

TRUST FUND FOR STATISTICAL CAPACITY BUILDING

GUIDELINES AND PROCEDURES

TFSCB ADMINISTRATION UNIT



DEVELOPMENT DATA GROUP
THE WORLD BANK
SPRING 2017

TRUST FUND FOR STATISTICAL CAPACITY BUILDING (TFSCB)

GUIDELINES AND PROCEDURES

TFSCB follows OP/BP 10.00, *Investment Project Financing, Small Projects*, and OP/BP 14.40, *Trust Funds*, and other relevant policies and regulations that govern the trust funds in the Bank, including the new Small Grants Procedures for Recipient-Executed Trust Funds ([Procedures for Small Recipient-Executed Trust Fund Grants and Guidance Note](#)¹).

The purpose of these guidelines and procedures is to help task teams prepare TFSCB funding proposals. TFSCB proposals are expected to be self-contained and should provide all the necessary information for a full consideration of the funding request.

OVERVIEW OF TFSCB

PURPOSES OF THE TFSCB

The Trust Fund for Statistical Capacity Building (TFSCB), a multi-donor trust fund, was established in 1999 by the Development Data Group of the World Bank to strengthen the capacity of statistical systems in developing countries. It is closely coordinated with the work of the Partnership in Statistics for Development in the 21st Century (PARIS21) and is part of the worldwide effort to reduce poverty by strengthening the evidence base for decision-making at all levels. In coordination with national governments and development partners, TFSCB provides a practical mechanism to achieve the PARIS21 vision; that is, to develop effective and efficient national statistical systems and to promote a culture of evidence-based decision making.

In 2011, the Busan Action Plan for Statistics (BAPS) was approved at the Fourth High-Level Forum on Aid Effectiveness held in Busan, Republic of Korea. The BAPS builds on the Marrakech Action Plan for Statistics (MAPS), which has been in place since 2004. It puts particular emphasis on integrating national statistical activities with national planning, promoting open access to statistics and increasing knowledge and skills needed to use statistics effectively. Consistent with the BAPS and the need to monitor the Sustainable Development Goals, TFSCB pays special attention to improving the production and use of gender statistics; advancing the data foundation for measuring sustainable development; experimenting with innovative approaches in gathering,

¹ Please use the latest versions.² This threshold is updated annually in July.

producing and using data; and making government data more accessible. The TFSCB helps countries put BAPS into effect, ensuring that financing to improve statistical activities is robust and flexible.

The TFSCB finances four types of projects, with an emphasis on World Bank low income member countries (2016 Atlas GNI per capita of US\$1,025 or less.²) The first type of TFSCB project supports the preparation of a National Strategy for the Development of Statistics (NSDS) and the updating or upgrading of an existing NSDS. TFSCB works with PARIS21 to ensure that all low income countries have an integrated and comprehensive plan for the strategic development of their national statistical systems. The purpose of an NSDS project is to define a national long-term strategy to develop an efficient and sustainable statistical system in the recipient country. Strategies will differ from country to country due to differences in the political and cultural environment, the administrative structure (e.g. federal or centralized) and economic situation. An NSDS should be adopted at the highest possible political level after having reached a consensus among all stakeholders of the statistical system (i.e. Ministry of Finance, Central Bank, relevant line ministries, etc). PARIS21 has developed guidelines and recommendations for the production of an NSDS, which should be used wherever possible.³

The second type of project supports Statistical Capacity Building (SCB) activities in priority areas as identified in the country's NSDS. For instance, these projects may target the implementation of one or more critical components of an NSDS. SCB projects are expected to be based on a formal assessment of the statistical system (Open Data implementation projects should be based on the ODRA report and action plan) and must demonstrate how they will address the main capacity weaknesses. If a country does not have an NSDS or ODRA, it is strongly encouraged to prepare one before applying for an SCB grant or Open Data implementation grant. Project proposals are required to set out specific targets for capacity development. The resources provided by the grant must be additional and cannot be used simply to replace national budgetary resources or fund regular work programs. For example, while it may be possible to use grant funds to meet some of the costs of data collection activities, especially where new or pilot activities are being tested, projects that are just concerned with maintaining existing systems are unlikely to be approved.

