

# Scaling Up—From Vision to Large-scale Change

A Management Framework  
for Practitioners

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**Scaling Up—From Vision to Large-scale Change**  
*A Management Framework for Practitioners*

March 2006

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# Executive Summary



The concept of “scaling up” has become increasingly popular as donors have acknowledged with concern the relatively poor record of innovative pilot projects in extending their reach to large populations. Recognizing this, in October 2003, the John D. and Catherine T. MacArthur Foundation awarded a grant to Management Systems International (MSI) to develop a field-tested framework and set of guidelines for improved management of the scaling-up process. This framework was intended to be of direct and immediate use to those planning, implementing, and funding pilot projects and to those hoping to take the results of such projects to scale.

An earlier draft of the Scaling Up Management (SUM) Framework was used in field tests with reproductive health non-governmental organizations (NGOs) in Nigeria and Mexico and as a basis for initial dissemination efforts. This revised version of the framework reflects that experience and incorporates the feedback from initial dissemination.

One significant finding emerged from this research: Few so-called “pilot projects” take the steps needed to maximize their prospects for scaling up. The framework and guidelines presented in this document seek to improve this track record by offering practical advice on a three-step process to carry out each of ten key tasks needed for effective scaling up. These tasks include:

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This field-tested framework and set of guidelines offer practical advice on how to carry out each of ten key tasks needed for effective scaling up.

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## Step 1: Develop a Scaling-up Plan

- ❖ Task 1: Create a Vision
  - 1A. *The Model: What Is Being Scaled Up?*
  - 1B. *The Methods: How Will Scaling Up Be Accomplished?*
  - 1C. *Organizational Roles: Who Performs the Key Functions?*
  - 1D. *Dimensions of Scaling Up: Where Does the Scaling Up Occur?*
- ❖ Task 2: Assess Scalability
  - 2A. *Determining the Viability of the Model for Scaling Up*
  - 2B. *Analyzing the Organizational and Social Context*
- ❖ Task 3: Fill Information Gaps
- ❖ Task 4: Prepare a Scaling-up Plan

## Step 2: Establish the Pre-conditions for Scaling Up

- ❖ Task 5: Legitimize Change
- ❖ Task 6: Build a Constituency
- ❖ Task 7: Realign and Mobilize Resources





### Step 3: Implement the Scaling-up Process

- ❖ Task 8: Modify Organizational Structures
- ❖ Task 9: Coordinate Action
- ❖ Task 10: Track Performance and Maintain Momentum

For each Task, the document suggests actions that need to be taken, presents alternative tactics that can be used, and

references tools and outside resources that can be of help. Annexes to the document summarize the field work conducted by MSI in Mexico and Nigeria (Annex 1); present a sequenced list of questions to guide the scaling-up process (Annex 2); and provide a consolidated list of some of the tools most useful for each phase of the scaling-up effort (Annex 3).



# Scaling Up Begins with a Plan



The persistence of poverty and preventable illness in low-income countries after 30 years of development efforts has drawn attention to the relatively poor record of pilot and demonstration projects in successfully stimulating systemic change and reaching large populations. In rich and poor countries alike, service providers and funders find themselves under pressure to reduce costs, improve social outcomes, and explain why it has proven so difficult to accelerate the spread of best practices.

Recognizing this, in October 2003, the MacArthur Foundation awarded a grant to Management Systems International (MSI) to study the scaling up of small pilot and demonstration projects and to field test methods for improving the scaling-up process. The grant called for five activities:

- ❖ To develop a framework that synthesized the existing state of knowledge on scaling up;
- ❖ To conduct field trials, using the framework as a general guideline;
- ❖ To assess the experience of the field trials;
- ❖ To revise the framework based on the experience of the field trials; and

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The persistence of poverty and preventable illness in low-income countries after 30 years of development efforts has drawn attention to the relatively poor record of pilot and demonstration projects in successfully stimulating systemic change and reaching large populations.

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- ❖ To disseminate these findings, with particular emphasis on the population and reproductive health communities.

The initial version of the Scaling Up Management (SUM) Framework developed under this grant built on 11 years of applied research carried out by MSI under the USAID-funded Implementing Policy Change Program.<sup>1</sup> It also drew heavily from the existing literature on scaling up, strategic planning, and organizational development. This framework was used in field tests with reproductive health non-governmental organizations (NGOs)

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<sup>1</sup> See [www.msiworldwide.com/ipc](http://www.msiworldwide.com/ipc)





## Scaling Up Begins with a Plan

in Nigeria and Mexico and as a basis for initial dissemination efforts with academics and practitioners. The current version of the framework has been revised to reflect the lessons from that experience and to incorporate feedback from initial dissemination.<sup>2</sup> It is deliberately operational and is directed primarily to those involved in funding and implementing pilot projects and to

those wanting to extend these projects to larger audiences. As such, it focuses on the practical steps and concrete tasks involved in managing the scaling-up process.

The remainder of this paper is organized around the 3 Steps and 10 Tasks featured in the SUM Framework.

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<sup>2</sup> See Annex 1 for a summary of actions taken in Mexico and Nigeria. An extensive bibliography, PowerPoint presentation, and detailed case study on the CLP Project in Nigeria are available on request from Richard Kohl (rkohl@msi-inc.com).





# Step 1: Develop a Scaling-up Plan

Successful scaling up begins with good planning. Ideally, that planning starts during pilot project design and should take place long before implementation is completed. This section of the Framework provides guidelines for **Step 1** of the scaling-up process, **Develop a Scaling-up Plan**. This first step includes four distinct tasks, namely:

- ❖ Task 1: Create a Vision;
- ❖ Task 2: Assess Scalability;
- ❖ Task 3: Fill Information Gaps; and
- ❖ Task 4: Prepare a Scaling-up Plan

Successful scaling up begins with good planning. Ideally, that planning starts during pilot project design.

Concrete results achieved during Step 1 include a realistic assessment of the prospects and parameters for scaling up and a road map for getting to scale. This Step also includes developing the documentation and beginning to build the support that will be needed later in the scaling-up process.

## Task 1: Create a Vision

A lack of agreement on basic definitions and a shortage of well-documented case

studies makes scaling up more difficult.<sup>3</sup> The term “scaling up,” for example, is

<sup>3</sup> Notable exceptions include:

Expand Net Scaling Up Health Interventions <http://www.expandnet.net/>;

Simmons, Ruth and Jeremy Shiffman. *Scaling-up Reproductive Health Service Innovations: A Conceptual Framework*. Paper prepared for the Bellagio Conference: From Pilot Projects to Policies and Programs, March 21–April 5, 2003; November 15, 2002, and updated February 2, 2005.

Shiffman, Jeremy. Generating political will for safe motherhood in Indonesia. *Social Science and Medicine* 56. 2003.

Shiffman, Jeremy, Cynthia Stanton and Patricia Salazar. The emergence of political priority for safe motherhood in Honduras. *Health Policy and Planning* 19 (6). 2004.

Uvin, Peter, Pankaj S. Jain, and L. David Brown. Think Large and Act Small: Towards a New Paradigm for NGO Scaling Up. *World Development* 28 (8). 2000.

Navrongo Health Research Center. *What Works, What Fails (Vols. 1 and 2)*. Ghana Ministry of Health ([www.navrongo.org](http://www.navrongo.org)).

Goff, B. Mastering the Craft of Scaling Up in Colombia. *Grassroots Development* 14 (1). 1990.

Haaga, John G. and Rushikesh Maru. *The effects of operations research on program changes in Bangladesh*. Studies in Family Planning 27 (2). 1996.

DeJong, Jocelyn. *NGO Experiences of Scaling Up HIV/AIDS Programs*. Presentation at World Bank Workshop on Orphans and Vulnerable Children. May 2003.

Ford Foundation. *Asset Building for Social Change: Pathways to Large Scale Impact*.

Levine, Ruth. *Millions Saved: Proven Successes in Global Health*. Washington, DC. Center for Global Development. November 2004.

World Bank. *Scaling-up the Impact of Good Practices in Rural Development: A Working Paper to Support Implementation of the World Bank's Rural Development Strategy*. Report Number 26031. Agriculture and Rural Development Department. June 2003.





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Task 1 focuses on creating a concrete vision of what scaling up would look like if it were successful.

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applied to several distinct strategies including: the dissemination of a new technique, prototype product, or process innovation; “growing” an organization to a new level; and translating a small-scale initiative into a government policy. To organize these issues and differentiate among strategies, Task 1 of the SUM Framework focuses on creating a concrete vision of what scaling up would look like if it were successful. This vision becomes the yardstick for judging scalability (Task 2) and for deciding what more needs to be done before embarking on the scaling-up process. Task 1 includes the following four elements:

- ❖ Clarify the model, innovation or project to be scaled up—**what** is being scaled up;
- ❖ Identify the methods of going to scale—the **how** of scaling up;
- ❖ Determine the organizational roles involved in scaling up—the **who** of scaling up;
- ❖ Establish the expected scope of the scaling-up effort and the dimension(s) along which scaling up will occur—loosely speaking, the **where** of scaling up.

