



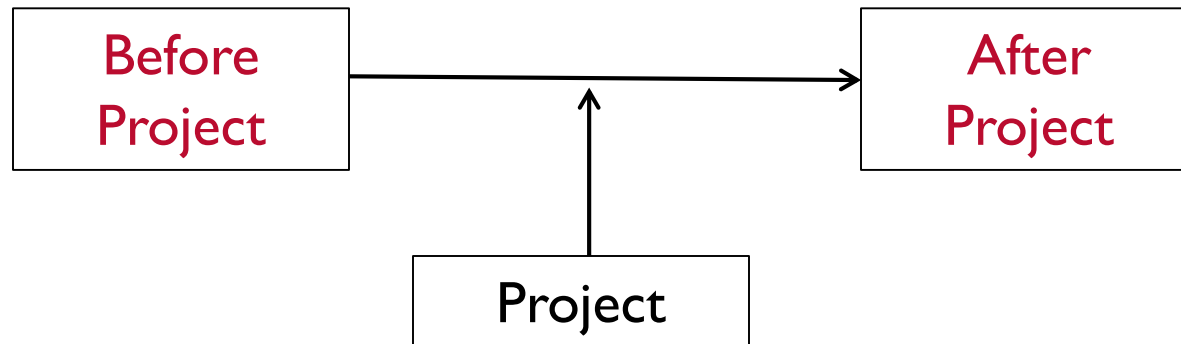
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INTEGRATING MONITORING AND EVALUATION INTO A MANAGEMENT FRAMEWORK FOR SCALING UP

August 16, 2018

Traditional M&E's focus is implementation and impact at the project level, not assessing progress towards, informing strategy on, or actively supporting movement towards sustainable, population-level service delivery and results

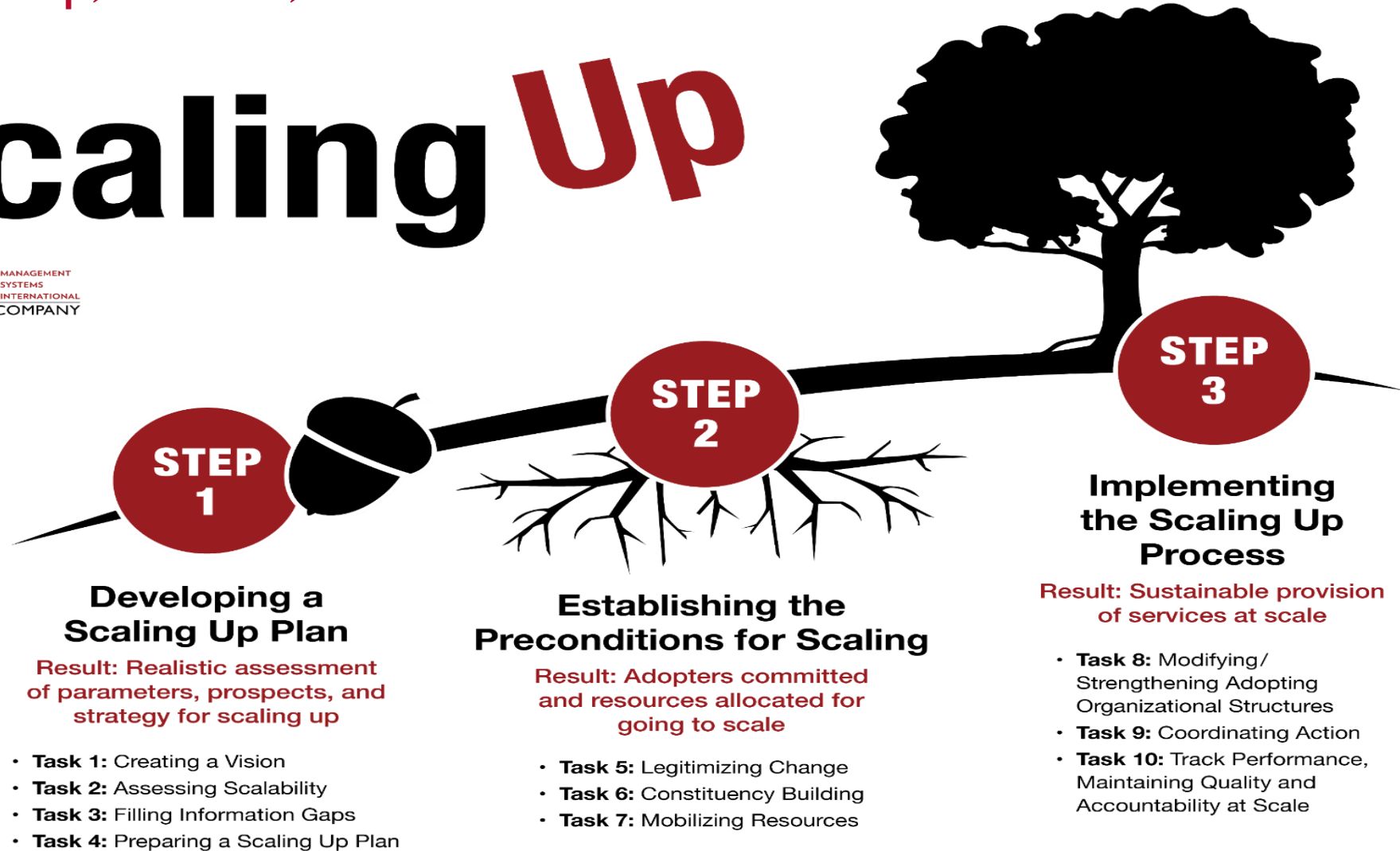
Development Project = A short term intervention designed to alter long-term processes and outcomes



