severance pay (job loss compensation)	Specific assessment and surveys	Labor markets	SAL
	Increase the number of poor children age 0-5 affiliated with the nutrition program	Project MIS/Beneficiary registry	Labor markets	SIL
	Percentage of program beneficiaries women	Project MIS	Labor markets	SIL
	Number of workers receiving labor redeployment services.	Project MIS	Labor markets	SAL
	Percentage of beneficiaries that come from priority areas as identified in the poverty map.	Administrative information system	Labor markets	SIL



More project output-oriented

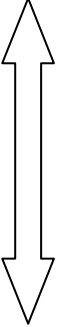
% of project resources (or beneficiaries) from the lowest 20% of poverty deciles	Household surveys (linked with national household surveys for national poverty rankings)	Social Funds	SIL
Increased number of poor people with access to social services.	Household surveys	Social Funds	ERL
Number of kindergarten children with disability benefiting from the kindergarten centers	Facility survey	Social Funds	SIL
Community Management Committees have at least 50% of elected women	Social Fund MIS	Social Funds	SIL
% of project resources disbursed to the poorest districts/municipalities	Social Fund MIS	Social Funds	SIL
Number of communities mapped and profiled (with participatory poverty assessments)	Social Fund MIS	Social Funds	SIL
% of citizens with access to services by poverty quintile	Household survey	Service Delivery	
Increased access to services (e.g. institutional births, school enrollment etc.) in poorest geographical areas	Sectoral data crossed with poverty mapping information	Service Delivery	DPL
% of vulnerable groups (e.g orphans, elderly) using health and education services	Household survey	Service Delivery	
% of program expenditures (or % of beneficiaries) on poorest household quintile	Household survey	Service Delivery	TA
At least X percent of grants provided for inclusion activities to marginalized groups in project municipalities are disbursed	Project MIS	Service Delivery	SIL

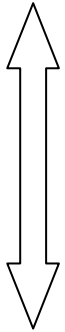
% of programs utilizing proxy means test and other targeting criteria	Administrative data	Service Delivery	TA
Percentage of disbursed cash transfers received by households in quintiles 1 and 2	Household surveys (linked with national income or consumption household data) including social programs module	Social Safety Nets	SIL
Share of program participants in lower half of income distribution	Household surveys (linked with national income or consumption household data) including social programs module	Social Safety Nets	SIL
% of children in Q1 registered for PATH	Household surveys (linked with national income or consumption household data) including social programs module	Social Safety Nets	SIL
% reduction in the gap between targeted poor Roma settlements and neighboring communities as measured by the living conditions index	Depending on exact definition of living conditions index may need census data, community surveys or household survey representative at the community level	Social Safety Nets	SIL
% of revised SISBEN 1 families in newly entered municipalities registered in the program	Administrative data	Social Safety Nets	SIL
% of ECE interventions in communities with more than 50% Roma population	Census data to identify target communities and administrative data	Social Safety Nets	SIL
% of districts with at least 85% of households with completed needs assessment	Administrative data	Social Safety Nets	SIL
% recertification of PATH families with children due to be recertified after 4 years enrollment	Administrative data	Social Safety Nets	SIL

Community empowerment and capacity building (non-government)				
<p>More final outcome oriented</p>  <p>More project output-oriented</p>	% of participating communities have improved their capacity to implement the CDD approach, and comply with at least 10 CDD capacity indicators	Social Fund MIS, Community surveys	Social Funds	SIL
	# of local executing agencies with improved capacity for planning and implementing community development projects	Community surveys	Social Funds	ERL
	% of communities applying acquired skills in activities beyond social fund project (use of community management committee, social audits etc.)	Community surveys	Social Funds	DPL
	% of facilities adequately maintained by the community	Facility surveys	Social Funds	
	At least 90% of sub-projects undertaken reflect the priorities of targeted communities and beneficiaries	Household surveys, participatory M & E instruments	Social Funds	ERL
	% of beneficiaries reporting participating in identification and execution of sub-projects	Household surveys, participatory M & E instruments	Social Funds	SIL
	# of capacity-building events carried out for beneficiary CBOs each year	Social fund MIS	Social Funds	ERL
	% of communities benefiting from social mobilization	Social fund MIS	Social Funds	ERL