The following questions should be addressed when beginning Task 1:

- ❖ What organizational, process, and technical factors were critical to success on a pilot scale?
- ❖ Can the model be simplified without undermining its effectiveness? Is it absolutely necessary to replicate all elements of the model on a large scale?
- ❖ Does the organization that carried out the pilot project have the desire and organizational capacity to expand its operations and deliver services on a substantially larger scale?
- ❖ If not, which organization(s) are best suited and motivated to implement the model on a scaled up basis or to serve as partners in implementing the model?
- ❖ Should the scaling-up effort include policy change by the government or rely exclusively on voluntary adoption by private and non-governmental organizations (NGOs)?
- ❖ Is there a need for one or more intermediary organizations to support the scaling-up process? If so, what help is needed and which organizations are best suited to performing these roles?

### Step 1: Developing a Scaling-up Plan

- ❖ Task 1: Create a Vision
- ❖ Task 2: Assess Scalability
- ❖ Task 3: Fill Information Gaps
- ❖ Task 4: Prepare a Scaling-up Plan





- ❖ Along what dimension(s) should scaling up take place?
- ❖ What would scaling up look like if it were successful?

The following paragraphs explore these questions and more. They are organized around the elements of what, how, who and where the scaling-up effort will take place.

## 1A. THE MODEL: WHAT IS BEING SCALED UP?

Scaling up should begin by clarifying exactly what is to be scaled up. In the discussion that follows, we refer to this as the “model.” This model is normally embedded, at least initially, in a project and can include **technical, process, and organizational components**. We refer to untested models or individual components of models as “innovations.”<sup>4</sup>

In thinking about scaling up, it is useful to distinguish five different types of projects<sup>5</sup>—pilot (or research and development [R&D]), demonstration, capacity building (or infrastructure), policy, and service delivery.

**Pilot projects**, upon which this paper mainly focuses, have as their primary

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Scaling up should begin by clarifying exactly what is to be scaled up.

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purpose finding and testing new solutions to a particular problem. By definition, they include at least one technical, process, or organizational innovation. Examples of each would be: a new technology (technical innovation); a novel service delivery approach (process innovation); or creative use of a public/private/NGO partnership (organizational innovation). A pilot project can also take a model that has worked successfully in one context or for one problem and apply it to a new context or problem.<sup>6</sup>

**Demonstration projects** take an existing model and raise awareness about its usefulness. The intention is to make existing solutions better known and more widely accepted by decision makers and potential users.

**Capacity-building projects** are intended to create the institutions, skills, physical infrastructure or systems needed to make

### Task 1: Create a Vision

#### 1A. The Model: What Is Being Scaled Up?

1B. The Methods: How Will Scaling Up Be Accomplished?

1C. Organizational Roles: Who Performs the Key Functions?

1D. Dimensions of Scaling Up: Where Does the Scaling Up Occur?

<sup>4</sup> The nascent scaling up literature borrows heavily from social science literature on the diffusion and adoption of technological innovations. While in some sections of this paper we find the “innovation” to be useful, many small-scale pilot projects discussed in the literature do not contain an obvious technical, process, or organizational innovation. We therefore prefer to use the term “model” rather than “innovation” to refer to what is being scaled up.

<sup>5</sup> Taken from Cooley, Larry. *Uses and Limitations of Projects as Instruments of Change*. Unpublished: Management Systems International, 1992.

<sup>6</sup> The case studies cited above include numerous examples of each of these types of innovation.





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Each of these five types of projects—pilot, demonstration, capacity building, policy, and service delivery—has an internal logic with respect to scaling up.

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permanent changes in the level or quality of service delivery. These projects implicitly assume that the other elements necessary for going to scale already exist or are being provided elsewhere.

**Policy projects** emphasize advocacy and research and focus explicitly on bringing about changes in public policy. These projects target policymakers as their intended audience and do not typically include direct provision of services to the affected public.

**Service-delivery projects** attempt to “projectize” service delivery on the assumption that the benefits or services provided are needed urgently and are not being provided by existing programs and institutions. National immunization campaigns offer an obvious case in point. These projects may or may not contain innovations.

Each of these five types of projects—pilot, demonstration, capacity building, policy, and service delivery—has an internal logic with respect to scaling up. Pilot projects approach scaling up in two stages—the initial project is intended to

find a new and better solution to a problem on the assumption that, if successful, these innovative and novel features can and will be adopted by others. Using terminology discussed later in this chapter, most pilot projects focus on “effectiveness” with the implicit assumption that “efficiency” and “expansion” will be addressed at some later date. Demonstration projects, capacity-building projects, and policy projects implicitly take a first step in scaling up by seeking to accomplish one or more of the tasks necessary to operating on a larger scale: creating legitimacy and awareness, increasing capacity, and mobilizing resources, respectively. Service-delivery projects normally act as an alternative to government-provided services, dealing directly with the issue of scale by reaching as many people as resources allow. In none of these cases does the project design typically include a complete strategy for reaching scale on a sustainable basis.

Many of the projects funded by foundations and other donors describe themselves as pilot projects, as do most of the examples cited in the scaling-up literature. It is important to note, however, that relatively few of these projects contain an obvious innovation or a research component, and most include many elements that need not—or cannot—be reproduced on a large scale. The majority of these projects are better seen as service-delivery projects than as true pilot projects.





Any serious effort to scale up a model or pilot project should be preceded by testing, clarifying, refining, and simplifying the model to emphasize those elements essential to its success.<sup>7</sup> This process can take many years. In reviewing a number of cases in the field of rural development, the World Bank recently observed that successful cases “generally started with 10- to 15-year lead-up times, during which locally effective and appropriate technologies and processes were refined, often with subsidized donor support.”<sup>8</sup> This same evidence suggests, however, that many social entrepreneurs are reluctant to consider simplifications to their initial models or prototypes, despite the fact that evidence from a variety of sources indicates that the factors relevant to the success of scaling-up efforts include determined efforts at simplification.<sup>9</sup>

While most models proposed for scaling up are described by proponents as “best practices,” few would meet this standard. To this end, the World Bank publication cited above introduces a useful set of categories originally developed by the U.S. Center for Drug Abuse Prevention and drawn from the language of scientific discourse. These distinguish between “an *innovation* (minimal

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objective evidence), a *promising practice* (anecdotal reports and testimonials); a *model* (positive evidence in a few cases); a *good practice* (clear evidence from several settings/ evaluations); *best practices* (evidence of impact from multiple settings, meta-analyses, expert reviews); or a *policy principle* (proven in multiple settings; considered widely applicable ‘truism’ essential for success).<sup>10</sup>

This first element of Task 1 should result in a clear specification of the rationale for, and substance of, what is to be scaled up.

### Categories of “Best Practice”

- Innovation**—minimal objective evidence
- Promising practice**—anecdotal reports and testimonials
- Model**—positive evidence in a few cases
- Good practice**—clear evidence from several settings/evaluations
- Best practices**—evidence of impact from multiple settings, meta-analyses, expert reviews
- Policy principle**—proven in multiple settings; considered widely applicable “truism” essential for success

<sup>7</sup> Simplification also implies an effort to identify in an objective way those elements of an intervention that are essential and cost-effective for producing the desired results. In this regard, the randomized trials pioneered by the Poverty Action Lab are instructive (see [www.povertyactionlab.org](http://www.povertyactionlab.org)).

<sup>8</sup> World Bank, op. cit., p. 24.

<sup>9</sup> World Bank, op. cit., p. xiv.

<sup>10</sup> World Bank; June, 2003; p. xi.





## 1B. THE METHODS: HOW WILL SCALING UP BE ACCOMPLISHED?

### Task 1: Create a Vision

1A. The Model: What Is Being Scaled Up?

**1B. The Methods:**  
How Will Scaling Up Be Accomplished?

1C. Organizational Roles: Who Performs the Key Functions?

1D. Dimensions of Scaling Up: Where Does the Scaling Up Occur?

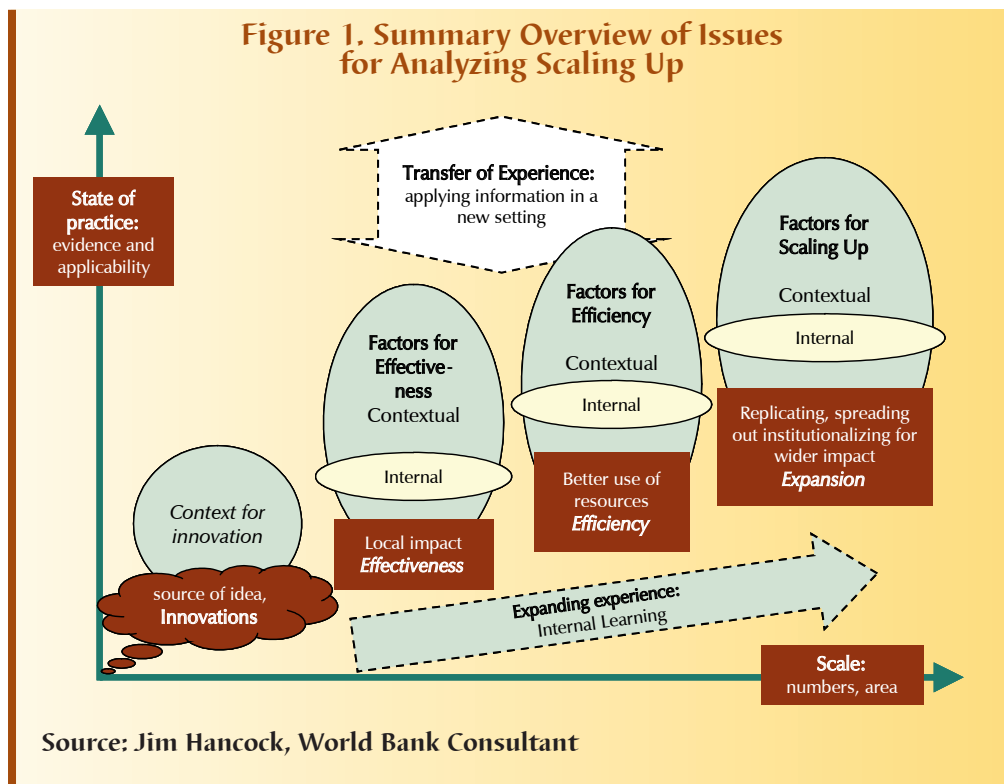
The second element in Task 1 involves articulating a strategy for how the model can best be extended to large numbers of people. A good starting point is David Korten’s classic depiction of the scaling-up process as three successive stages—effectiveness (developing a solution that works), efficiency (finding a way to deliver the solution at an affordable cost),

and expansion (developing a way to provide the solution on a larger scale).<sup>11</sup> Figure 1 illustrates this progression.<sup>12</sup>