A Three Step, 10 Task, Process

Scaling Up

MSI MANAGEMENT
SYSTEMS
INTERNATIONAL
A TETRA TECH COMPANY



M&E Considerations in Scaling – 3 Tiers

- **Tier 1: Proof of Concept** – model articulation; evaluability assessment; pilot testing; impact evaluation of “prototype” **USUALLY GOOD**
- **Tier 2: Refinement, Streamlining, and Scalability Assessment** -- 2nd stage pilots; assessment of robustness, cost-efficiency and alternatives **TYPICALLY, MEDIOCRE TO POOR**
- **Tier 3: Change Management** – monitoring implementation and fidelity of scale-up; validation of efficacy at scale; continuous improvement **PREDICABLY BAD**

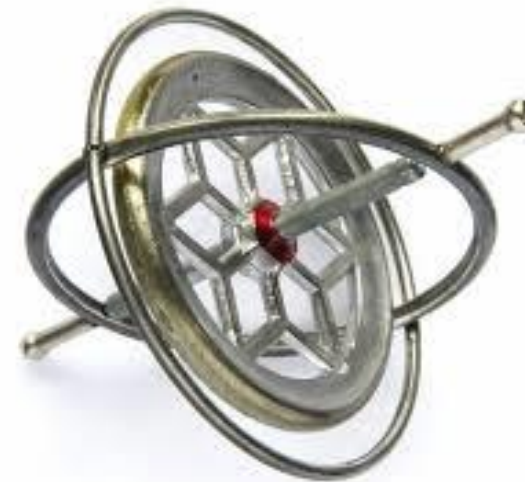
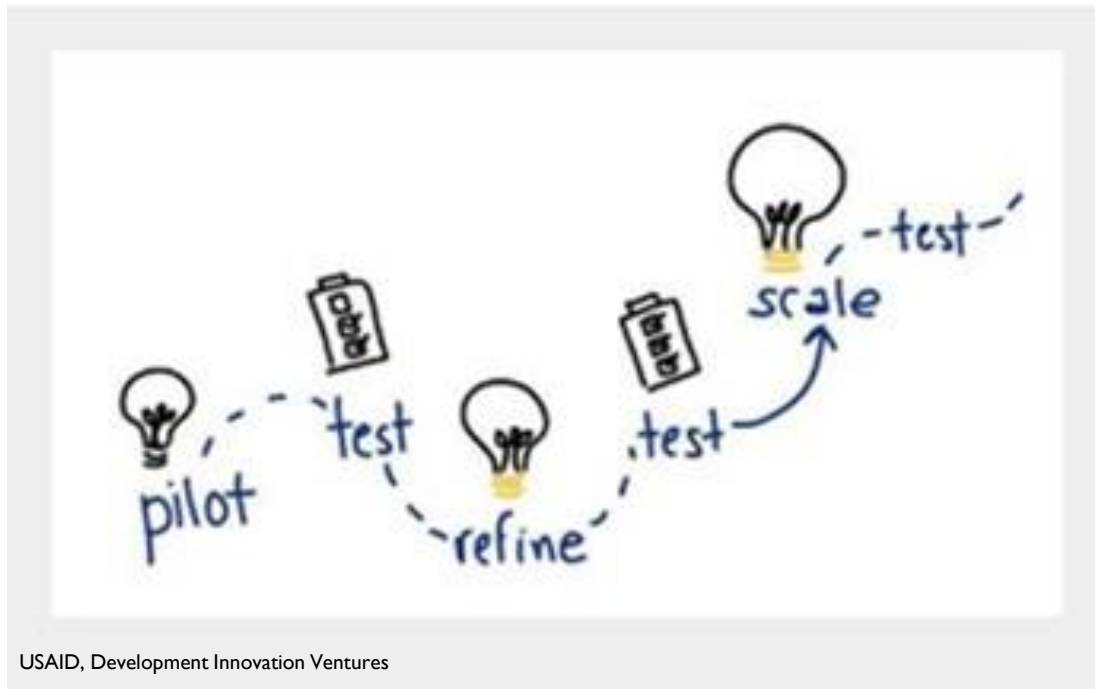
Tier I: Proof of Concept

- Identify audiences, their questions, and the evidence they would find persuasive
- Articulate the model's **essential** features: technical, financial, process and values
- Specify the theory of change, comparables and counter-factual(s) to be tested at the pilot stage
- Experiment with delivery alternatives; bundling and unbundling elements
- Test efficacy, validate assumptions, and document results

Standards of Evidence

- Avoiding “Type 2 errors” (“entrapment”)
- What standard of evidence has been applied?
 - Innovation (minimal objective evidence)
 - Promising Practice (anecdotal reports)
 - Model (positive evidence in a few cases)
 - Good Practice (clear evidence from several cases)
 - Best Practice (evidence of impact from multiple settings and meta-analyses)
 - Policy Principle (proven; a “truism” essential for success)
- The trade-off between adaptation and fidelity

Beyond the Prototype/Test/Rollout Paradigm: Assume Iteration and Recalibration



Tier 2: Refining and Streamlining: Second Stage Pilots

- Use second stage pilots to test whether the factors for success are replicable?
 - *Social*
 - *Organizational*
 - *Political*

... whether the model can be refined or simplified without losing effectiveness

... and whether the assumptions underlying the “2nd theory of change” are valid

Number Three: Think Subtraction, not Addition



Assessing Scalability: Scalability Assessment

- Planning for scale: robustness of scaling strategy; homogeneity of intended beneficiaries
- Credibility: hard evidence, credible supporters
- Support: intensity of perceived need, policy priority
- Comparative Advantage: demonstrable improvement over existing practices and alternatives
- Ease of Adoption: simplicity, transferability
- Organizational Capacity: human and financial resources; systems and incentives
- Financial Sustainability: sustainable funding source