The third type of project is support to Data Production (DP) in key areas (this is a *pilot* program and countries will be invited to participate). These projects aim to fill key data gaps linked to the need for monitoring the Sustainable Development Goals (SDGs). One initial area of focus is household surveys, as data from these surveys will feed into

² This threshold is updated annually in July.

³ The latest version of the PARIS21 NSDS Guidelines, "NSDS 2.0", is available [here](#).⁴ TFSCB Grants can finance open data readiness assessments (ODRA) and technical assistance and training for ODRA implementation, depending on the country's needs and request for support. Country-specific grant proposals for ODRA implementation must include the ODRA report and action plan in the grant proposal. ODRA implementation grants for IBRD countries will have higher expectations in terms of three metrics: quality of the OD portal, number of datasets included in the OD portal, and number of data uses (apps, visualizations, data mash-ups, or similar).⁵ As TFSCB grants are required to follow World Bank operational procedures, this section refers to the project cycle only as it relates to TFSCB requirements.

numerous SDG indicators. Another key area is National Accounts, including provision for source data improvements or execution of needed surveys, such as establishment, price or informal sector surveys.

The fourth type of project supports implementation of Innovations in Development Data (IDD) with the aim to improve production, dissemination and use of data with new approaches, collaboration and technology. This is also a pilot program and teams will be invited to participate. IDD projects are expected to target improvements where needs are continuous or recurrent, and where innovations can be readily adapted to other regions and sectors. The aim is also to create change beyond the funded projects and programs through knowledge-sharing to encourage learning and capacity development in the field of development data. This pilot brings a particular focus to supporting collaboration of data users and producers to implement collective action solutions to improve the availability and quality of data for development.

In all types of project proposals, the recipients are required to demonstrate their commitment to the project by providing some contribution to the overall cost, which may be a monetary or in-kind contribution (a higher share of the total grant is expected as contribution from Middle Income countries than Low Income countries).

KEY FEATURES OF TFSCB

- Aims to achieve the PARIS21 vision and is a key component in supporting the implementation of the Busan Action Plan for Statistics.
- Fosters evidence-based policy making and effective monitoring.
- Promotes a strategic approach to the development of statistical capacity, supporting the preparation and implementation of nationally prepared and owned strategic statistical development plans.
- Provides an intervention mechanism to help initiate changes in policy and decision-making through improved availability and use of information and statistical data.
- Most projects operate at the national or sub-national level, but the trust fund can also support regional and global projects where there is a case made for intervention at this level.
- Improves the use of resources for development through better-informed decision making, resulting from improved statistical systems and hence better data quality and analysis.
- Promotes partnerships and improves coordination among local and international agencies and civil society organizations.

USES OF THE FUND

- The TFSCB finances four kinds of projects as outlined above, which are results-oriented and promote partnerships and knowledge sharing:

- i. National Strategy for the Development of Statistics;
 - ii. Statistical Capacity Building;
 - iii. Data Production (*Pilot*); and
 - iv. Innovations in Development Data (*Pilot*).
- TFSCB grants may be used to finance country-based activities, or regional/global programs.
 - Regional and global projects will only be financed where there is a clear case of intervention at this level and where a single implementing agency is identified.
 - It is also important to note that TFSCB has been set up to build and improve statistical capacity. Applications must indicate where capacity weaknesses in the statistical system presently exist and how the proposal will address them.

ILLUSTRATIVE ACTIVITIES

In light of the above discussion of statistical capacity building, the following is an illustrative list of activities, which might be proposed for financing under TFSCB.

(A) NSDS PROJECTS

Supporting the preparation of an NSDS is a key activity under the TFSCB. More detailed information on good practices in the preparation and implementation of an NSDS can be found on the PARIS21 website. For NSDS proposals the upper limit of the project budget is determined case-by-case, based on the size and the needs of the recipient country. Past experience suggests that most projects require less time than other types of TFSCB projects and are normally completed within one year (however the maximum period is two years). In summary, the process is expected to involve the following steps:

- A detailed assessment of the current statistical system (for example, using a framework such as the GDDS, DQAF, US Census Bureau Tool for Assessing Statistical Capacity, or the UNECE Assessment Questionnaire) identifying strengths and weaknesses and looking at all aspects of activities from the quality of the output to other aspects such as finance and management;
- An identification of all of the main stakeholders in the statistical system and the establishment of processes and procedures for regular consultation;
- The development of a medium-term strategic vision, setting out where the statistical system expects to be within the next five to ten years;
- The identification of the main priority actions that will be needed to address the weaknesses and achieve the vision (areas could include the regulatory and managerial framework, statistical infrastructure, statistical operations and procedures, human resources, and physical infrastructure);
- Putting together a detailed implementation or action plan; and

- Establishing an implementation mechanism, including a financing plan, mechanisms for monitoring and reporting on progress at regular intervals, and a process for review and evaluation.