Scaling up focuses principally on the third stage—expansion—and assumes that workable solutions have been found for the issues implied by the first and second stages. However, literature and experience both suggest that, within this third stage, it is useful to distinguish between several distinct approaches or

methods of achieving scale (see Table 1).<sup>13</sup>

Thus, the SUM Framework groups third-stage “expansion” methods into three categories—**expansion**, **replication**, and **collaboration**—distinguished from one another by the degree to which the originating organization (i.e., the organization that managed the initial project) continues to control implementation as the model goes to scale.<sup>14</sup>



<sup>11</sup> Korten, F. F. and R. Y. Siy, Jr. (eds.). “Sharing Experiences—Examples of Participatory Approaches in Philippines Communal Irrigation Projects.” In *Transforming Bureaucracy: the Experience of the Philippine National Irrigation Administration*. West Hartford, CT: Kumarian Press, 1988. <http://www.worldbank.org/wbi/sourcebook/sb0215.htm>

<sup>12</sup> World Bank, op. cit., p. 14.

<sup>13</sup> The following discussion parallels and integrates the distinctions outlined in a recent publication between “expansion of experience” and “transfer of experience” each of which can be pursued through either organizational growth (“horizontal”) or institutional and policy change (“vertical”) approaches, and each of which can engage the organization doing the scaling up on a “direct” or “indirect” basis. (World Bank, op. cit., p. x)

<sup>14</sup> Among other useful frameworks for distinguishing alternative methods of scaling up is the following taxonomy: developing public policies, fostering communities of practice, influencing market forces, changing power relationships, and promoting social learning. For a full discussion of this framework, see Ford Foundation. *Asset Building for Social Change: Pathways to Large-Scale Impact*, 2004.





**Expansion** here refers to taking a model to scale by increasing the scope of operations of the organization that originally developed and piloted it. Often, expansion occurs in cases of pilot or demonstration projects, where a project fills a vacuum in terms of delivering products or services, and where the model and the organization in which it is embedded are either inextricably linked or the originating organization is unwilling to relinquish control.

The most common form of expansion is *growth*, which normally occurs by branching out into new locations. Sometimes this growth is accompanied by *decentralization* or *restructuring*, which we regard here as a distinct method of expansion because of the special demands it places on the originating organization. Two other methods of expansion are *franchising* the model to organizations operating as agents or clones of the originating organization,

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The SUM Framework groups third-stage “expansion” methods into three categories—**expansion**, **replication**, and **collaboration**—distinguished from one another by the degree to which the originating organization continues to control implementation as the model goes to scale.

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and *spinning off* aspects or parts of the originating organization to operate independently.

**Replication** involves increasing the use of a particular process, technology, or model of service delivery by getting others, including the public sector, to take up and implement the model. In these cases, an arms-length relationship between the originating and “adopting” organizations (defined below) exists. Replication can occur between organizations of the same type (e.g., NGO to NGO) or between organizations of different types.

One of the most common types of replication is *policy adoption*, when a model is scaled up from a pilot run by an NGO to a program or practice mandated and often run by the public sector. Another common form of replication is *grafting*, where a model—or one

**Table 1. Types and Methods of Scaling Up**

Type	How
Expansion	❖ Growth
	❖ Restructuring or Decentralization
	❖ Franchising
	❖ Spin-Off
Replication:	❖ Policy Adoption
	❖ Grafting
	❖ Diffusion and Spillover
	❖ Mass Media
Collaboration	❖ Formal Partnerships, Joint Ventures, and Strategic Alliances
	❖ Networks and Coalitions





Each of the ten scaling-up methods has pros and cons, and choosing among alternatives involves balancing a number of considerations.

component of a model—is incorporated into another organization’s array of services or methods of service delivery. Policy adoption and grafting can occur together, as when a public sector agency incorporates a technique innovated by NGOs into its services, such as a participatory approach to HIV education. *Diffusion* and *spillover* are other methods of replication. They tend to be spontaneous in nature and occur when a model spreads by informal networking with new or existing organizations or through the use of more deliberate dissemination efforts. Use of *mass media* is a special case of diffusion that bypasses organizations altogether by marketing new ideas directly to the affected public.

**Collaboration**, the third method for scaling up, falls somewhere between the expansion and replication approaches. Collaboration mechanisms run the gamut from formal partnerships to informal networks and include a number of innovative structures and governance arrangements. *Formal partnerships, joint*

*ventures* and *strategic alliances* are increasingly common methods for organizing collaborative efforts, as are less formal *networks* and *coalitions* based on memoranda of understanding or merely a handshake. Typically, these arrangements include some division of responsibility among the collaborating organizations.

Some of these arrangements include the public sector as a key partner; many others are agreements among civil society groups and/or partnerships with private firms, such as an NGO involved in education and awareness that partners with media organizations to co-create new methods of delivering products and services to an expanded audience. Recognition by private firms of commercial opportunities among the poor<sup>15</sup> and a growing emphasis on corporate social responsibility have greatly expanded the opportunities for these types of partnerships.

### *Balancing the Pros and Cons*

Each of the ten methods listed in Table 1 has pros and cons, and choosing among alternative scaling-up methods involves balancing a number of considerations. Take, for example, the case of replication through policy adoption—the transfer of a model from an NGO to public sector institutions. The clear advantages of policy adoption are mandatory compliance and access to resources, as state and national

<sup>15</sup> See, for example, the recent book: Prahalad, C. K. *The Fortune at the Bottom of the Pyramid*. Philadelphia: Wharton School of Publishing, 2004.





governments have greater financial resources than most NGOs. Moreover, governments generally have greater public legitimacy, especially if they are democratic; and donors and foundations frequently view operating at scale on a sustainable basis as a more appropriate role for government than for NGOs. Policy adoption also has the advantage that it can occur fairly rapidly in a system where decision making is highly centralized and can cover a large area quickly. On the other hand, organizational congruence—the match between the skills, procedures, and values of the NGO and those of the government—can be a serious problem. For example, where the model being transferred involves a highly participatory approach, adoption by bureaucratic public agencies may be impractical. For this reason, policy adoption is typically more effective when the model involved is primarily technical than when process sensitivity and community participation are key factors in its success.<sup>16</sup>

The pros and cons of using expansion as a scaling-up method largely mirror those associated with policy adoption. Major challenges for expansion are the ability of existing management to undertake and implement the necessary internal changes—and to secure sufficient financial resources—both to support the scaling-up exercise and to operate at

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This second element of Task 1 entails weighing these options and arriving at preliminary decisions about which scaling-up methods are to be used, with a clear understanding of the implications.

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scale. Expansion by NGOs across socially and politically diverse regions and audiences is a particular challenge.

The pros and cons of collaboration depend on the nature of the organizations, governance structures, and partnership model that is used. Collaboration has greatest potential where various organizations have different and complementary skills or resources, have shared or overlapping objectives, and have a high level of mutual trust. For example, networks between similar institutions, such as between NGOs or between public sector agencies, can be a powerful form of scaling up. However, because networks are voluntary and frequently lack external resources, the rate of adoption and coverage of the program may be slower and less widespread, respectively, than with other strategies.

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<sup>16</sup> This corresponds to the distinction between the “hardware” (the technical components) and “software” (participation, quality of service, and other less tangible components) aspects of change.





Table 2 displays critical factors affecting the choice among alternative scaling-up methods along with the implications of each of these factors for preferred methods:

This second element of Task 1 entails weighing these options and arriving at preliminary decisions about which scaling-up methods are to be used, with a clear understanding of the implications.

**Table 2. Choosing a Scaling-up Method**

Factors to Consider	Method Preferred
<b>Type of Model</b>	
Technology Intensive	Any
Process Intensive	Expansion or Collaboration
<b>Comprehensiveness of Model</b>	
Specific Practice	Any
Complete Model	Expansion
<b>Capacity of Originating Organization</b>	
Strong	Expansion or Collaboration
Weak	Replication
<b>Source of Financing</b>	
Internal	Any
External	Replication or Collaboration
<b>Availability of Formal Evaluation and Documentation of the Model</b>	
Yes	Any
No	Expansion
<b>Observability of Results</b>	
High	Any
Low	Expansion
<b>Ease of Transfer to Other Organizations</b>	
High	Replication or Collaboration
Low	Expansion
<b>Quality of Governance</b>	
High	Replication
Low	Expansion or Collaboration
<b>Presence of NGO Networks</b>	
Strong	Replication
Weak	Expansion or Collaboration
<b>Social Homogeneity</b>	
High	Any
Low	Replication

### 1C. ORGANIZATIONAL ROLES: WHO PERFORMS THE KEY FUNCTIONS?

The third element of Task 1 is deciding who needs to do what in order for scaling up—and operating at scale—to be successful.

