Approach Paper

Evaluation Synthesis on IFAD's Support to Scaling Up of Results

Contents

Abbreviations and acronyms

ARRI	Annual Report on Results and Impact of IFAD Operations
COSOP	Country Strategic Opportunity Programme
CLE	Corporate-level Evaluation
CPE	Country Programme Evaluation
CPM	Country Programme Manager
ECU	Evaluation Communication Unit of IOE, IFAD
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
IOE	Independent Office of Evaluation of IFAD
NGO	Non-Governmental Organization
RIDE	Report on IFAD Development Effectiveness
PPA/PPE	Project Performance Assessment/Evaluation
PMD	Programme Management Department of IFAD
PRM	Office of Partnership and Resource Mobilization of IFAD
PTA	Policy and Technical Advisory Division of IFAD
SKD	Strategy and Knowledge Department of IFAD

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I. Introduction

1. Evaluation Syntheses were introduced by the Independent Office of Evaluation of IFAD (IOE) after the 2010 *Peer Review of IFAD's Office of Evaluation and Evaluation Function*. The Peer review had recommended this new product as a measure to further strengthen the use of evaluation findings, learning and feedback loop. Evaluation Syntheses are now contemplated in the Evaluation Policy (2011)[1] and Evaluation Manual of IFAD (2015, second edition). [2]

2. Evaluation syntheses are different from other IOE products, as they are prepared primarily to promote learning, collective reflection and improve IFAD's development effectiveness. Taking stock of findings from previous independent IOE evaluations, they aim to bring together lessons from IFAD evaluations while also capturing evaluation-based lessons from other IFIs, United Nations organizations and bilateral agencies on a given theme.

3. **Rationale for conducting this Evaluation Synthesis.** This Evaluation Synthesis was approved by the Executive Board of IFAD in its 116th session of December 2015.[3] In choosing this theme, IOE applied its selectivity framework considering the following factors: (i) availability of adequate evaluative evidence; (ii) contribution to filling a critical knowledge gap; (iii) strategic priority for IFAD; (iv) timeliness with respect to corporate processes; and (v) serving as a building block for other IOE evaluations. In particular, scaling up was one of the main corporate-level priorities stated by IFAD for its tenth replenishment period. There is also previous evaluative evidence on this topic (although with some qualifications as explained further below): promotion of innovation and scaling up is one of the standard criteria for project-level evaluations. Moreover, in 2010 IOE completed a Corporate-level Evaluation on *IFAD's Capacity to Promote Innovation and Scaling Up*.[4]

4. This approach paper presents the objective, scope, key questions, methodology, the outline of the process, and the timeline, team composition and dissemination for this evaluation synthesis.

5. **Definition.** The latest definition of scaling up at IFAD is the one provided in the *Operational framework for scaling up of results* (2015):[5] "expanding, adapting and supporting successful policies, programmes and knowledge, so that they can leverage resources and partners to deliver larger results for a greater number of rural poor in a sustainable way".[6] It is important to note that the emphasis of the 2015 operational framework is set on "results" rather than just on projects. In fact, the above operational framework clarifies that scaling up does not mean turning small IFAD projects into larger projects but rather leverage external financial resources, knowledge, policies and political capital, from other public, private,

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[1] According to the 2011 Evaluation Policy of IFAD, "evaluation syntheses […] will identify and capture evaluative knowledge and lessons learned on a certain topic from a variety of evaluations produced by IFAD and the evaluation units of other organizations. These syntheses will be supplemented by lessons from academic literature and targeted interviews to promote learning and the use of evaluation findings". http://www.ifad.org/evaluation/policy/new_policy.htm

[2] See the second edition of the IFAD Evaluation Manual: http://www.ifad.org/evaluation/process_methodology/doc/manual.pdf

[3] https://webapps.ifad.org/members/eb/116/docs/EB-2015-116-R-2.pdf

[4] In 2002, IOE had conducted a Corporate-level Evaluation of *IFAD's Capacity as a Promoter of Replicable Innovation in Co-Operation with other Partners*.

[5] The full framework is available at: http://www.ifad.org/knotes/scaling_up/framework.pdf. A summary was presented to IFAD's Executive Board in December 2015. See https://webapps.ifad.org/members/eb/116/docs/EB-2015-116-R-38.pdf

[6] Previously, in its 2007 Innovation Strategy, IFAD had outlines a different definition of scaling up. This definition applied to practices rather than results ("Scaling up means implementing – or enabling the implementation of – a practice on a greater scale" – par. 12). The Innovation strategy distinguished between three notions of scaling up: organizational scaling up, appropriation by partners, and scaling up from practice to policy. This is further explained in this paper.

community level and international actors to bring results to a larger scale in a sustainable manner.

6. A short outline of the evolution of thinking on scaling up at IFAD is presented in Table 1. Although fully-fledged definitions of scaling up have been formulated in recent years, the notion of mobilizing additional resources has always been present in the spirit of IFAD's founding documents. As an example, the Policies and Criteria for IFAD Financing (originally issued in 1978, amended in 1998) under Title V (Leveraging the Fund's resources) state that: "*The Fund shall attempt to multiply the impact of its own resources by undertaking projects jointly with other multilateral and bilateral agencies, and by mobilizing resources for investment in agricultural and rural development in the developing Member States for the public and private sector, while ensuring the realization of the Fund's own objectives and preserving its own independent identity in the process.*"