A well-developed NSDS could provide a basis for a larger, more comprehensive project - for instance financed by a lending operation.

(B) STATISTICAL CAPACITY BUILDING PROJECTS

The maximum allowable budget request for a Statistical Capacity Building project is \$500,000 and the maximum duration is two years, with a possibility of one year extension. Statistical capacity building projects can support activities to strengthen statistical systems at sub-national, national, regional, and global levels; including but not limited to improvements in the following areas:

- Management, institutional framework and coordination;
- Data user-producer dialogue;
- Human resource capacity, including training;
- Statistical methodologies;
- Data processing and quality;
- Dissemination of comprehensive, timely, accessible, and reliable economic, financial, and socio-demographic statistics;
- Openness and accessibility of data that could be achieved through improving data integrity, accessibility to data by the public, and accessibility formats;⁴
- National capacity for poverty analysis;
- Special areas of economic and socio-demographic statistics, such as environmental accounting and gender statistics;
- Data foundation for measuring sustainable development; and
- Development of innovative approaches in data collection, processing and dissemination

(C) DATA PRODUCTION IN KEY AREAS (PILOT)

⁴. TFSCB Grants can finance open data readiness assessments (ODRA) and technical assistance and training for ODRA implementation, depending on the country's needs and request for support. Country-specific grant proposals for ODRA implementation must include the ODRA report and action plan in the grant proposal. ODRA implementation grants for IBRD countries will have higher expectations in terms of three metrics: quality of the OD portal, number of datasets included in the OD portal, and number of data uses (apps, visualizations, data mash-ups, or similar).⁵ As TFSCB grants are required to follow World Bank operational procedures, this section refers to the project cycle only as it relates to TFSCB requirements.

Data Production projects financed by TFSCB aim to support projects related to data production in key areas that will help monitor the progress towards achieving SDGs and national development targets. This window is currently in a pilot phase, and proposals are accepted by invitation only. The budget for such projects could be up to \$1-2 million and their duration will be no more than two years. The following activities will be supported:

- Revisions and/or updates to existing household surveys;
- Design and implementation of new household surveys and/or modules;
- Improvement to National Accounts, including provision of source data;
- Improvement to National Accounts related to surveys; and
- Design and implementation of new surveys needed for the production of National Accounts or SDGs.

(D) INNOVATIONS IN DEVELOPMENT DATA (PILOT)

Innovations in Development Data (IDD) projects financed by TFSCB aim to support projects related to data production, dissemination and use in key areas that will help monitor the progress towards or help achieve specific SDGs. This is a new window, and is currently in pilot phase with proposals being accepted by invitation only. IDD projects are expected to target improvements where needs are continuous or recurrent, and where innovations can be readily adapted to other regions and sectors. This pilot brings a particular focus to supporting collaborations of data users and producers to implement collective action solutions to improve the availability and quality of data for development. Learnings from successes and failures are expected to be captured in knowledge sharing components of IDD projects. Activities that will be supported include:

- Integration of new sources of data (e.g. mobile, remote sensing, financial transactions, crowdsourced) into NSO or similar activities;
- Use of development data to improve decision making (e.g. more timely decisions, decisions that can be modeled/simulated) relevant to SDGs;
- Use of development data to enhance public understanding of SDGs, and to engage citizens in SDG-targeting activities (e.g. open data use for community action);
- Application of new data science techniques (such as AI or machine learning) to improve the collection, analysis, and use of development data;
- Innovation in applied data policy that can be scaled to different contexts; and
- Innovation in data capacity building that can be scaled and replicated in different environments.

ELIGIBLE EXPENDITURES

Grant funds will be used for strengthening statistical capacity, and will typically include activities that improve both the production and use of statistics. Such activities may include improvements in statistical infrastructure and procurement of goods (i.e. IT-related). Some limitations exist, however, and the share of funds that may be used for the procurement of Goods is limited to 20 percent of the total grant amount.