Drawing on a typology developed by Simmons and Shiffman (2003),<sup>17</sup> at least two different organizational roles are involved in scaling up: the **originating organization** that develops and pilots the model, and the **adopting organization** that takes up the model. Adopting organizations may be newly created for the purpose of taking up the model, or may be pre-existing. In the case of collaborative strategies, the role of the adopting organization is sometimes shared between the originating organization and one or more partners. In cases where scaling up takes place through expansion, the originating and adopting organizations are one and the same. Nevertheless, the conceptual distinction is useful because significant expansion will almost certainly require the originating organization to undergo major change.

<sup>17</sup> Simmons, Ruth and Jeremy Shiffman. *Scaling-up Reproductive Health Service Innovations: A Conceptual Framework*. Paper prepared for the Bellagio Conference: From Pilot Projects to Policies and Programs, March 21–April 5, 2003. November 15, 2002.





Simmons and Shiffman have noted the importance of the compatibility of a model with the values, norms, and systems of potential adopting organizations.<sup>18</sup> This means that, when considering potential adopting organizations, it is important to look at how similar the organizational contexts, capacities, and values are; how much adaptation and capacity building will be needed; and what resources will be required.

For example, community-based projects frequently owe their success to participation by program participants and stakeholders, including local ownership, volunteer labor, use of local resources, and priorities determined by community needs. Large public sector bureaucracies embody, almost by definition, exactly the opposite characteristics. Supply-driven and less responsive to local needs, they are unlikely to make extensive use of local resources or engender a strong sense of local ownership. While public bureaucracies have compensating virtues—legitimacy, resources, and infrastructure—differences in their “software” (processes) and values may make transfer difficult and ultimately jeopardize the viability of scaling up in cases where these components are fundamental to the success of the model.

Considerations of compatibility apply equally to the social environment in

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The third element of Task 1 is deciding who needs to do what in order for scaling up—and operating at scale—to be successful.

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which the originating and adopting organizations are embedded. If the vision of scaling up involves a new population or location, this requires at least a preliminary assessment of the context where scaling up will occur. The objective of this assessment is to ensure that the scaling-up strategy takes into account opportunities and threats in the new environment and adjusts to social conditions present in the new context. This should include an assessment of the supply and demand for the services that are to be provided and whether there are any “competitors” present who may be threatened by the scaling-up effort.

Most discussions of scaling up assume that the originating organization is also the organization that does the work needed to transfer the model or take the model to scale. Experience and theory both suggest, however, that many of the tasks involved in successfully transferring or expanding a model can best be done by, or with the assistance of, a neutral third party or **intermediary**

#### Task 1: Create a Vision

- 1A. The Model: What Is Being Scaled Up?
- 1B. The Methods: How Will Scaling Up Be Accomplished?
- 1C. Organizational Roles: Who Performs the Key Functions?**
- 1D. Dimensions of Scaling Up: Where Does the Scaling Up Occur?

<sup>18</sup> Simmons, Ruth and Jeremy Shiffman. Op. cit.





This third element of Task 1 involves identifying the organizations best suited to perform each of these functions and the major organizational changes that scaling up will require of them.

**organization** charged specifically with assisting the scaling-up process. The tasks these organizations perform can include conducting visioning and planning exercises; project evaluation and process documentation; political mapping and stakeholder assessment; coalition building; design and conduct of advocacy campaigns; and fundraising. In the case of collaborative strategies for scaling up, intermediary organizations can also be essential in designing and forming innovative partnerships. In strategies that depend on expansion or replication, they often play essential roles in assessing and strengthening the internal capacity

required in originating and adopting organizations.<sup>19</sup>

Figure 2 summarizes the organizational roles involved in scaling up. The roles of the originating organization, adopting organization, and intermediary organization can each be performed by public sector agencies, NGOs, private voluntary organizations, consulting firms, and community-based organizations.

This third element of Task 1 involves identifying the organizations best suited to perform each of these functions and the major organizational changes that scaling up will require of them.

### 1D. DIMENSIONS OF SCALING UP: WHERE DOES THE SCALING UP OCCUR?

So far, we have reviewed three of the four the key elements of scaling up: the model, the types and methods of scaling up, and organizational roles. The fourth and final element needed to complete a

vision of the scaling-up process is **dimension**—the size of the intended scaling-up effort and the vector along which the model or project is to be extended.

Figure 2. Organizational Roles in Scaling Up



<sup>19</sup> One of the major findings from MSI's research and fieldwork is that there are few intermediary organizations in most developing countries with the range of skills needed to support scaling-up. Also noteworthy is the absence of funding to cover these services in most donor-assisted projects.





Extension of a pilot project's services or benefits can be along any of the following five vectors:

- ❖ Geographic coverage (extending to new locations);
- ❖ Breadth of coverage (extending to more people in the currently served categories and localities);
- ❖ Depth of services (extending additional services to current clients);
- ❖ Client type (extending to new categories of clients); and
- ❖ Problem definition (extending current methods to new problems).

To clarify these distinctions, consider a project being piloted in a particular village and intended to lower infant mortality by educating pregnant women about infant diseases and the need for ante- and post-natal care. When scaling up is discussed, frequently only the geographic dimension is considered—expanding the project to reach more villages or a larger region, such as a district or the entire country. However, a number of other dimensions might also be considered. These could include extending services to more pregnant women within the original village (breadth of coverage); offering nutritional information and/or access to ante- and post-natal care (depth of services); widening the target population to include all women of childbearing age (client type); or applying the approach to address other issues, such as maternal mortality (problem definition). Deciding on how many people will be served and

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The fourth and final element needed to complete a vision of the scaling-up process is **dimension**—the size of the intended scaling-up effort and the vector along which the model or project is to be extended.

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along which of these directions the expansion will occur is the fourth and final element in developing a vision and broad strategy for scaling up.

## PUTTING TASK 1 INTO ACTION

The starting point for Task 1 depends on who initiates it and at what stage of the pilot effort. Experience clearly demonstrates that scaling up is highly unlikely without some level of active support from the originating organization. However, the focus on scale often begins with donor or host-government interest in fashioning a solution that can be provided to large segments of the affected population. In cases where the NGO responsible for the pilot project does not share this emphasis on coverage, a mismatch of expectations is likely. The most typical result is vague language about scaling up in the funding documents for the pilot project and limited attention to scaling up during implementation. The best protection against this is clear and candid

### Task 1: Create a Vision

- 1A. The Model: What Is Being Scaled Up?
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Experience clearly demonstrates that scaling up is highly unlikely without some level of active support from the originating organization.

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communication early on about each party's vision for the future scale of the effort, and their willingness to work toward that future.

Timing is also critically important. Often, discussion of scaling up begins only after a pilot project is well underway or completed. These projects are often assumed to be successful and ready for scaling up based on anecdotal evidence rather than a thorough, evidence-based evaluation of the extent and reasons for a model's success; an assessment of the model's strengths, weaknesses, and cost-effectiveness; and a comparison with alternative models or mechanisms for achieving the same goals. Taking the time to do an evaluation, assessment, and comparison with alternatives is important and, ideally, should be done by someone who is detached and independent. Third-party assessments often provide elements essential to the scaling-up process, including documentation or credible verification of impact, which can be used to publicize and market the model.<sup>20</sup>

In other cases, multiple candidates may be appropriate for scaling up to fill a larger need, and a selection must be made. For these, prioritization of projects for scaling up should be based on the scalability assessment criteria enumerated in Task 2 below.

In the best-case scenario, scaling up is anticipated during the initial design of a pilot project. In such cases, widely accepted best practices suggest that the following elements be incorporated into the original design and implementation of the pilot project: doing a baseline survey; documenting the model, especially processes such as working with local communities; building in an ongoing method for monitoring, measuring, evaluating and publicizing results; and building in mechanisms for gaining buy-in from policymakers and other representatives of potential users or adopting organizations.

Regardless of entry point, scaling up depends on a shared vision incorporating the elements described in Task 1 of the SUM Framework. Much of the work needed for ironing out these issues can be done in a workshop setting with officials from the originating organization, potential donors, potential adopting organizations, and selected other stakeholders. Field-tested models and materials have been developed to support this planning effort and are available upon request.<sup>21</sup>

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<sup>20</sup> Ashman, Darcy. *Closing the Gap between Promise and Practice: A Framework for Planning, Monitoring and Evaluating Social Development Networks*. Unpublished, Mimeo.

<sup>21</sup> For more information, contact Richard Kohl at Management Systems International (rkohl@msi-inc.com).





## Task 2: Assess Scalability

The second part of the planning process involves reaching pragmatic judgments about the **scalability** of the model or program in question. While some of the factors that affect scalability relate to the model itself, many relate to the larger context in which scaling up would take place. As a result, the task of assessing scalability should usually be undertaken at the same time as Task 1 to ensure that the vision and plan are fully informed by the realities of the situation.