Table 1
Chronology of key corporate documents of relevance to scaling up

1978 Criteria for IFAD Financing (amended in 2008)
2002 Plan of Action – IFAD 5th Replenishment
2002-2006 Strategic Framework
2007-2010 Strategic Framework
2007 Results Measurement Framework
2007 Innovation Strategy
2008 Report on the Consultation of IFAD-8 Replenishment
2010 CLE IFAD's Capacity to Promote Innovation and Scaling Up
2010 The Brookings Institute's Institutional review of IFAD's Scaling Up approach
2011 Report on the Consultation of IFAD-9 Replenishment
2011-15 Strategic Framework
2014 Report on the Consultation of IFAD-10 Replenishment
2016-2025 Strategic Framework

Source: Compiled by IOE

7. At the beginning of the past decade, the attention was on IFAD's "catalytic role". The Plan of Action for the IFAD-5 Replenishment (2000) stated the importance of IFAD's catalytic role to drive the mobilization of further resources. The Plan of Action requested IOE to conduct a Corporate Level Evaluation of IFAD's Capacity as a Promoter of Replicable Innovations in cooperation with other partners. This evaluation was completed in 2002 and found that at that time IFAD had "*not put sufficient emphasis on the identification of innovative and capable actors and institutions and the development of strategic alliances and partnerships to support the promotion and scaling up of innovations*".[7]

8. The importance of IFAD's engagement in scaling was stipulated in its Strategic Framework for 2007-2010, where the triad of "Innovation, learning and scaling up" featured as one of the main principles for engagement.[8]

9. In 2007 IFAD prepared an Innovation Strategy. The strategy introduced three notions of scaling up: (i) organizational scaling up (when an IFAD-funded project or country programme is integrated into a broader public programme);

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[7] CLE 2002, paragraph 7 -Overview of Major Findings.
[8] The others were: (i) Selectivity and Focus; (ii) Targeting; (iii) Empowering Poor Rural People; (iv) Effective Partnerships; and Sustainability. Specifically on scaling up the 2007-10 Strategic Frameworks notes that: "innovation without scaling up is of little value: all engagements will thus be expected to have internal learning arrangements, as well as mechanisms for feeding lessons to the higher, usually national, level"(paragraph 12).

(ii) appropriation by partners (when another donor, a government, or a private sector organization or foundation decides to provide sizeable additional funding and expands a project or an intervention); (iii) scaling up from practice to policy (when elements of a given project or intervention is integrated in a public strategy or becomes part of the normative framework).[9]

10. In 2007 IFAD introduced its first Result Measurement Framework related to the 2007-2010 Strategic Framework. For the first time, the Fund included a corporate target for "innovation, learning and/or scaling up". The target was defined as minimum percentage of projects rated 4 (moderately satisfactory) or higher along this dimension at the entry point (i.e. design quality assurance), implementation and completion.[10]

11. In 2010, IOE published a Corporate-level Evaluation on IFAD's Capacity to Promote Innovation and Scaling Up. The evaluation found that, while performance in innovation had improved over time, scaling up was found weak in IFAD-funded operations. Scaling up was largely left to individual initiative and skills of country programme managers, often without clear incentives or accountability. Among the main factors hampering performance in scaling up, the CLE identified: (i) little attention to knowledge management, partnership-building, policy dialogue; and (ii) the past Fund's operating model (which did not allow it to perform supervision directly or to provide implementation support); and (iii) lack of country presence.

12. Also in 2010, the Brookings Institute completed an institutional review of IFAD's Scaling Up approach. [11] The review reaffirmed that scaling up was mission critical for IFAD but required more explicit attention and a more comprehensive and systematic approach and significant changes in the operational processes, practices, including operational instruments, knowledge management and human and financial resources management. The Brookings review suggested separating the three concepts of innovation, learning and scaling up which had been previously conflated by IFAD in the same notion: not every innovation needs to be scaled up and, conversely, scaling up does not necessarily have to apply to innovations. Importantly, the Brookings review reminded IFAD that scaling up was not an objective *in se* but a means to development objectives.

13. In the 2011-2015 Strategic Framework, Innovation, learning and scaling up was again presented as one of the eight principles for engagement of IFAD.[12] In 2011, a report on the Consultation for IFAD-9 Replenishment, echoing the latest strategic framework and the Brookings review, committed to mainstream a systematic approach to scaling up in all projects and country programmes. This would require improved capacity for policy analysis and engagement, and expanded partnerships with governments, bilateral and multilateral agencies, non-governmental organizations and the private sector. New targets were also established for the percentage of projects receiving a rating of 4 or higher for scaling up at entry point and for project implementation outcomes related to "replication and scaling up".[13]

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[9] The strategy notes that: "For IFAD, scaling up requires the mobilization of different partners, capabilities and resources in IFAD corporate activities and throughout the programme cycle, from design to implementation, supervision and evaluation. Effective knowledge management, cultivation of strategic partnerships, robust policy dialogue focused on specific challenges and opportunities for innovation, and cofinancing initiatives are central ingredients of sustainable scaling up" (paragraph 13).

[10] The baseline was 2007 and the target was set at 90 per cent at entry and 80 per cent at implementation and completion by the year 2012. Ratings were those of self-assessments by IFAD Management. According to the 2012 Annual Report on IFAD Development Effectiveness, self-ratings by IFAD Management were 4 or higher in 91 per cent of completion reports and in 93 per cent of design internal quality assurance.

[11] J. Linn, A. Hartmann, H. Kharas, R. Kohl and B. Massler (2010), Scaling Up the Fight Against Rural Poverty. An Institutional Review of IFAD's Approach.

[12] The others were (i) a differentiated approach based on country context; (ii) targeting; (iii) supporting the empowerment of poor rural people; (iv) promoting gender equality and women's empowerment; (v) creating viable opportunities for rural youth; (vi) Effective partnerships and resource mobilization; and (vii) sustainability.