Scaling Up Table – Two Pages

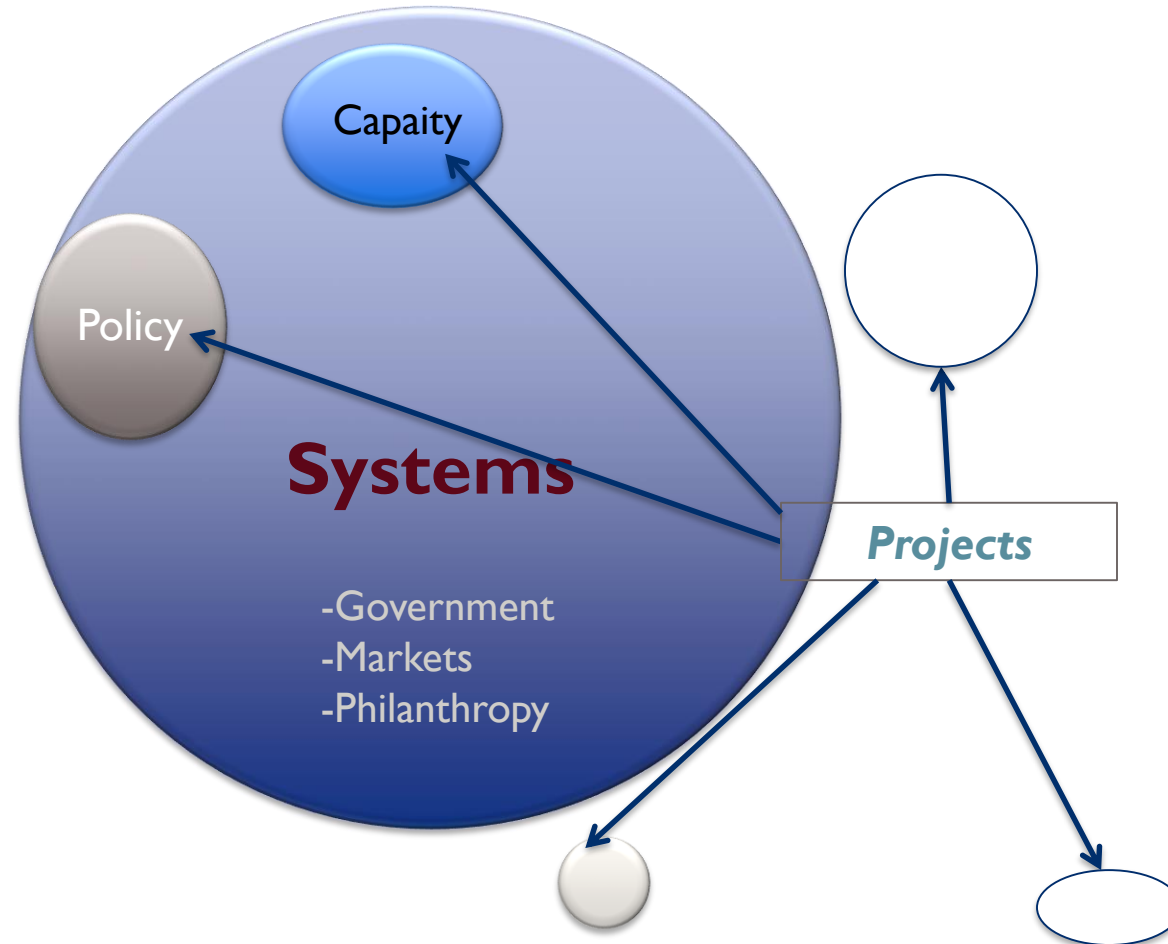
MODEL CATEGORIES	A	← SCALING UP IS EASIER	B	SCALING UP IS HARDER →	C
A. How convincing is the scaling strategy?	1	Presence of a clear and compelling strategy for reaching scale		No articulated strategy	
	2	Homogeneous problem, target group and setting-geography, language, economy, politics		Multiple, diverse contexts	
B. Is the intervention credible?	3	Based on sound evidence		Little or no solid evidence	
	4	Independent external evaluation		No independent external evaluation	
	5	Substantial evidence that the model works in diverse contexts		There is no evidence that the model works in diverse contexts	
	6	Supported by eminent individuals and institutions		Supported by few or no eminent individuals and institutions	
	7	Impact very visible to decision-makers and users and easily associated with the intervention		Impact relatively invisible to decision-makers and users and/or not easily attributable to the intervention	
C. How strong is the support for change?	8	Strong sense of urgency regarding the problem or need		Relative complacency	
	9	Strong leadership coalition committed to change		Weak, divided or deeply conservation leadership	
	10	Addresses an objectively significant, persistent problem		Addresses a problem that affects few people or has limited impact	
	11	Addresses an issue that is currently high on the policy agenda		Addresses an issue that is low on the policy	
	12	Addresses a need that is sharply felt by potential beneficiaries		Addresses a need that is not sharply felt by potential beneficiaries	
D. Does the model have relative advantage over existing practices?	13	Faces limited opposition		Faces strong opposition	
	14	Current solution considered inadequate		Current solution considered adequate	
	15	Superior effectiveness to current solutions and other alternatives clearly established		Little or no objective evidence of superiority to current solutions and other alternatives	