Increase in citizen satisfaction with social services as measured by Citizen Report Cards and Community Score Cards	Participatory M & E instruments	Service Delivery	SIL
% of citizens who report knowledge about local budgets	Household survey or participatory M & E instruments	Service Delivery	SIL
Improved women's understanding of their right to an institutional birth and the standards for a good-quality birth	Household survey or participatory M & E instruments	Service Delivery	DPL
Increased connectivity to and usage of national information management networks, by local service providers	Administrative information, service provider surveys	Service Delivery	SIL
# of local management committees established for social services	Project (or sectoral) information system	Service Delivery	TA
Share of coverage in community services by NGOs and community groups	Sectoral information systems	Service Delivery	
% of Roma population from targeted poor settlements agreeing that subprojects reflect community priorities	Household surveys, participatory M&E instruments	Social Safety Nets	SIL
Proportion of OVC households aware of program information, such as objectives, eligibility criteria and use of funds	Beneficiary surveys, participatory M&E instruments	Social Safety Nets	SIL

	% of kebeles that have developed and approved safety net plans, taking into-account community preferences	Administrative data, performance audits	Social Safety Nets	APL
	% of public sector organizations that hold partner forums on a regular basis to report on planning decision and progress.	Administrative data	Social Safety Nets	SIL
Local government institutional capacity building				
More final outcome oriented	Household perceptions of local government transparency, capacity and responsiveness	Household surveys, participatory M & E instruments	Social Funds	SIL
	% of local governments able to set objectives and achieve at least X% of their annual targets	Local government surveys	Social Funds	APL
	% of local government annual investments consistent with Community Development Plans	Local government surveys	Social Funds	SIL
	Beneficiary satisfaction with training received at the local government level	Community and local government surveys, participatory M & E instruments	Social Funds	SIL
	Legal and administrative texts have been adopted allowing local governments to pass through funds to community groups	Administrative information	Social Funds	SIL
	% of social fund projects executed by local governments	Social fund MIS	Social Funds	SIL

 <p>More project output-oriented</p>	# of local government officials trained	Social fund MIS	Social Funds	SIL
	Citizens reports of quality of basic services delivered by local government	Participatory M & E instruments or household surveys	Service Delivery	
	Subnational governments expenditures on basic services	Sectoral budget information	Service Delivery	SIL
	Allocation of financing from State government to local self governments for health and education services	National and sectoral budget information	Service Delivery	SIL
	Share of local government budgets spent of social services	Local government budget information (systematized or via sample surveys where systems lacking)	Service Delivery	DPL
	Number of local service providers (PHCs, schools, CSWs and NGOs) accredited by the relevant institution in their sector	Sectoral information systems	Service Delivery	SIL
	# of local government units trained in sectoral service programs	Administrative information systems	Service Delivery	TA
National/sectoral government institutional capacity building				
More final outcome oriented	Number of job seekers, as reported by the LFS, served by the National Employment Service	Administrative information system	Labor markets	SIL
	Formulation of a viable Pension System Development Strategy and progress in its implementation	Administrative data	Labor markets	SIL



More project output-oriented

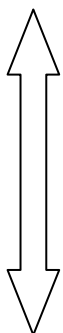
Labor market information (LMI) system in place and two reports on labor market situation and trends published	Sectoral information systems	Labor markets	SIL
Number of new small business incubators established.	Project MIS	Labor markets	SIL
Number of new module training programs developed and in use and number of new module training centers fully functional	Project MIS	Labor markets	SIL
Operations guidelines and manuals for a new menu of ALMPs prepared and in use	Administrative information system	Labor markets	SIL
Central and regional Career Counseling Centers operational	Administrative information system	Labor markets	SIL
Citizen knowledgeable about basic services (availability, eligibility, transparency)	Participatory M & E instruments	Service Delivery	
% of social program budget distributed based on new program-based model of allocation	Sectoral budget information system	Service Delivery	TA
Number of external evaluations of social program performance conducted	Administrative data	Service Delivery	TA
Monitoring and evaluation system for prioritized national strategic social programs operating as evidenced by timely monthly MIS reports	Administrative data	Service Delivery	TA
Number of Results Agreements signed between national planning office and sectors	Administrative data	Service Delivery	TA

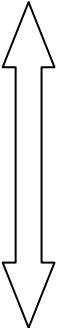
Decrees published relating to social program operations	Administrative data	Service Delivery	
Percentage of civil registry offices which have their records updated, modernized and operational, as evidenced by the establishment of a new computerized system	Administrative data, technical/operational audits	Social Safety Nets	ERL
% of households in the targeting database whose poverty status is verified through home visits at least once every three years	Administrative data, technical/operational audits	Social Safety Nets	DPL
% of grievance redressal claims settled within three months of application	Administrative data	Social Safety Nets	TA
% of BISP positions that are filled with qualified staff according to official examination system	Administrative data	Social Safety Nets	TA
% of social welfare facilities have acceptable hygienic standards in place to meet national criteria	Administrative data, operational audits, facilities survey, spot checks	Social Safety Nets	SIL
% of MoSD staff with completed training envisaged in the Human Resources Development Strategy	Administrative data	Social Safety Nets	SIL
% of municipalities with indicators of payment process in yellow and red alert	Administrative data	Social Safety Nets	SIL
% of departmental offices for the First Employment Program (DOFEP) operating and connected to the MIS (as described in the operational manual)	Administrative data, operational audits, spot checks	Social Safety Nets	SIL