[13] For project rating at entry point, the baseline was 2010 and the target was set at 80 per cent by 2015. For project outcomes (level 2 of the RIMS) the target was set at 90 per cent by 2015. According to the 2015 Report on IFAD's Development Effectiveness (RIDE) prepared by IFAD Management, the internal management quality assurance of project design rated 94 per cent of designs as moderately satisfactory or higher for scaling up. As for completion, 93 per cent of completion reports

14. Finally, the Report on the Consultation of IFAD-10 Replenishment (2014) presented again targets on projects receiving a rating of 4 and higher for scaling up at entry point and for project implementation "outcomes" related to replication and scaling up.[14] Similarly, in the 2016-2025 Strategic Framework, innovation, learning and scaling up feature again among the five principles for the Fund's engagement.[15]

The current Operational Framework

15. The 2015 Operational framework for scaling up provides a conceptual scheme which is depicted in Graph 1. A fundamental assumption is that, in most cases, scaling up does not happen spontaneously but needs to be facilitated through a pathway. The first step in the pathway is that of piloting a new idea or a specific intervention which, on its own, may be successful but with limited impact in view of the limited resources allocated.[16] The second step is to assess the quality and the potential of this intervention and extract the main lessons learned (the monitoring and evaluation systems at the project level and knowledge management activities would be a key element). The third step is to leverage additional resources which may come from governmental agencies, private sector entrepreneurs, international development partners or community-based organizations (organizations of beneficiaries). The goal is to achieve larger results (additional, larger impacts or a broader area affected or a larger number of beneficiaries) in a sustainable manner.

16. It is important to note that the scheme envisages both lending (projects) and non-lending activities as inputs to scaling up. In particular the non-lending activities would help extract lessons and experiences (knowledge management), reduce or remove policy obstacles (policy dialogue) and establish conducive partnerships (partnership building) with key organizations.

17. The 2015 operational framework articulates the enabling conditions for scaling up to happen, known as "scaling up spaces".[17] It also reviews key factors or modalities to engage the main partners, such as governmental partners, private sector partners (including the public-private producer partnerships that IFAD intends to promote to contribute to agricultural value chain development), development partners (UN organizations, International Financial Institutions, CGIAR and Global Forum on Agricultural Research, non-profit organizations and foundations), as well as communities and beneficiaries' organizations (here the emphasis is on building apex organizations which in turn would link with public and private actors, as appropriate). The mobilization of remittances is also expected to provide an opportunity for beneficiaries and their family members to play an active role in scaling up (at the global scale, remittances are four times larger than the size of ODA resources).

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produced in 2011-13 were rated moderately satisfactory or higher in "replication and scaling up" by Programme Management Department. These are self-ratings which will be reviewed by the evaluation synthesis. The 2015 ARRI prepared by IOE showed that 82 per cent of evaluations of projects completed in 2011-13 had rated "innovation and scaling up" moderately satisfactory or higher. However, the evaluation criterion used by IOE conflates the two notions of innovation and scaling up. This is further discussed in the next section and will have to be reviewed by this evaluation synthesis.

[14] For project rating at entry point, the baseline was 2014 and the target was set at 85 per cent by 2018. For project outcomes (level 2 of the RIMS) the target was set at 90 per cent by 2018.

[15] The others were: targeting; empowerment; gender equality; and partnerships.

[16] It is to be noted that, in the past, scaling up was always connected to innovations. At present, it is applies to any activity which is supported by IFAD whether it can be defined as innovative or not.

[17] These are presented as eight "spaces" which may act as conducive factors or constraints: (i) fiscal and financial; (ii) political; (iii) policy; (iv) institutional; (v) cultural; (vi) partnership; (vii) learning; (viii) environment. These are derived from Hartmann A. and J. Linn (2008), Scaling Up: A Framework and Lessons for Development Effectiveness Literature and Practice. Working Paper 5, Washington DC: Wolfensohn Center for Development, Brookings Institute.

Graph 1
The phases of Scaling Up
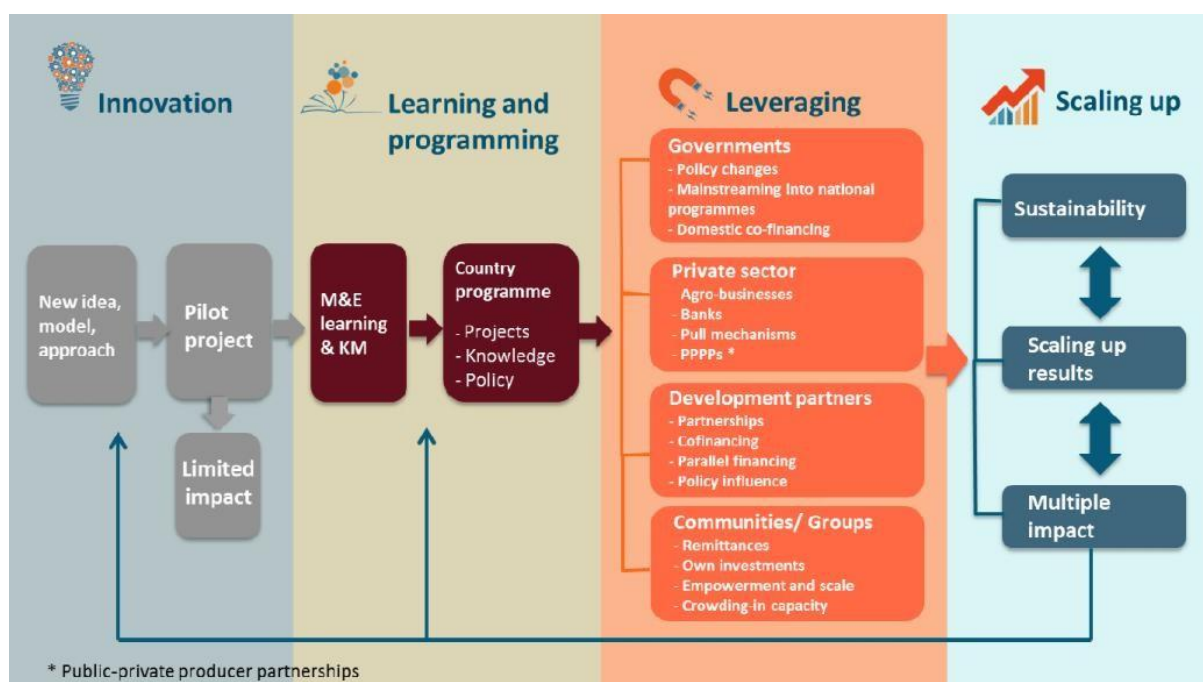
Source: IFAD's operational framework for scaling up of results (2015)