MODEL CATEGORIES	A	← SCALING UP IS EASIER	B	SCALING UP IS HARDER →	C
E. How easy is the model to transfer and adopt?	16	Implementable with existing systems, infrastructure, and human resources		Requires significant new or additional systems, infrastructure, or human resources	
	17	Small departure from current practices of target population		Large departure from current practices of target population	
	18	Fully consistent with government policy		Requires substantial change in government policies	
	19	Few decision makers involved in agreeing to adoption of the model		Many decision makers involved in agreeing to adoption	
	20	Highly technological with clear deliverables		Process and/or values are critical	
	21	Low complexity; few components; easily added onto existing systems		High complexity with many components; integrated package	
	22	Intervention is self-regulating		Intervention requires substantial supervision and monitoring to maintain quality	
	23	Able to be tasted by users on a limited scale		Unable to be tasted without adoption at a large-scale	
F. How good is the fit between the intervention and the adopting organization?	24	Adopting organization has the operational capacity and financial resources to implement at scale		No organization with the systems; delivery agents, and resources to implement at scale	
	25	Adopting and intermediary organizations with experience scaling similar interventions		Adopting and intermediary organizations lack experience scaling similar interventions	
	26	Adopting organization has physical presence or strong network and credibility in relevant contexts		Adopting organization lack footprint and credibility in relevant contexts	
	27	Adopting organization has leadership team, norms and incentives consistent with the intervention		Major changes needed in leadership, organizational norms and incentives	
	28	Demonstrable support for the change among staff of adoption organization		Active resistance by staff of adopting organization.	
	29	Organizational history and culture of iterative learning and evidence-based decision-making		No history of iterative learning and evidence-based decision-making	
G. Is there a sustainable source of founding?	30	Substantial lower unit cost than existing or alternative solutions		Higher unit cost than existing or alternative solutions	
	31	Requires small commitment of funds to begin		Requires large commitment of funds to begin	
	32	Financed by internal funding (e.g., user fees), endowment or sustainable subsidy		No sustainable funding source	
Total number of checks					

Tier 3: Change Management (I): Assessing Systemic Change and Progress Towards It

“A bad system will trump a good program – every time, all the time.”

Patrick McCarthy, CEO of the Annie E. Casey Foundation



Change Management (2): Assessing Fidelity and Impact at Scale

Key Elements:

- Agreed performance metrics
- Institutionalized quality control and monitoring systems
- Third party evaluation
- Real-Time Scaling Labs

Change Management (3): Keeping Change and Performance in the Public Eye

Widely used approaches and techniques include:

- Public oversight groups
- Third-party monitoring
- Open-access dissemination
- Evidence summits
- Scorecards
- Sustained media coverage

Pushing the Envelope

- Incorporating systems perspectives
- Endogenizing and testing determinants of scalability
- Adopting simplification and the use of second stage pilots as prime directives
- Investing additional attention and resources in Tiers 2 and 3
- Establishing Real Time Scaling Labs
- Operationalizing “adaptive management”

Thank You!

LARRY COOLEY
PRESIDENT EMERITUS AND
SENIOR ADVISOR (MSI)



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