Quality of services/service delivery

	Increase in average percentage earnings of PJE graduates compared to the control group.	Impact evaluation surveys	Labor markets	SIL
	Improved user satisfaction with program X and its affiliated agencies# services	Participatory M&E/Beneficiary Assessments	Labor markets	SIL
	Amounts claimed to agency X for reimbursement due to negative balances in the payment of allowances through compensatory system.	Project MIS/ Participatory M&E	Labor markets	SIL
	Number of beneficiaries receiving their transfers directly in their bank accounts.	Project MIS/Administrative data	Labor markets	SIL
	Number of people-times of use of services (job counseling, referral, and guidance) provided by project-invested employment institutions, monthly average, by origin of the user	Project MIS	Labor markets	SIL
	Number of migrants-times receiving legal assistance in project-invested pilot localities annually	Specific surveys	Labor markets	SIL
	Increase in the number of new courses offered by program X	Project MIS	Labor markets	SIL
	Teachers trained and certified in adult education methodology.	Sectoral information system	Labor markets	SIL
	Material improved and provided to each student	Participatory M & E instruments	Labor markets	SIL
	Life skills modules incorporated in all programs	Project MIS	Labor markets	SIL

More final outcome oriented	Community satisfaction with service quality	Participatory M & E instruments, household surveys	Social Funds	SIL
	Student/teacher (or student/classroom) ratio	Facility surveys, education system information	Social Funds	SIL
	% of health centers staffed to sectoral norms	Facility surveys or health information system if functioning	Social Funds	
	Availability of basic medicines in supported health centers	Facility surveys	Social Funds	
	# of desks, books and other inputs per student	Facility surveys	Social Funds	
	Quality rating of local infrastructure (schools, health centers, water systems, roads etc.)	Facility surveys, technical audit	Social Funds	
	# of facilities with local community management committees established	Facility surveys, social fund MIS	Social Funds	
	Average pupil-teacher ratio (e.g. grades 1-4)		Service Delivery	SIL
	Share of qualified health staff in rural areas	Sectoral information system	Service Delivery	DPL
	Public perception of service quality	Participatory M & E instruments, household surveys	Service Delivery	SIL
More project output-oriented	% of health posts without shortages of injectable contraceptives in last 3 months	Sectoral information systems	Service Delivery	SIL
	Increase in the use of Standard Treatment Protocols in project-supported hospitals	Sectoral information systems	Service Delivery	SIL



	Number of textbooks per primary school student	Sectoral information systems	Service Delivery	PRSC
	% of teachers receiving in-service training	Sectoral information systems	Service Delivery	SIL
Fiscal objectives/efficiency				
<p>More final outcome oriented</p>  <p>More project output-oriented</p>	Average unit costs of infrastructure (compared to other programs)	Social fund MIS	Social Funds	
	% of operating costs as a share of total costs	Social fund MIS	Social Funds	SIL
	Local contributions as a share of total social fund investments	Social fund MIS	Social Funds	
	% of sub-project executed within timeframe and budget	Social fund MIS	Social Funds	SIL
	Total Federal block grants to basic services as a share of total Federal discretionary expenditures	National budget information system	Service Delivery	SIL
	% of treatment municipalities making financial allocations based on agreed formula in health sector	Administrative information system	Service Delivery	SIL
	% of non wage executed budget	Sectoral budget information system	Service Delivery	DPL
	Annual budget of national strategic social programs	National budget information system	Service Delivery	TA
	% of priority social program expenditures on administrative overhead	Program or sectoral information systems	Service Delivery	

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Abstract

The Results Readiness Review assessed progress to date on results-based management in the Social Protection & Labor (SP&L) portfolio and generated operationally relevant knowledge on how to strengthen Monitoring & Evaluation (M&E). Specifically, the Review took stock of the status and quality of M&E in the SP&L portfolio, including both investment and policy-based lending. The Review identified trends, strengths and weaknesses, and good practice M&E approaches and indicators to incorporate a better results focus in project design and implementation. This related Note provides guidance for World Bank Task Teams working in the area of Social Funds.

HUMAN DEVELOPMENT NETWORK

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