18. The 2015 operational framework also examines how a scaling up path would need to be construed in the IFAD Result-based COSOPs and Country Strategy Notes,[18] how it should be defined in a project design and followed up through the implementation of a project and the management of a country programme. In doing so, the operational framework identifies criteria and guiding questions to be used during the quality enhancement/quality assurance of COSOP and project preparation, as well as for supervision missions, country results reviews and project status reports. Finally, the framework identifies South-South and triangular cooperation as an additional form of scaling up: exchanging ideas, approaches and lessons between developing countries, with IFAD playing the role of a broker.

19. In 2015, in a joint effort to document scaling up experience at the country level and across thematic areas of practice, the Programme Management Department of IFAD produced two sets of toolkits: (i) *Country Scaling up Notes*;[19] and (ii) *Thematic Scaling Up Notes*.[20]

Highlights from other organizations

20. GIZ conducted an evaluation of its 'Corporate strategy evaluation on scaling up and broad impact' in 2014. The evaluation defines scaling up as 'the expansion, adaptation, replication and sustaining of desired policy, program and practice changes.' Three different types of scaling up are considered: (i) horizontal (the gradual rollout of activities to cover an ever wider geographical area); (ii) vertical (achieving a broader impact by means of institutionalisation); and (iii) functional (extending the breadth of issues covered by a project or programme). The evaluation specifies that most of the projects screened consisted of at least one of

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[18] Country Strategy Notes are prepared instead of a fully-fledged COSOP in those countries where the Government and IFAD can not define a programme in the medium term or when a three-year cycle allocation is not higher than US$5 million.
[19] Country scaling up notes have been prepared for: Bangladesh, China, Egypt, Ethiopia, Ghana, Indonesia, Mauritania, Nigeria, Peru, and Sudan.
[20] Thematic scaling up notes have been produced on: (i) Agricultural water management; (ii) Climate-resilient agricultural development; (iii) Gender equality and women's empowerment; (iv) Inclusive rural finance services; (v) Land tenure security; (vi) Nutrition-sensitive agriculture; (vii) Smallholder institutions and organizations; (viii) Smallholder livestock development; (ix) Sustainable inclusion of smallholders in agricultural value chains.

the above three scaling up processes. The evaluation identifies success factors for scaling up at GIZ projects, such as political frameworks in partner countries, engagement at multiple levels of government, government/partnership ownership, co-financing by partners, robust evidence based learning mechanisms and international reputation of GIZ. It recommends GIZ to: (i) enshrine scaling up in the design stage; (ii) create checklist of success factors during implementation; (iii) strengthen knowledge management and partnerships; (iv) monitor scaling up process; and (v) facilitate feedback loop of project scaling up.

21. The World Bank commissioned a document in 2012 titled 'Lessons from practice: Assessing scalability' based on the 22 'Development Marketplace' pilot projects which all sought to demonstrate the effectiveness and potential of innovations in contributing to the enhancement of rural livelihoods (IFAD had also contributed to these through its grants). The document defines scaling up as the 'expansion, adaptation, replication and sustaining of desired policy, program and practice changes'. The publication suggests that scaling up is an iterative process, not a 'two year demonstration project'. In addition the paper suggests keeping innovation simple and establishing a robust monitoring and evaluation systems for a sound evidence base.

22. The International Food Policy Research Institute, under its 2020 Vision programme, compiled in 2012 a document with a series of write-ups from various authors on scaling up (no concise definition provided) in the field of agriculture, rural development and nutrition. Some of the major write-ups elaborate upon the main drivers for scaling up and the 'spaces' needed to facilitate scaling up. The spaces needed for scaling up are identified as institutional space, policy space, fiscal space, political space, partnership space and learning space. Major drivers of scaling up are said to be successful models and ideas, vision and leadership, external catalysts such as political and economic environment and, finally, incentives and accountability for scaling up efforts.

23. The United Nations Development Programme published a guidance note in 2013 on 'Scaling up development programmes'. The note visualizes the various scenarios/pathways in scaling up and identifies the main challenges. Some of these include the short duration of pilot interventions, limited and donor-driven financing, weak M&E systems, insufficient knowledge management, low country ownership. The note briefly explores the scaling up processes at country, regional and global levels and suggests the actions that UNDP should take at these levels to facilitate scaling up.

24. The World Health Organization along with ExpandNet commissioned a paper in 2010 elaborating on a conceptual framework for scaling up, titled 'Nine steps for developing a scaling-up strategy'. The paper defines scaling up as 'deliberate efforts to increase the impact of successfully tested health innovations so as to benefit more people and to foster policy and programme development on a lasting basis.' The nine steps to scale up are defined as follows: (i) planning actions to increase the scalability of the innovation; (ii) increasing the capacity of the user organization to implement scaling up; (iii) assessing the environment and planning actions to increase the potential for scaling-up success; (iv) increasing the capacity of the resource team to support scaling; (v) making strategic choices to support vertical scaling up (institutionalization); (vi) making strategic choices to support horizontal scaling up (expansion/replication) (vii) determining the role of diversification; (viii) planning actions to address spontaneous scaling up; (ix) finalizing the scaling up strategy and planning the next steps.