The following questions can help to guide Task 2:

- ❖ Do relevant stakeholders, potential partners, and intended beneficiaries perceive a need for this kind of model?
- ❖ Has the model been documented, including the process component, and has its cost-effectiveness been objectively assessed? Does evidence indicate that the model is more cost-effective than other approaches?
- ❖ Are there obvious economies or diseconomies of scale?
- ❖ How easily can the institutional characteristics that were key to the outcomes achieved be replicated or enlarged?
- ❖ Is there anything special or unique about the social context, political context, or general circumstances of the pilot project (e.g., cultural, ethnic, or religious values/characteristics; distribution of power; homogeneity; economic conditions) that would

While some of the factors that affect scalability relate to the model itself, many relate to the larger context in which scaling up would take place.

need to be present for the model to be replicated successfully?

- ❖ Does the adopting organization have the appropriate organizational and implementation capacity, or the means to develop that capacity?
- ❖ Does the needed funding exist for replicating the model on a large scale?
- ❖ Are the central mission, organizational culture and values of the proposed adopting organization sufficiently compatible with those necessary to adopt and implement the model successfully?

These issues are discussed in greater detail below.

### 2A. DETERMINING THE VIABILITY OF THE MODEL FOR SCALING UP

In analyzing the comparative scalability of various pilot projects, Ruth Simmons enumerated seven useful criteria based on the characteristics of successful technological or economic innovations. She summarizes them as follows:

**Task 2: Assess Scalability**  
**2A. Determining the Viability of the Model for Scaling Up**

2B. Analyzing the Organizational and Social Context





Experience demonstrates that the easiest pilot efforts to scale up are those that involve a **clear and replicable technology** and that **self-generate financial resources** needed for expansion.

Innovations [Models] must be:

- (1) **credible**, based on sound evidence or espoused by respected persons or institutions;
- (2) **observable** to ensure that potential users can see the results in practice;
- (3) **relevant** for addressing persistent or sharply felt problems;
- (4) having a **relative advantage** over existing practices [positive cost-benefit, including implementation costs];
- (5) **easy to transfer and adopt**;
- (6) **compatible** with the existing users' established values, norms, and facilities; and
- (7) **able to be tested or tried** without committing the potential user to complete adoption when results have not yet been seen.<sup>22</sup>

In addition, experience demonstrates that the easiest pilot efforts to scale up are those that involve a **clear and replicable technology** and that **self-generate financial resources** needed for expansion. This helps to explain why many of the most common examples of scaling up are commercial or fee-for-service products such as micro-credit, and why it has generally been easier to scale up innovations, such as new seeds or cell phones, than models where process, values and organizational context are critical.<sup>23</sup>

The checklist shown in Table 3 is a crude test of the scalability of pilot projects based on the factors noted above. Every check placed in Column A indicates a factor that simplifies scaling up; and every check in Column C represents a complicating factor. A check placed in column B indicates an intermediate or neutral situation with regard to a particular characteristic. By counting the number of checks in Column A and subtracting the number of checks in Column C one gets a rough measure of a model's scalability. The higher the number, the easier it will normally be to scale up the model.<sup>24</sup>

The Scalability Checklist is intended to stimulate, not substitute for, serious

<sup>22</sup> Simmons et al. (2002), p. 63. Emphasis added.

<sup>23</sup> The World Bank paper cited above (op. cit., p. 9) uses the terms "universalist" and "contextualist" to distinguish these two broad approaches and provides the following definitions of each:

**"Universalist approach to scaling up.** In this approach, experience provides a set of universal generalizations that can be replicated, directly expanded, or adopted elsewhere with a simple set of rules. This does not require identifying and dealing with local variability. For that reason, it may take less time and effort than a contextualist approach to scaling up.

**Contextualist approach to scaling up.** In this approach, practices to be scaled-up are tailor-made at the outset to address context-specific conditions"

<sup>24</sup> Adapted from *Implementing Policy Change Project Technical Note #3*, Management Systems International ([www.msiworldwide.com/ipc](http://www.msiworldwide.com/ipc)).





dialogue and analysis. It is best used not as a scorecard to determine what can be scaled up and what can't, but as an aid for prioritizing alternatives and a means for identifying some of the actions that can be taken to simplify the scaling-up process. Every time it is possible to make a change that removes a check from Column C (and, perhaps, changes it sufficiently to replace it with a check in Column A), the task of implementation has probably been made easier. For example, any action that makes the benefits of adopting a model more apparent almost certainly increases the ease with which it can be scaled up.

## 2B. ANALYZING THE ORGANIZATIONAL AND SOCIAL CONTEXT

In many types of development projects, organizational factors are most responsible for pilot-scale success. It is thus particularly important to identify the organizational features that need to be retained, recreated, or substituted for scaling up the model successfully. In identifying potentially unique or distinguishing features of the organization that implemented the pilot project—what we call elsewhere in this paper the “originating organization”—the categories and methodology used in the Institutional Development Framework (IDF)<sup>25</sup> are a useful guide. These are:

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The Scalability Checklist is best used ... as an aid for prioritizing alternatives and a means for identifying some of the actions that can be taken to simplify the scaling-up process.

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- ❖ Organizational culture and values/principles,
- ❖ Staffing skills and requirements,
- ❖ Management and leadership style,
- ❖ Financial system and resources,
- ❖ External partnerships, and
- ❖ Monitoring and evaluation.

The broader social and political context in which projects are located can also exercise substantial impact on the scaling-up process. For this reason, it is important to assess the external environment in which the pilot project has been operating to identify contextual factors that may have been essential to the success of the model. Here again, the goal of the analysis is to identify features that need to be recreated or substituted for if the model is to be successfully scaled up. This analysis of the social context can be particularly important, as these factors are often invisible to those who—like fish unaware that they swim

### Task 2: Assess Scalability

2A. Determining the Viability of the Model for Scaling Up

2B. Analyzing the Organizational and Social Context

<sup>25</sup> For more information, tools and guidelines, contact Mark Renzi (mrenzi@msi-inc.com) or see Renzi, Mark. “An Integrated TOOLKIT for Institutional Development.” *Public Administration and Development*. Vol. 16, pp. 469-483. 1996. Also available at [http://www.msiworldwide.com/gral/nwproductsinfo/institutional\\_dev.htm](http://www.msiworldwide.com/gral/nwproductsinfo/institutional_dev.htm)





Table 3. Scalability Checklist

Characteristics of the Model	A Simplifying Factor		B Neutral	C Complicating Factor	
	✓		✓		✓
Is the model credible?	<input type="checkbox"/>	Based on sound evidence	<input type="checkbox"/>	Little or no solid evidence	<input type="checkbox"/>
	<input type="checkbox"/>	Evaluated by independent sources	<input type="checkbox"/>	Not evaluated by independent sources	<input type="checkbox"/>
	<input type="checkbox"/>	Supported and espoused by respected individuals and institutions	<input type="checkbox"/>	Not supported or espoused by respected individuals and institutions	<input type="checkbox"/>
How observable are the model's results?	<input type="checkbox"/>	Very visible to casual observation; easily communicated to public	<input type="checkbox"/>	Not very visible; not easily communicated to public	<input type="checkbox"/>
	<input type="checkbox"/>	Clearly associated with the intervention	<input type="checkbox"/>	Not clearly associated with the intervention	<input type="checkbox"/>
	<input type="checkbox"/>	Has a clear emotional appeal	<input type="checkbox"/>	Has little or no clear emotional appeal	<input type="checkbox"/>
How relevant is the model?	<input type="checkbox"/>	Addresses a persistent problem	<input type="checkbox"/>	Addresses a temporary problem	<input type="checkbox"/>
	<input type="checkbox"/>	Addresses a need that is sharply felt by the target population	<input type="checkbox"/>	Addresses a need not sharply felt by the target population	<input type="checkbox"/>
	<input type="checkbox"/>	Addresses a need that is sharply felt by potential adopting organization(s)	<input type="checkbox"/>	Addresses a need that is not sharply felt by potential adopting organization(s)	<input type="checkbox"/>
Does the model have relative advantage over existing practices?	<input type="checkbox"/>	Current solutions are considered inadequate	<input type="checkbox"/>	Current solutions are considered adequate	<input type="checkbox"/>
	<input type="checkbox"/>	Superior cost-effectiveness clearly established	<input type="checkbox"/>	Little or no objective evidence of superiority to current solutions	<input type="checkbox"/>
How easy is the model to transfer and adopt?	<input type="checkbox"/>	Few decision makers are involved in adoption of model	<input type="checkbox"/>	Many decision makers are involved in adoption of model	<input type="checkbox"/>
	<input type="checkbox"/>	Small departure from current practices and behaviors for target population	<input type="checkbox"/>	Large departure from current practices and behaviors for target population	<input type="checkbox"/>
	<input type="checkbox"/>	Small departure from current practices and culture of potential adopting organizations	<input type="checkbox"/>	Large departure from current practices and culture of potential adopting organizations	<input type="checkbox"/>
	<input type="checkbox"/>	Little emphasis on values and/or process	<input type="checkbox"/>	Significant emphasis on values and/or process	<input type="checkbox"/>
	<input type="checkbox"/>	Model has low technical sophistication	<input type="checkbox"/>	Model has high technical sophistication	<input type="checkbox"/>
	<input type="checkbox"/>	Includes a clear and easily replicated <i>technology</i>	<input type="checkbox"/>	Does not include a clear and easily replicated technology	<input type="checkbox"/>
	<input type="checkbox"/>	Low complexity; simple with few components	<input type="checkbox"/>	High complexity; integrated package with many components	<input type="checkbox"/>
	<input type="checkbox"/>	Able to use current infrastructure and facilities	<input type="checkbox"/>	Requires new infrastructure and facilities	<input type="checkbox"/>
How testable is the model?	<input type="checkbox"/>	Able to be tested by users on a limited scale	<input type="checkbox"/>	Unable to be tested without complete adoption	<input type="checkbox"/>
Is funding likely to be available and/or will resources be saved?	<input type="checkbox"/>	Much less expensive than current practice	<input type="checkbox"/>	Much more expensive than current practice	<input type="checkbox"/>
	<input type="checkbox"/>	Fully funded by revenues or a dedicated funding source	<input type="checkbox"/>	No dedicated funding source; zero or low cost recovery	<input type="checkbox"/>
Total Number of Checks	_____		_____		_____





in the ocean—have no point of comparison.<sup>26</sup> Among the key factors that should be considered in such analysis, especially noteworthy are the quality of governance; the respective roles and fiscal capacity of national, state and local governments; the extent and nature of NGOs and NGO networks; the prevailing cultural and religious norms; and the extent of social homogeneity.