It is expected that most TFSCB grants will be recipient executed. Categories of expenditures under the TFSCB grants may include:

Recipient Executed Activities:

- Consulting Services (including travel)
- Training and Workshop costs (including travel)
- Goods (limited to 20%)
- Operating Costs (small amount can be allowed in some circumstance)

Bank Executed Activities (including Bank Execution on Behalf of the Recipient):

- Consulting Services (including travel)
- Training and Workshop costs (including travel)

Bank Executed or Bank Execution on Behalf of Recipient project cannot procure goods, unless a small amount is necessary for training or workshops, and it has to be approved by the TFSCB administrative unit. The foregoing categories of expenditures may include the financing of taxes. For more details about eligible expenditures, please refer to the [Trust Fund Handbook](#).

HOW TO APPLY

Project proposals funded by TFSCB may originate from a number of different sources, including statistical agencies of member countries and international and regional development organizations. It is highly recommended that all agencies interested in preparing an application should make *early* contact with the TFSCB Administration Unit or the local World Bank office. For each project, a World Bank Task Team Leader (TTL) must be identified, who will liaise with the implementing agency, and take responsibility for supervision of the project to ensure compliance with the fiduciary requirements of the World Bank. Once the Recipient and the World Bank have agreed to apply for a TFSCB grant, the task teams must complete the steps described below.

Please note - NSDS proposals are accepted on a rolling basis and therefore can apply outside the Window/Call for Proposals schedule. The Statistical Capacity Building projects are generally accepted twice per year (Spring and Fall). Additionally, Data

Production and Innovations in Development Data proposals are *only accepted on an invitation basis* during the current pilot phase.

APPLICATION PROCESS⁵

1. The TTL needs to be both Trust Fund (TFLAP) accredited and accredited as a TTL.
2. Prior to preparing a proposal, the team should consult the CMU/GP and the Regional Trust Fund Coordinator, as well as seek endorsement from the Country Director or Practice Director and/or Practice Manager. The team must also indicate adequate Bank budget commitment to supervise execution of the grant activities.
3. The Recipient (agency), in consultation with the TTL, will send a formal letter of request to the Bank addressed to the appropriate Country Director or GP Director (Manager), to apply for TFSCB Grant funds for a particular project that falls within the parameters of the TFSCB guidelines.
4. The designated TTL in consultation with the Recipient completes a Project Initiation Note with the corresponding annexes (budget and TFSCB specific questions in the TFSCB format) It is recommended that the TTL send the draft application package to the TFSCB Administration Unit for comment before formally submitting their proposal.
5. For a country-specific proposal, the TTL seeks endorsement from the Country Director or GP Director (Manager). For a regional/global proposal, the TTL seeks endorsement from the relevant GP Director (Manager) and where necessary from the concerned Country Directors, which should be included as part of the application package (email endorsement is acceptable). They should also assure the allocation of the required Bank resources for supervision and management of the project (this cannot come from the trust fund).
6. The application package includes:
 - Initiation Note;
 - TFSCB specific questions;
 - Budget table;
 - Country Director and/or GP Director (Manager) endorsement; and
 - Recipient formal request letter.
7. The TFSCB Internal Management Committee (IMC) reviews the application packages, ensuring that they are consistent with TFSCB guidelines and procedures, and makes the final decisions.
8. The Chair of the IMC sends the decision to the TTL and the approving manager. If approved, the TTL would then proceed with the process for Small Grants in the Operations Portal, including filling-out a Grant Funding Request (GFR) for submission as part of the project package. Although management will be requested to approve the project in the Operations Portal after the application package is approved by the IMC, it is still necessary for the TTL to obtain

⁵ As TFSCB grants are required to follow World Bank operational procedures, this section refers to the project cycle only as it relates to TFSCB requirements.

- concurrence from appropriate managers beforehand (this can be in the form of an e-mail accompanying the application package submission).
9. The TFSCB Program or Window manager clears the draft Grant Agreement (for recipient executed projects) and Grant Funding Request (GFR) as part of the approval package.
 10. Post-approval procedures are provided in Annex 1.

APPLICATION CONDITIONS AND SELECTION CRITERIA

APPLICATION CONDITIONS

The following conditions are requirements for all projects to be financed from the TFSCB.