II. Objectives, scope, key questions and methodology

25. **Objectives**. The objectives of this evaluation synthesis are to draw: (i) lessons, highlight good practices, factors of success and identify risks and potential limitations in IFAD's support to scaling up of results; and (ii) recommendations that can further strengthen the design and implementation of IFAD policies, strategies and operations that have scaling up potential. Recommendations will be formulated at a strategic level. The synthesis will take into account progress made by IFAD in promoting scaling up as a corporate priority.

26. An important *caveat* for this evaluation synthesis is that the international discourse on scaling up is based on the (tacit) premise that scaling up of successful experiences is generally feasible and beneficial. While this assumption may hold in many cases, there may be instances in which certain interventions present dis-economies of scale (in such a situation, scaling-down rather than scaling-up would be required); in other instances interventions may only work at the large scale (for example due to large initial fixed costs); and in certain cases scaling up may be beneficial only if accompanied by certain conditions or supplementary interventions.[21] The question to be examined is to what extent the existing processes at IFAD are serving this purpose.

27. The main audience of this evaluation synthesis is IFAD Management and operational staff and the Governing Bodies of IFAD. The report may be of interest for international development evaluators and development practitioners as well, with the understanding that findings will mostly come from IFAD's own experience.

Scope of the evaluation

28. <u>Time frame.</u> Setting a time frame or a *terminus a quo* always involves some degree of subjectivity. In this case, the time span of the evaluation could be set as 2002-2015, because the scaling up theme first emerged at IFAD in 2002 and the related documentation needs to be considered. As for the review of evaluative material, a sub-time frame could be set as the period 2010-2015. The special emphasis after 2010 is due to the fact that in this year both the CLE on IFAD's Innovation Capacity and Scaling Up and the Institutional Review by Brookings Institute were completed. This can be expected to mark a point of discontinuity in the discourse and practice of scaling up at IFAD and the evaluation synthesis may be able to explore "before and after" differences.

29. The <u>levels of analysis</u> will be: (i) *corporate* as it pertains to the evolving conceptualization and understanding of scaling up and of the achievement of the targets set in the Results Management Framework; (ii) *country programme* as it pertains to the instruments strategies put in place to facilitate scaling up. In terms of concrete experiences, projects will provide specific examples of whether and how scaling up took place and why. However, an attempt will be made to keep the review at a strategic level.

30. <u>The criteria</u>. According to the second edition of the Evaluation Manual (2015), evaluation syntheses focus on learning. Evaluation criteria are adopted on a more selective basis. In addition, criteria are used as a conceptual guidance but not rated, due to the variability of evaluation evidence. At this preparatory stage, it is foreseen that the following two criteria may be adopted: (i) relevance; and (ii) effectiveness. These refer to relevance and effectiveness in scaling up and not to the overall relevance and effectiveness of projects. This is discussed further below.

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[21] To quote an example drawn from past IOE evaluations, research and extension activities to generate and disseminate new varieties of cassava that were resistant to the mosaic virus in West Africa were very successful. They were funded initially by IFAD and the CGIAR but other multilateral and bilateral donors provided additional support. However, these resulted in significant surplus production. In the absence of improved processing technology, one of the downsides of this success was diminishing farmgate prices of cassava, as found in several countries.

31. Within the limitations of a desk review, it may be very challenging to explore other evaluation criteria such as efficiency in scaling up. However, if during the evaluation synthesis process, additional criteria are introduced, this will be duly documented in the main report. In particular, if evidence allows, it may be of interest to explore the item of sustainability given that current (2015) definition of sustainability at IFAD aspires to "deliver the larger results for a greater number of rural poor *in a sustainable way*."

32. <u>Relevance</u> will mainly refer to the way in which scaling up has been conceptualized and operationalized at IFAD. They key references are the institutional documents produced in the above time frame, particularly since the 2007 Innovation Strategy and the 2007 Results Measurement Framework. Guiding questions to be considered include the following:

- Has scaling up been clearly defined in the context of IFAD? Is it based on a clear proof of concept with tangible, measured results, versus being driven as a policy imperative?

- Is it defined and differentiated as an institutional pillar versus other IFAD pillars?

- Is there a clear theory of change underpinning the concept?

- Is there a shared understanding of the concept at IFAD? Is scaling up clearly differentiated from the concept of "innovation"?

- Has the definition been informed by adequate analytical work and review of IFAD's own experience and institutional model?

- Has the concept of scaling up been operationalised?

  ➤ Have targets been set in a clear, measurable and time bound fashion?

  ➤ Are targets adequately taking into account country specificity (e.g., low / medium income; fragile / non-fragile; with or without IFAD's country presence) or are targets set in a non-differentiated manner?

  ➤ Are the above objectives and targets reflected in normative guidance for the design, supervision and implementation support, review and final assessments of (i) COSOPs; and (ii) projects/grants?

  ➤ Have resources been earmarked to support scaling up (e.g. financial instruments such as loans, grants, reimbursable technical assistance; as well as non-lending activities such as knowledge management, partnership building and policy dialogue).

  ➤ Have support (e.g. guidance by technical advisors, resource kits, training modules) and incentives been provided to relevant IFAD staff in order to prepare for scaling up at the strategic and operational level?