### PUTTING TASK 2 INTO ACTION

As noted, Task 2 is most effective when carried out in conjunction with Task 1. In its most basic form, Task 2 involves (1) filling out the checklist, (2) brainstorming options for simplifying the scaling-up process, and (3) carrying out special analyses of the organizational, social, and

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The broader social and political context in which projects are located can also exercise substantial impact on the scaling-up process.

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political context for scaling up. A number of tools are available for these purposes, including the Institutional Development Framework and political mapping.<sup>27</sup> This process often benefits from the involvement of neutral third-party facilitators or analysts, possibly drawn from the same intermediary organization that supports other aspects of the scaling-up process.<sup>28</sup>

## Task 3: Fill Information Gaps

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In principle, the next task after developing a vision and completing a scalability assessment is the development of a scaling-up plan. As a practical matter, however, Tasks 1 and 2 almost always reveal a number of information or documentation gaps that need to be filled before developing such a plan. Task 3 is dedicated to filling those gaps.

While, in some cases, rough approximations and anecdotal evidence

will suffice, governments and donor organizations increasingly demand solid evidence prior to initiating a serious effort to scale up a model or intervention. The items most frequently found to be missing include:

- ❖ Documentation of the model, including goals and distinguishing technical, organizational and/or process elements;
- ❖ Analysis of need or demand for the service among the larger population;

<sup>26</sup> For additional guidance on practical techniques for analysis of social and political context, contact Larry Cooley (lcooley@msi-inc.com) or see Brinkerhoff, Derick and Ben Crosby. *Managing Policy Reform*. Bloomfield, CN. Kumarian Press. 2002.

<sup>27</sup> See Annex 4 for links to these and other methods.

<sup>28</sup> For additional guidelines on this process and the role of neutral third parties, contact Richard Kohl (rkohl@msi-inc.com).





A number of information or documentation gaps need to be filled before developing a scaling-up plan ... and technical findings need to be translated into terms that make sense to the intended audience.

Task 3: Fill Information Gaps

- ❖ Analysis of the changes needed to make the model applicable to other parts of the country or to other target groups;
- ❖ (Comparative) analysis of the costs associated with the model;
- ❖ Evaluation of the model’s (comparative) impact and success;
- ❖ Refinement and simplification of the model;
- ❖ Analysis of the possibilities for achieving economies of scale;
- ❖ Analysis of the institutional requirements for implementing the model; and
- ❖ Identification of the main actions and resources needed to transfer the model.

The time and resources needed to complete Task 3 obviously depend on the nature of the gaps that need to be filled.

They also depend on the information demanded by those responsible for making decisions about whether and how scaling up is to proceed. Experience in Mexico and Nigeria suggest that six months to one year is a realistic allowance for the time needed to perform this Task for most pilot projects. That same experience suggests that this stage of the scaling-up process is a particularly vulnerable one, because neither the pilot project nor the potential adopting organization has a budget or dedicated personnel to conduct the needed analyses.<sup>29</sup> It should thus be a particular priority for foundations and other interested agencies to find practical ways of supporting and facilitating this Task.<sup>30</sup>

Task 3 typically begins with a review and mapping of decisionmakers’ unmet information requirements, followed by the development of a schedule and budget for meeting these requirements. At the same time, a series of issues that affect the credibility and persuasiveness of the information and documentation must be considered. Among the considerations affecting the impact of information on decisionmakers, particular attention should be given to the need to translate technical findings into terms that make sense to the intended audience and the need for credible interlocutors.<sup>31</sup>

<sup>29</sup> The typical small-scale project allocates less than 5% of its resources for monitoring and evaluation. When that project is a serious candidate for scaling up, experience suggests that donors need to be prepared to allocate up to 20% of project costs for these purposes unless an alternative source of funding exists for Task 3 activities.

<sup>30</sup> See CLP case study (op. cit.) for a detailed example.

<sup>31</sup> A useful discussion of the factors that influence the impact of information on decisions about scaling up, policy adoption and diffusion of innovation can be found in two unpublished memoranda developed by Liza Weinstein for the MacArthur Foundation—“Diffusion of Innovation” (October 29, 2004) and “Diffusion of Programmatic and Policy Innovation” (December 15, 2004).





## Task 4: Prepare a Scaling-up Plan

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Step 1 culminates in a practical and workable scaling-up plan, and the consolidation of that plan is the work of Task 4. This relatively brief document (perhaps ten pages plus annexes) should summarize the thinking and analysis that took place throughout the previous three tasks of Step 1. In many cases, the intermediary organization that helped with initial visioning (Task 1), Scalability Assessment (Task 2) and Filling Information Gaps (Task 3) can and should play a key role in pulling this material together during Task 4. Audiences for the plan are both internal (the originating organization and its Board of Directors), and external—networks, adopting organizations, government agencies, and potential project funders—and the document should be written with these various audiences in mind.

While a Scaling-up Plan can be organized and presented in several ways, the following outline is as a useful guide:

### 4A. PART I

- ❖ **Summary of the Need**, including, where possible, hard data on the size and distribution of the problem—one paragraph;
- ❖ **Vision**, including a one- to two-paragraph history and description of

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Step 1 culminates in a practical and workable scaling-up plan that summarizes the thinking and analysis that took place to produce it.

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the pilot project; one paragraph each on the model (“what”), methods (“how”), organizations (“who”), and dimensions (“where”) of the proposed scaling-up effort; and

- ❖ **Evidence** supporting the value and feasibility of scaling up the model, summarizing any data that exists on the (comparative) impact and cost-effectiveness of the model, and establishing the demand for and applicability of the model outside the pilot area.

**Task 4: Prepare a Scaling-up Plan**  
**4A. Part I**  
 4B. Part II

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The document should be written with both internal and external audiences in mind.

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### Task 4: Prepare a Scaling-up Plan

4A. Part I

4B. Part II

## 4B. PART II

- ❖ **Proposed Actions** grouped under the following headings: legitimizing change, constituency building, realigning and mobilizing resources, modifying organizational structures, coordinating action, tracking performance and maintaining momentum (see discussion below on each of these topics).
- ❖ **Timetable, Roles and Responsibilities**, including a Gantt chart and an organizational responsibility chart for major activities.
- ❖ **Resources**, identifying the budget and other resources needed to support the scaling-up effort and for operating at scale.



# Establish Preconditions and Implement a Scaling-up Process



**T**his portion of the SUM Framework focuses on translating aspirations into reality. This usually involves action by many people—legislators, national leaders, activists, service providers, and donors, to name but a few. It involves reaching agreements and turning those agreements into tangible results.

Published case studies rarely describe in any detail the steps and considerations involved in implementing a scaling up plan, and there are thus few documented best practices on which to base step-by-step guidelines. The discussion in this section augments the published literature on scaling up with insights drawn from the literature and practice, as well as MSI's fieldwork, on two closely related topics—organizational development and managing policy change.<sup>32</sup> It assumes the existence of a vision and plan.

This two-part section presents, respectively, Steps 2 and 3 of the scaling-up process. **Step 2, Establish the**

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Translating aspirations into reality involves action by many people, reaching agreements, and turning those agreements into tangible results.

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**Preconditions for Scaling Up**, includes three tasks: legitimizing action (Task 5), constituency building (Task 6), and realigning and mobilizing resources (Task 7). **Step 3, Implementing the Scaling-up Process**, is comprised of three additional tasks: modifying organizational structures (Task 8), coordinating action (Task 9), and tracking performance and maintaining momentum (Task 10).

These six tasks, and the links between them, are displayed in Figure 3, which illustrates that, even though the six Tasks have a logical sequence, each Task affects and is affected by each of the others.