- All projects financed under TFSCB should be demand driven (demonstrated through an official request letter from recipients) to contribute to the development of the statistical system of the recipient country. Bank executed pilots, whereas applications are accepted by invitation, are not subject to this requirement.
- All non-NSDS country proposals should indicate how they relate to the NSDS. Priority will be given to projects that are based on an existing national statistical strategy and which are in line with the priorities already identified. In countries without an NSDS, non-NSDS projects will only be financed where there is a clear justification of the need for immediate capacity building before an overall strategic framework can be developed and where the project will contribute to the development of a more strategic approach to official statistics.
- In line with the overall PARIS21 approach, coordination with other development projects must be described in detail. TFSCB funded projects should promote coordination and collaboration with local and international agencies, civil society and NGOs, and to strengthen mechanisms to share knowledge and experiences.
- TFSCB funded activities should focus on the most urgently-needed components that will make the most direct impact on the statistical system. In particular, priority will be given to projects that are innovative and are unlikely to be financed from other sources. Applications should indicate what other funding sources, if any, have been approached to finance the project and what the response has been.
- Project proposals may originate from a number of different sources, including staff from national statistical agencies and other data providers (i.e. sectoral agencies, line ministries, etc) and users as well as staff and/or consultants from donor agencies. However, all proposals should define the ways in which the project is linked to the national statistical system and specify how activities will be coordinated.

- TFSCB-financed projects are to be implemented by an appropriate national or regional agency which may be a government department, a civil society organization, or other national or regional agency. Projects may also be implemented by third parties such as donor agencies, or, in exceptional circumstances as explained in OP 14.40, by the World Bank itself on Behalf of the grant Recipient (BEBR).
- All implementing agencies must be able to sign legal contracts and should demonstrate financial soundness and a capacity to manage and account for funds.
- Implementing agencies are required to follow World Bank standard procedures for procurement, disbursement and accounting.
- Proposals should define the mechanisms planned for identification, establishment and monitoring of priority beneficiaries, and arrangements to ensure that the proposed interventions will reach the targeted beneficiaries.
- Proposals should provide assurance of proper project execution, including the necessary resources for supervision and management, and should provide for the standard level of World Bank Group accountability and oversight for such activities.
- Proposals should list performance indicators to monitor and evaluate the proposed activities, including measures of implementation progress and the outcome or impact. They should describe the performance monitoring and impact evaluation systems that would be used or established for these purposes.
- Procurement of goods is allowed in Recipient Executed grants only⁶ and the maximum amount allocated for goods cannot exceed 20% of the grant amount.

CRITERIA FOR SELECTION

All project proposals will be reviewed to ensure that they satisfy the basic conditions as outlined above. Projects will then be assessed by the Internal Management Committee using the following criteria.

(A) NSDS PROJECTS

- The quality of the approach proposed to develop a National Strategy for the Development of Statistics, and the extent to which this is in line with good practice as set out, for example, by PARIS21.
- The effectiveness of the mechanisms proposed to ensure consistency and alignment with the national strategies and other development plans.
- The feasibility of the timetable and the adequacy of the budget.

⁶ This does not include projects which are executed by the Bank for the client (BEBR, or Bank Execution on Behalf of the Recipient).

- The quality of the consultative and participatory process proposed involving both data users and producers and the extent to which the views of the key stakeholders have been and will be taken into account.
- The level of commitment to the process demonstrated by government and other stakeholders, including other donor agencies, as indicated, for example, by the level of contributions in cash and in-kind.
- The adequacy and feasibility of the mechanisms proposed for project management and supervision.
- The adequacy of the reporting process and the monitoring indicators proposed.

(B) STATISTICAL CAPACITY BUILDING PROJECTS

- The extent to which the project is in line with the priorities identified in the NSDS, or where such a plan does not yet exist, the extent to which the project will lead to a more strategic approach to statistical capacity building.
- The extent to which the approach proposed is in line with internationally accepted good practice and recommendations.
- The need and suitability of the project for funding from this global trust fund; innovative projects that are unlikely to be financed from other sources will have priority, provided they are assessed to be technically feasible, sustainable, and financially sound.
- The feasibility of the timetable and the adequacy of the budget.
- The quality of the consultative and participatory process proposed and the extent to which the views of the key stakeholders have been and will be taken into account.
- The level of commitment to the process demonstrated by government and other stakeholders, including other donor agencies, demonstrated, for example, by the level of other contributions in cash and in-kind.
- The adequacy and feasibility of the mechanisms proposed for project management and supervision.
- The adequacy of the mechanisms proposed to monitor and evaluate progress and to report to stakeholders.