33. <u>Effectiveness</u> will refer to the available evidence on: (i) how IFAD paves the way towards scaling up at the time of COSOP and of project preparation and throughout the implementation of individual projects and country programmes; (ii) whether and why scaling up took place; (iii) the development effects that scaling up generated. Related questions include the following:

- How does IFAD prepare for scaling up project at COSOP and project design? How is this followed up throughout the implementation cycle and how are the main partners engaged?

- What evidence is available on scaling up performance, from IOE evaluations or management self-assessment sources? In particular what type of scaling up is observed (e.g. an intervention or programme is institutionalized; a project becomes part of a policy; another development actor "buys in" an approach and makes it part of its intervention paradigm or programme activities)?

- What have been the main contributing factors to the above performance, for example in terms of the role played by IFAD and its partners, the enabling environment and other external conditions?

- Is any insight available on the "scalability" of certain interventions? Are the current corporate processes (particularly on ex ante quality screening of projects and COSOP) providing adequate support? Is any instrument / resource missing?

- What is the evidence on the development benefits stemming from scaling up and on the related risks? What are the challenges of scaling up? Are there situations where scaling up should not be immediately pursued?

- Are there any linkages between scaling up and IFAD's decentralization strategy?

34. Based on the detailed findings that pertain to the above question areas, this evaluation synthesis should be able to generalize findings on what has worked (or not worked) and why in preparing for scaling up, and at for what type of scaling up and at what levels. Also some aggregate findings on the institutional processes and instruments for scaling up would be formulated. These will be highlighted in the section on the conclusions.

35. The main <u>sources</u> will be secondary data and information, to be complemented through interviews, in particular:

- A *review of material produced by IFAD's Management* in the above time frame. This will include: (i) strategic level documentation (strategic frameworks, mid-term plans, scaling up frameworks, reports to replenishment consultation); (ii) the 2015 country and thematic scaling up notes and previous working papers prepared by SKD; (iii) IFAD operational guidelines for COSOP, country note and project design preparation and for supervision missions; (iv) findings from RIDE; (v) a sample of COSOPs, particularly after 2010; (vi) documentation on the internal quality enhancement and quality assurance processes for COSOPs and projects, notably QA notes and ratings; (vii) President's Report on the Implementation Status of Evaluation. Recommendations and Management Actions (PRISMA 2007-2015) as a source of information on follow-up to evaluations related to scaling up; (viii) databases on ratings from annual Project Status Report, Project Completion Report and ratings from internal quality and enhancement assessment (these are maintained by PMD). This material will help document the evolution of scaling up conceptualization, how it has been translated into instructions and guidelines to design and manage country programme strategies and operations and how Management has self-assessed progress made. Self-assessments will be triangulated with other sources of evidence, including independent evaluations.

- A *review of independent evaluation material* prepared by IOE in the 2010-2015 evaluation period. This will include: (i) 6 ARRIs (Annual Report on Results and Impact of IFAD Operations); (ii) 7 Corporate-level evaluations; (iii) 25 Country Programme Evaluations (this will cover scaling up of results supported by loans and grants); (iv) 47 Project Performance Assessments and 2 Impact Evaluations[22]; (v) the ARRI database.

- *Interviews with IFAD* Management *and staff*. The objective of the interviews is to better establish the context in which the reflection, objectives and targets on scaling up have evolved at IFAD, capture the perceptions of managers and staff on strengths and weaknesses of the current system, understand their priorities and help triangulate and explain findings from the desk review.

  At this stage, it is expected that the persons to be interviewed at IFAD will include: (i) Associate Vice Presidents of the Programme Management

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[22] The evaluation synthesis will cover only project-level evaluations that have benefited from field visits and consultation with partners.

Department (PMD) and Strategy Knowledge Department (SKD), respectively; (ii) front office of the Programme Management Department; (iii) Director and selected lead technical advisors in the Policy and Technical Advisory Division (PTA); (iv) one representative from each of the five PMD Regional divisions (to be nominated by their respective Directors) as well as selected country programme managers; (v) Director of Strategic Planning and Impact Assessment Division (SPA) within SKD; (vi) Director, Office of Partnership and Resource Mobilization (PRM); (vi) Director, Deputy Director and selected staff in IOE. Additional persons to be interviewed may be identified in the course of the exercise.

- *A web-based survey of PMD professional staff* (i.e., those in charge of the operations) to better understand the degree of awareness, experience, perceptions and insights of staff on scaling up

- *Interviews with representatives from comparator organizations and external key informants*. The objective of these is to understand how the topic of scaling up is understood and implemented in other organizations that support development activities that can be likened to IFAD's. Interviews will be set with representatives of International Financial Institutions and think tanks that have elaborated upon the scaling up theme (e.g., The Brookings Institute). Interviews will take place in person (benefiting from the presence of IOE staff or the senior consultant), phone, Skype or email. No country visits are foreseen for this evaluation synthesis, given the time and resource allocation, and following general practices for this type of assignment.

Analysis of information and data

36. Data analysis is the process of organizing, displaying, transforming and treating the data and can be done through quantitative and qualitative tools. In the case of the present evaluation synthesis, the main sources of data would be: (i) qualitative data from the review of IFAD management documents; (ii) qualitative information from interviews; (iii) qualitative information from independent evaluation reports; (iv) quantitative data from existing databases (some maintained by IFAD Management and some by IOE). The evaluation synthesis will triangulate between these data sources. Triangulation will help identify area of consistency and common support, as well as discrepancies and potential contradictions between sources and methods. An attempt will be made to explain consistencies or discrepancies, although this might not be possible in some cases.