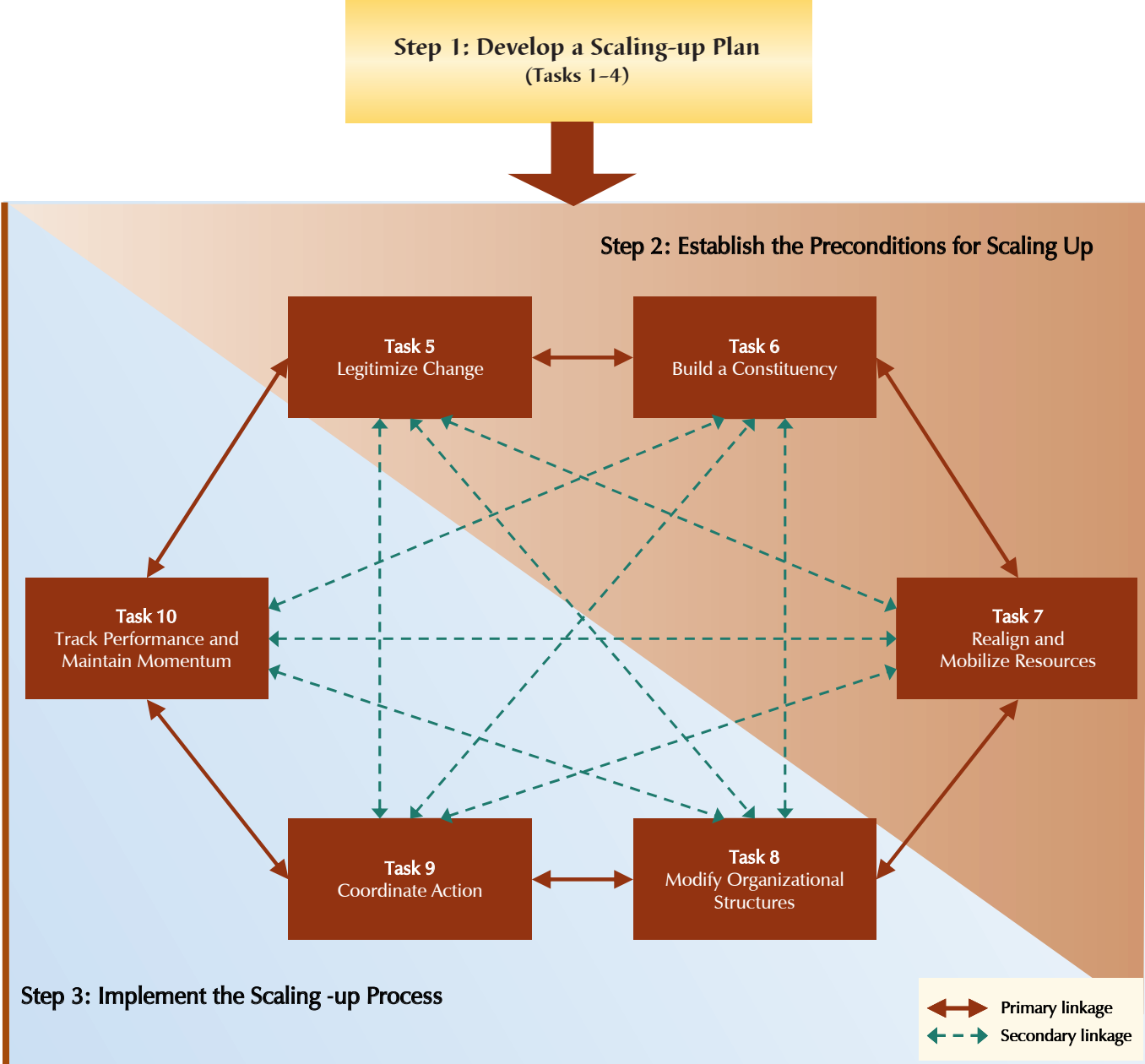
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<sup>32</sup> See Brinkerhoff, D. & Crosby, B. *Managing Policy Reform: Concepts and Tools for Decision-Makers in Developing and Transitioning Countries*. Bloomfield, CT.: Kumarian Press, Inc., 2002. For additional technical notes, research notes, and case studies, see Management Systems International. *Implementing Policy Change Series*. Washington, DC ([www.msiworldwide.com/IPC](http://www.msiworldwide.com/IPC))





Figure 3. An Overview of the Scaling-up Process





## Step 2: Establish the Preconditions for Scaling Up

The intended result of Step 2 is that the decisions and resources needed for scaling up are approved and in place. This requires getting the issue onto the agenda of key decisionmakers, aligning constituencies to support the needed changes, and securing the required resources. The following sections explore each of these tasks.

Translating aspirations into reality involves action by many people, reaching agreements, and turning those agreements into tangible results.

### Task 5: Legitimize Change

Given all the issues that compete for attention and resources, scaling up a new model will most likely make progress only when decisionmakers think that change from the status quo is imperative. For this to be the case, they must see the problem needs as critical and the affected constituency as a priority. Existing responses must be acknowledged as inadequate, and decisionmakers must believe there are viable ways to address the need.

Building legitimacy is time consuming but essential.

Because change often represents a significant break from tradition and requires shifts in attitudes and actions, it is important that there be “legitimizers” or “champions” who enjoy widespread credibility. These individuals can come from any of the public, non-profit or private sectors. However, if policy adoption is the chosen method of scaling up, it is essential to attract high-level government involvement and support at the earliest feasible date.

#### Step 2: Establish the Pre-Conditions for Scaling Up

- ❖ Task 5: Legitimize Change
- ❖ Task 6: Build a Constituency
- ❖ Task 7: Realign and Mobilize Resources

Task 5: Legitimize Change





Numerous case examples indicate, however, that inattention to legitimation results in failed efforts or in a need to return to this Task later in the process.

Building legitimacy is time consuming but essential. It has been termed by some “going slow to go fast.” Experience suggests, and the literature on scaling up confirms, that there is a systematic tendency to underestimate the importance of this Task. This is in part because donors are impatient or uncomfortable with political or consciousness-raising activities and prefer to focus on capacity building and service delivery. It also complicates matters that opportunities for legitimation are unpredictable and are frequently linked to a crisis or other attention-focusing events.<sup>33</sup> Numerous case examples indicate, however, that inattention to legitimation results in failed efforts or in a need to return to this Task later in the process.

In the case of policy change, legitimizing change is essential for getting policies approved, budgetary priorities adopted, and developing the broader and deeper base of support needed for

implementation by bureaucratic institutions and others. More generally, it is critical for attracting potential adopting organizations; for persuading funders to provide support; and for ensuring a warm reception of the model among new locations, client populations, and potentially competing organizations.

Establishing or increasing legitimacy can be accomplished through a variety of methods, including:

- ❖ Enlisting prominent spokespersons or celebrities as advocates;
- ❖ Developing and popularizing images, slogans and symbols;
- ❖ Creating “blue ribbon” commissions;
- ❖ Establishing high-level advisory boards;
- ❖ Mounting local, national and international media campaigns;
- ❖ Implementing public education programs; and
- ❖ Conducting policy debates.

Information plays a critical role in legitimizing change, as it is vital to demonstrate that the proposed innovation or model is successful, cost-effective and feasible. This is normally achieved through publicizing the model and its effectiveness, building on the documentation and evaluation materials assembled during Step 1, and packaging those materials for a wider audience.<sup>34</sup>

<sup>33</sup> For a fuller discussion of the literature on agenda setting, see Jeremy Shiffman. “Generating political will for safe motherhood in Indonesia.” *Social Science and Medicine* 56 (2003). pp. 1197-1207.

<sup>34</sup> The concept of “ripeness,” as articulated by William Zartman, also plays an important role in legitimation and conveys the importance of capitalizing on the timeliness of issues.





## QUESTIONS AND ISSUES TO BE ADDRESSED DURING TASK 5

- ❖ What more needs to be done to persuade relevant decision makers, funders and opinion leaders that new solutions are necessary and desirable?
- ❖ What more needs to be done to persuade relevant decision makers, funders and opinion leaders that the proposed model is successful, cost-effective, and feasible?
- ❖ Which spokespersons, conveners, messages and methods are most

likely to have an impact on these audiences?

If existing legitimation is not deemed sufficient, this Task includes formulation and implementation of a legitimation strategy. A variety of analytical tools (e.g., political mapping ) and processes (e.g., deliberative dialogue) have been developed for this purpose.<sup>35</sup> These actions can and usually should begin during Step 1, by involving key audiences in the planning process and by anticipating their questions and information needs.

## Task 6: Build a Constituency

Implementation requires active and ongoing support to overcome common tendencies toward inaction and backsliding. Likely constituencies include those who can hope to be better off as a result of scaling up, other organizations working in the field, and/or organizations and individuals who support the change philosophically. The Task of Constituency Building complements and amplifies the legitimation process by going beyond passive acceptance of the need for change and mobilizing action in favor of specific changes and models.

Beneficiaries of the current system and existing service delivery organizations

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Implementation requires active and ongoing support to overcome common tendencies toward inaction and backsliding.

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are among those often reluctant to change. Because change normally affects budget allocations and funding priorities, the strongest opposition frequently comes from those whose budgets would need to be reduced in order to free up the resources necessary for scaling up. If the originating organization is an NGO,

**Task 6: Build a Constituency**

<sup>35</sup> See Annex 3 for links to these and other methods.





Among the tools that can help to guide Task 6, stakeholder analysis, network mapping, and forcefield analysis are particularly useful.

other NGOs may feel threatened, both in terms of competition for funding or more generally in terms of recognition, reputation and visibility. Bureaucratic interests that lose old functions or that may be asked to take on new ones may feel similarly threatened by the proposed changes. Part of the task of constituency building is understanding and overcoming these sources of resistance.

Mobilizing support for scaling up a new model or innovation is akin in many ways to community organizing. Particularly in countries with little or no history of participatory democracy, representative governance, and public accountability, there is a tendency to rely on one-on-one lobbying with the person perceived to be “in charge.” Experience strongly suggests, however, that for change to be realized and sustained—particularly when that change primarily benefits poor and unempowered groups—it is important to mobilize a wider range of stakeholders.