(C) DATA PRODUCTION PROJECTS (PILOT)

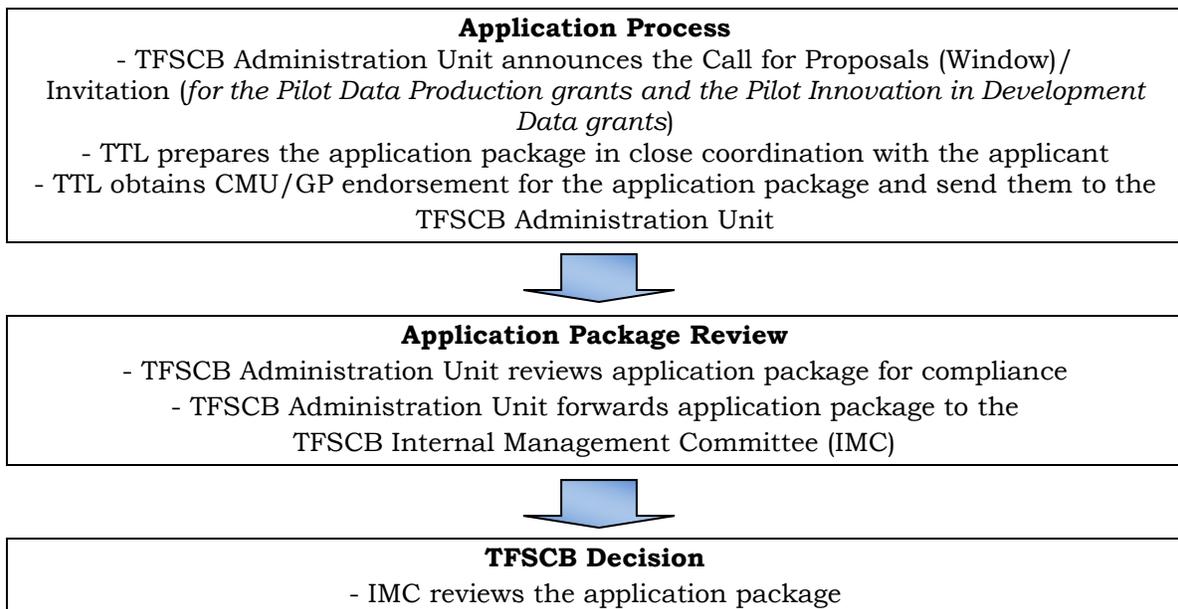
- The extent to which the approach proposed is in line with internationally accepted good practice and recommendations.
- The need and suitability of the project for funding from this global trust fund; innovative projects that are unlikely to be financed from other sources will have priority, provided they are assessed to be technically feasible, sustainable, and financially sound.
- The feasibility of the timetable and the adequacy of the budget.

- The level of commitment to the process demonstrated by government and other stakeholders, including other donor agencies, demonstrated, for example, by the level of other contributions in cash and in-kind.
- The adequacy and feasibility of the mechanisms proposed for project management and supervision.
- The adequacy of the mechanisms proposed to monitor and evaluate progress and to report to stakeholders.

(D) INNOVATION IN DEVELOPMENT DATA PROJECTS (PILOT)

- The extent to which the approach proposed is in line with emerging good practice and recommendations.
- The extent to which the innovation can be readily adopted to other regions and sectors.
- The feasibility of the timetable and the adequacy of the budget.
- The level of commitment to the process demonstrated by government and other stakeholders, including other donor agencies, demonstrated, for example, by the level of other contributions in cash and in-kind.
- The adequacy and feasibility of the mechanisms proposed for project management and supervision.
- The adequacy of the mechanisms proposed to monitor and evaluate progress and to report to stakeholders.