37. Databases of ratings are maintained IFAD-PMD and IOE and regularly fed through their self-evaluation and independent evaluation activities, respectively.[23] Both IFAD-PMD and IOE have signed a harmonisation agreement on the methodology for self-evaluation and independent evaluations since 2005 (with a revision in 2011 and another one foreseen for 2015). PMD has used the harmonised methodology mostly for Project Completion Reports, where the criteria are almost the same (PMD here adds a few additional criteria for internal analytical purposes). Instead, in the case of Project Status Report, there are a few more differences between the PMD and IOE criteria and indicators. The main reason is that project status reports have to review a number of fiduciary and administrative aspects (as well as to provide some data used in the Results Measurement Framework of IFAD), which are not part of the IFAD evaluation criteria.

38. It is to be noted that in Project Completion Reports and Project Status Reports, scaling up is now rated separately from support to pro poor innovations, while IOE has a single rating for support to innovation and scaling up.

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[23] In the case of IOE, innovation and scaling up have been assessed and rated jointly since 2009, when IOE introduced the Evaluation Manual. Before then, IOE had assessed jointly innovation and the "potential for replication" since 2002, when project-level evaluation methodology was introduced.

39. For both PMD and IOE ratings, descriptive statistical or inferential analysis can be conducted in order to obtain:

   - Average ratings for a given criterion, for example means of ratings for scaling up, compared to means for other criteria;

   - Comparisons across times and trends (e.g., whether ratings for scaling up exhibit an upward trend) with reference to a cut-off point (e.g. before and after 2007) and applying moving averages;

   - Significance tests for the above comparisons (e.g. are differences significant at 5 per cent level?);

   - Correlations between variables, for example correlation on ratings for scaling up with ratings for performance of partners at the project level; correlation between ratings for scaling up and ratings for non-lending activities at the country programme level.

40. However, while analysis of ratings (of PMD and of IOE) may be an interesting reference, this source of evidence should not be over-emphasised. Rating averages may fall short of appreciating the analytical findings and the contextual factors presented in the available documentation. For this reason, content analysis of the documentation will be important. This could be assisted by some type of coding of information available. An example of a simplified coding scheme (which may be further elaborated upon) is presented in Table 2. This would help track the number of times certain findings appear in the documentation, for example what percentage of reports find successful cases of scaling up where government actors or the private sector are involved. Coding may be applied to evaluative documents but also to documents produced by IFAD Management, such as QA notes.

Table 2
A simplified version of a coding scheme

Type of evaluation report	Is scaling up treated specifically by the evaluation?	Is scaling up reported?	Is scaling up related to an innovation	Is it success ful?	A. Who is supposed to contribute to scaling up (multiple options allowed)			Summarise reasons of success or failure
Categories E.g. PCRV, PPA, IE, CPE, CLE, ARRI	Yes = 1 No = 0	Yes = 1 No = 0	Yes = 1 No = 0	Yes = 1 No = 0	A Govern. entity / IFI / UN / Private Sector / Other internatio nal (specify) / Other national (specify)	B Govern. entity / IFI / UN / Private Sector / Other internatio nal (specify) / Other national (specify)	C Govern. entity / IFI / UN / Private Sector / Other internatio nal (specify) / Other national (specify)	

Source: IOE Elaboration

41. The above coding may also help identify and "zoom in" on a set of especially "information-rich" cases that provide analytical contents on items such as the preparatory work done to foster scaling up, the partners involved, the resources invested and other explanatory factors.

42. **Risks and limitations**: Evaluation syntheses are conducted with limited budget, based on desk study, and in a shorter time period as compared to CLEs that include multiple field missions. Furthermore, there are some specific factors that could make synthesis of available information and comparisons challenging. First, the evaluation criterion adopted by IOE is that of "pro-poor innovations and scaling up".

While the two aspects are connected, they are treated separately in the recent IFAD documents (e.g., there may be scaling up without innovation and vice versa). Therefore, the simple inspection of independent evaluation ratings may not be sufficient and more content analysis will be required.

43. Second, focus and depth of analysis dedicated to scaling up and to the explanatory factors for the findings may differ between evaluations and there may be gaps in the secondary data available. Third, there have been changes in the internal definition and understanding of scaling up at IFAD and these may be reflected in the way in which past evaluations have treated the topic, as opposed to recent ones. Ways to mitigate these challenges may include triangulating between multiple sources and methods (e.g. desk review, interviews, qualitative and quantitative data), as well as coding and content analysis of available evaluation material. This may help better disentangle the assessment of innovation and scaling up, illustrating the factors behind cases of higher and lower performance. However, there may be cases in which challenges can not be overcome and this will be documented in the main report.

44. Fourth, very little documentation will be available on the operationalization of the 2015 Operational Framework on Scaling Up. In order to take into account the latest documents available, IOE will review the latest batch of final design reports (with QA comments) produced in 2015, the latest COSOPs approved in 2015 and the project design concept note produced between January and February 2016.

III. The Evaluation synthesis process

45. The main steps in the Evaluation Synthesis process include: (i) the peer review, discussion and finalization of this approach paper; (ii) the desk review of all relevant documentation; (iii) interviews with managers and relevant staff and with external key informants; (iv) analysis of data and information, validation of hypotheses and triangulation of findings; (v) preparation of the report, including quality review; (vi) feedback from IFAD Management and staff during a workshop dedicated to emerging findings.

46. The present approach paper has been subjected to a peer review in IOE and benefits from the comments of a senior independent advisor. It has been submitted to IFAD's Management for comments and finalised taking the same into account.

47. The desk review will be one of the key sources of data and information and will be conducted along the main guiding lines explained above. Interviews will also be held, individually and in groups, with IFAD staff. In addition, interviews will also be held with representatives from other international development organizations on a selective basis. The exact institutions and persons to be interviewed will be identified through the desk review and also in the course of the interviews (snow-ball iteration).

48. Based on the evidence captured through the desk review, data analysis and interviews and following the methodology outline in the previous sections, IOE shall prepare a draft final report. This will be subjected to a peer review process within IOE (entailing an ad hoc meeting). The same draft shall also be shared with the senior independent adviser for comments.

49. Based on the comments received, IOE will revise the draft and share the same with IFAD's management for comments. A workshop dedicated to emerging findings will be organised in-house at IFAD before sharing the draft report with the core learning partnership so that some of the feedback can be already integrated in the revised draft (see further below under *dissemination*). After receiving comments from Management, IOE shall finalise the report and produce an audit trail illustrating how these were taken into account. The final report and audit trail will be shared with IFAD Management for information. Thereafter, IFAD Management

will prepare a written response (2-3 pages) on the final evaluation synthesis report, which will be included in the final report.

50. **Discussion in the Evaluation Committee.** All final evaluation synthesis reports, together with the written IFAD Management's response, are discussed in the Evaluation Committee. Upon request of the Evaluation Committee, the report may also be discussed in the Executive Board. This Evaluation Synthesis will be presented to the Evaluation Committee in the course of 2017, based on a calendar that will be established at the last Committee's session of 2016.

IV. Proposed timeline, team and dissemination

51. The **evaluation team** will include: Mr Fabrizio Felloni, IOE Lead Evaluation Officer and lead evaluator; Mr Anil Sood (senior consultant); Mr Prashanth Kotturi (desk review); Ms Ieva Vikelyte (desk review). Ms Cristina Spagnolo, IOE Evaluation Assistant, will provide research and administrative support.

52. In line with the Evaluation Policy (2011), IOE will also hire a Senior Independent Adviser, Mr Olivier Lafourcade. His role will be to review and provide comments on the approach paper and draft final report. He will also provide a report (2-3 pages) with his/her final comments on the quality of the evaluation process and the contents of the final evaluation synthesis report.

53. **Proposed timetable.** The indicative timeframe is provided in the below Table 3.

54. **Dissemination.** Evaluation synthesis reports are prepared in English only. The final evaluation synthesis report should include the written IFAD Management's response. The lead evaluator will prepare an Evaluation Profile and Insights. The Evaluation Communication Unit (ECU) of IOE will also prepare an infographic note.

55. An in-house workshop shall be organized to discuss the main findings from all evaluation synthesis reports to share lessons and promote dialogue around the main emerging themes. It will be held at IFAD headquarters and will be attended by IFAD Management and staff, IOE staff and others concerned. The main background document – the draft evaluation synthesis report – should be shared with all participants ahead of the session. The comments made at the workshop will be taken into account in revising the report.

56. Once finalized, the evaluation synthesis report will be submitted to the ECU for editorial quality assurance, web publishing and dissemination. The ECU will post the report on the IFAD intranet (log-on screen), the video wall in the IFAD lobby, the independent evaluation section of the IFAD website, IFAD's Facebook page and Twitter and Yammer accounts. The link to the report is also included in the UNEG database of evaluation reports, available at http://www.uneval.org/evaluation/reports.

57. The ECU will share the final report electronically with internal and external audiences, including IFAD Management and staff, IOE staff, consultants, members of the Executive Board, UNEG, ECG, all IFAD regional networks, evaluation associations and other networks according to the thematic area discussed in the report. A limited number of hard copies are printed and placed in IOE's display case for IFAD staff and visitors. Printed copies will also be available upon request.

Table 3.
Proposed Timeline

Activity	Indicative date
Preparation of the approach paper and peer review	February 2016
Desk Review	February- June
Revised Approach Paper sent to Management for Comments	3 March 2016
Senior consultant in Rome	8-10 March

Comments due by Management	16 March
Approach Paper Finalised	22 March
Annotated table of contents for the report	22 March
Interviews with comparator organization (to be done by the consultant)	2 April
Zero draft	16 April
Complete draft	2 May
IOE Internal peer review	15 May
Learning Event with Management	22 May
Revised draft sent to Management	29 May
Comments from Management	30 June
Final report	Mid July
Publication	September

Evaluation synthesis on IFAD's Support to Scaling Up of Results

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Evaluation objectives, methodology and scope (sources, analytical tools, changes from the approach paper –if required-, limitations and topics that are not treated
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A historical overview of the conceptualization of scaling up at IFAD and of the main corporate engagements made
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Chapter III. Main Findings
Relevance

- Evolution of the definition and related analytical work, theory of change
- Clarity of targets
- Guidance for the design, supervision and implementation support, review and final assessments of (i) COSOPs; and (ii) projects/grants?
- Availability of resources (lending and non-lending).
    - System of incentives and support
    - Has IFAD adequately understood and articulated the challenges to scaling up?

Effectiveness

- Type of scaling up observed (e.g. an intervention or programme is institutionalized; a project becomes part of a policy; another development actor "buys in" an approach and makes it part of its intervention paradigm or programme activities)
- Main contributing factors to the observed performance
- What happens after scaling up? What have been the main benefits (or unintended consequences) observed?
- Has IFAD's approach to scaling up had an impact in terms of influencing the agendas of other development partners?
- Findings of the current Synthesis Report vis-á-vis the CLE on Innovation and Scaling up carried out in 2010
- Has past IOE material – and particularly past corporate-level evaluations (e.g. IEE of 2005, CLEE of 2011?) – adequately assessed and provided support to the development of IFAD's approach to scaling up?

Chapter IV.
Conclusions
What has worked (or not worked) and why in preparing for scaling up, and at for what type of scaling up and at what levels. Aggregate findings on the institutional processes and instruments for scaling up

Annex I

Selected references

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