Figure 1. TFSCB Project Cycle



- If IMC considers the application package complete and acceptable, it determines the amount of grant allocation and clears the project for preparation⁷



Project Appraisal and Approval

- TTL/Task Team follows the Small Grants Guidelines and Procedure in the Operations Portal, in collaboration with country implementing agency and TFSCB Admin. Unit
- TTL/Task Team negotiates draft Grant Agreement with country authorities



Grant Funding Requests

- TTL completes and submits the Grant Funding Request as part of the Appraisal/Approval package
- Funding is approved in the Bank's internal system for Trust Fund management and the designated child TF account is created by WFA



Project Implementation and Monitoring

- Grant Agreement signed
- Recipient country is responsible for project implementation (unless BEBR)
 - Bank TTL/Task Team responsible for project supervision
- Progress Reports are submitted via the Grant Reporting and Monitoring (GRM) or ISR system twice per year

⁷ If the application is unsuccessful, incomplete, or the allocated amount is less than requested, the TFSCB Administrative Unit returns the application with feedback to the applicant.

ANNEX 1: TFSCB POST-APPROVAL PROCEDURES

POST-APPROVAL PROCEDURES⁸

LEGAL AGREEMENT AND DISBURSEMENT LETTER

Once the application package is approved by the IMC, the TTL, in addition to following the necessary steps in the Operations Portal, is advised to contact the relevant lawyer, the finance officer, and Procurement/Financial Management Specialists. The TFSCB Administration Unit should be copied on all e-mail exchanges related to the preparation of the legal documents so as to enable them to intervene as needed, and clear the Grant Agreement. Following the draft of the Grant Agreement, WFA will provide the Disbursement Letter.

TFSCB BRIEF GRANT FUNDING REQUEST (GFR) GUIDANCE

The Operations Portal system's Roadmap provides guidance on the process of creating a GFR. System-related questions should be addressed to the OPCS Helpdesk (or x32121). The TTL needs to provide necessary information in the GFR in the Operations Portal. If the Bank Execution is proposed for recipient activities (BEBR,) please make sure to attach a request letter from the recipient and provide necessary justification. The TFSCB Funding Window is "3663" and the Trustee is TF070561 (Sub-Fund is TF056802). The Project ID and grant type need to be compatible, i.e. Recipient Executed. The Activity Type is "Project Financing (Main)" and retroactive financing is not typically provided for this type of grant. Some of the boxes may populate automatically, i.e. from the Initiation Note, and after approval (the TF number).

EFFECTIVENESS

The TTL receives the execution copies of the Grant Agreement and Disbursement Letter and arranges for signature by the Bank country director (or, for global grants, the relevant Network/Sector director) and the recipient. Unless there are additional conditions of effectiveness, including the recipient's requirements for parliamentary approval or ratification, for example, the Grant Agreement becomes effective once it is countersigned by the recipient. The Grant Agreement and the Disbursement Letter are signed in two originals, one for the Bank and one for the Recipient. The TTL obtains the original hard copy of the countersigned Grant Agreement and sends it along with the original signed Disbursement Letter to Legal. In addition, the TTL provides a pdf file of the countersigned Grant Agreement and Disbursement Letter to LEG, WFA, and the TFSCB Administration Unit.

Once a grant becomes effective, the recipient's authorized representative must provide the original specimen signatures of the recipient's authorized signatories for withdrawal applications. The original specimen signatures letter must be filed in Official Documents,

⁸ For more information on the post-approval process, please refer to the most recent version of the [Trust Fund Handbook](#) (check "*Revision History*" for the latest update) as well as the [Bank Procedure](#) and [Guidance Note](#) for Small Recipient-Executed Trust Fund Grants.

normally done by LEG, before disbursements can be made. The TTL also provides a pdf file of the specimen signatures letter to LEG and WFA.

Bank executed grants are activated without further procedure on the part of the TTL, once the Appraisal/Approval Package has been cleared.

TTLs should keep in mind that if there is no project activity within six months after the approval of the proposal, the IMC will review the situation and may decide to cancel the grant.

IMPLEMENTATION AND SUPERVISION

Once the grant becomes effective, the TTL(s) will be responsible for supervising the activities of this project. Please note that implementing agencies are required to follow standard World Bank guidelines and procedures regarding procurement, disbursement and accounting matters.

The TTL will be requested by e-mail and must submit a Progress Report via the Grant Reporting and Monitoring (GRM) system or ISR twice a year.

TRUST FUND TTL HANDOVER AND TRANSFER OF RESPONSIBILITY

Whenever there is a change in the trust fund management, all TTLs need to notify the TFSCB administration unit and follow the relevant Bank procedures for the change.

CLOSING

The TTL initiates action for closure when the activities financed by the TF are completed. For Recipient Executed trust funds, after WFA completes disbursements and advises the TTL of the account's final status, the TTL advises the recipient of the final disbursement position, and the cancellation of any balance. This notice is cleared with copies to LEG and WFA, and copied to the relevant Program/Window manager. As soon as WFA receives a copy of the final signed notice, any unused funds are canceled and WFA finalizes closure of the trust fund and ensures that the unused funds are disposed of in accordance with the Administration and Grant Agreements. The TTL advises the Recipient of cancellation actions via the closing/cancellation notice. WFA arranges for any external financial statement audit required under the Administration Agreement(s).

EXTENSION OF CLOSING DATE AND END-DISBURSING DATE

The grant closing date may be extended if (i) the project objectives continue to be achievable; (ii) the performance of the borrower and other project implementing agencies is satisfactory; and (iii) the recipient has prepared a specific action plan⁹ acceptable to the Bank to complete the project, and after consultation with the TF Program/Window manager as needed. An extension may be approved for selected disbursements covering only part of a project to permit (a) implementation of high priority contracts; or (b) provision for retention payments, when the conditions for release are met after the closing date. Normally, an extension is granted for a maximum of one year with longer extensions allowed only when the recipient requires a firm

commitment for continued Bank financing. The TTLs should also consult the applicable OP/BPs for specific details on exceptions to extension of closing dates. Standard Bank restructuring procedures via the Operations Portal may also apply.

If the GRM or ISR is not up-to-date any request for an extension and/or re-allocation of funds will not be granted.

RETROACTIVE EXTENSION

Retroactive extension of closing and end-disbursement dates is always an exception. Once the closing date elapses, retroactive extensions are required:

For Bank Executed trust funds, provided the proposed extension is within the boundaries of the trustee/Main level, the Program/Window Manager may approve the retroactive extension.

For Recipient Executed trust funds (including grants which are executed by the Bank on Behalf of the Recipient; or BEBR), TTLs should consult their Regional Trust Fund Coordinator, CMU, or OPCS Advisory Services, before formally processing requests for retroactive extensions of closing dates. The authority to approve retroactive extensions of closing dates for grants rests with the Vice Presidents of regions or departments that manage such grants.

CONTACTS

For further information and questions, please contact [Masako Hiraga](#) or [Ingrid Ivins](#) in the TFSCB Administration Unit. You can also visit the TFSCB [website](#).

PRACTICAL TIPS

Application stage

- All documentation required for the application package should be submitted in the required format:
 - Initiation note
 - TFSCB specific questions
 - Budget in the TFSCB format
 - Recipient/country formal request letter
 - Endorsement from CM and/or PM
- Duration should be within 2 years.
- Strong country demands and ownership need to be demonstrated.
- Sustainability needs to be demonstrated.
- World Bank staff must be assigned as TTL to manage internal administrative process.
- Co-financing is strongly encouraged (could be in-kind). For Middle Income countries, it is required (around 10% minimum).
- Mitigation strategy for the identified risks should be explained.
- Study tours are not encouraged unless clear needs and benefits are demonstrated.
- Maximum amount for Statistical Capacity Building projects is \$500,000.
- Budget for “goods” should be less than 20% for Recipient Executed projects. “Goods” are not eligible for Bank Executed projects and Bank Execution on behalf of Recipient (BEBR), unless small amount is necessary for training or workshops.
- Consultant fees and workshop costs should be reasonable. Otherwise justification is required.
- Operating costs, if allowed, should be reasonable. Operating costs could include operating and maintenance of office equipment, rental of offices, office supplies, communication costs, bank charges, utilities, printing and publications, and translation services (but does not pay for government salaries).

Operations Portal stage

- The TFSCB Funding Window is “3663” and the Trustee is TF070561 (Sub-Fund is TF056802).
- GFR should be included as part of the appraisal/approval package.
- In the Grant Agreement, the reference for the TFSCB should be “Multi-Donor Trust Fund for Statistical Capacity Building III (“TFSCB-III”).
- TFSCB Admin Unit (Masako Hiraga, Ingrid Ivins) should be copied in the Operations Portal for all stages.