Potential tactics for building the needed constituencies include:

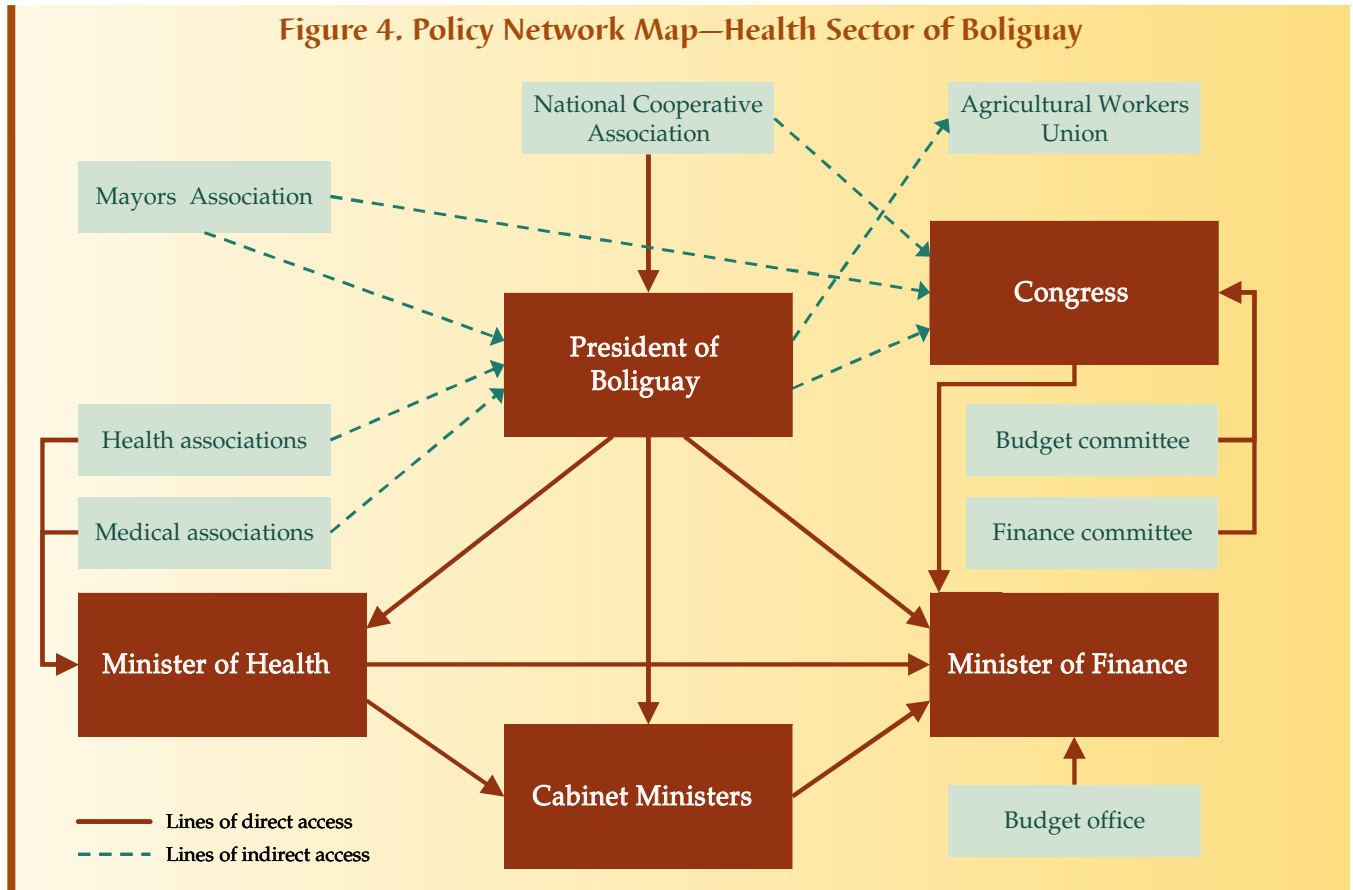
- ❖ organizing multi-stakeholder coalitions:
- ❖ working through one or more political parties:
- ❖ conducting advocacy campaigns with legislators and legislative committees:
- ❖ direct outreach to business, religious, labor, or other civil society groups: and
- ❖ mobilizing grassroots campaigns.

Among the tools that can help to guide Task 6, stakeholder analysis, network mapping, and forcefield analysis are particularly useful.<sup>36</sup> Together, these tools help to identify the different points through which a proposed change passes to become approved and implemented; the actor(s) in charge of each step; how one can gain access to these actors; who else might be willing and able to support these efforts; what resources they are able to mobilize for the purpose; and what arguments are likely to be persuasive to each of these groups. Figure 4 illustrates how this process works.

For purposes of this example, assume that an NGO wishes to scale up through the government its successful program of providing trained traditional birth attendants in rural areas. Assume further that the NGO believes they have the enthusiastic support of the Health Minister for doing this. They know that the key actors in the policy and budget decision-making process are the Health Minister, the Minister of Finance, the

<sup>36</sup> See Annex 3 for additional references and links.





President and the Congress. But within that process, there are several others who can and do influence decisions. For example, the Minister of Finance’s budget staff is charged with preparation of the budget and shapes most of the process. Who are the members of this staff, and might there be some way to gain access and be persuasive to them?

Figure 4 suggests that important constituents of the President’s political party include the health workers union and the medical association. Perhaps these groups could be brought into some kind of alliance that could bring pressure

to bear on the President. Within the Congress, it seems that the committees on budget and finance are in charge of approving the budget submitted by the President. Might there be some mechanism to influence the committee or the committee staff charged with the preparation of authorization bills for the budget? Does a certain member of the committee have a keen interest in the problems of rural health? Perhaps the Minister could bolster member interest with pertinent and timely information that could be used to defend the policy in committee debates or hearings.

**Task 6: Build a Constituency**





Task 6 normally includes a determined effort to mobilize new constituencies and implement a systematic advocacy strategy.

Finally, the pressure of rather diverse groups such as the Mayors' Association, the National Cooperative Association, and the Agricultural Workers Union might also be brought to bear. While these groups are not direct players in the policy process, in contrast to the members of Congress or the Minister, they are the eventual stakeholders and can be important sources of influence on elected officials such as the President or the members of the Congress.

While all of these points of access are possible, their usefulness depends on mobilizing them. This will require initiative, time, and energy on the part of some credible convener.

CRITICAL QUESTIONS AND ISSUES DURING TASK 6

- Which organizations, organizational units or individuals are responsible for key decisions regarding the funding and implementation of scaling up? Who has authority to make the decisions within these organizations?
What arguments, appeals or advocacy strategies are likely to have access and be persuasive to these decision makers?
What are the most effective networks and alliances for carrying out this advocacy, and how can they be most efficiently mobilized and organized?
How can buy-in from the leadership and staff of potential implementing organizations best be achieved?

Task 6 normally includes a determined effort to mobilize new constituencies and implement a systematic advocacy strategy. It often includes efforts to secure formal adoption of new policies and funding by the government or by potential adopting organizations. Like legitimation, work on this Task can begin in conjunction with the planning process detailed in Step 1.





## Task 7: Realign and Mobilize Resources

For scaling up to be successful, resources need to be mobilized for **operating the new model on an expanded scale**.

Equally important, resources are needed to **support the scaling-up process**. Task 7 is concerned with securing both types of resources. Each poses distinct challenges.

The resources for scaling up and for operating at scale are rarely in place at the outset, and old priorities do not disappear simply because new priorities arise. Funding for operating a new model at scale imply a redirection of current budget and operational priorities within a sector, or somehow securing additional resources for that sector. Almost always, this entails overcoming substantial inertia or active resistance, particularly when budgets are stretched; when the new model is additional to or more costly than the current alternative; and when the new model does not self-generate the resources it requires.

Funding the transition period (i.e., the scaling-up process) is a particular concern, given the absence of resources earmarked for such purposes and the inability to redistribute human and financial resources to new priorities on short notice. In addition to complicating the scaling-up process, this raises the potential for gaps or shutdowns once donor resources for the pilot project are exhausted.

Moreover, the resource problem is not simply financial. Often, no individual,

team or agency is charged with managing the scaling-up process and coordinating the introduction of the new programs, policies, or approaches

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The resources for scaling up and for operating at scale are rarely in place at the outset, and old priorities do not disappear simply because new priorities arise.

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necessary to implement it; likewise, the adopting organizations often lack the needed organizational skills and systems. Like the first two tasks—legitimizing change and constituency building—those managing the task of realigning and mobilizing resources must often reach beyond the boundaries of individual organizations to find the needed capabilities. Donors can be particularly useful in supporting internal advocates during this part of the change effort.

Organizations that implement pilot projects usually lack the resources and capacity to take a model to scale, even if “all” that is involved is transferring it to a larger organization. A particularly weak point for many scaling-up projects has been the burden on staff of the originating organization, who are expected to provide training, mentoring, and other support for the adopting

Task 7: Realign and Mobilize Resources





Partnerships between institutions with complementary resources and strengths can be a synergistic way to provide the resources needed for the scaling-up process.

organization, while continuing to run their own programs.

Among the common approaches and mechanisms used during Task 7 are the following:

- ❖ donor roundtables;
- ❖ budget hearings and budget transparency campaigns;
- ❖ fiscal decentralization;
- ❖ bridge financing; and
- ❖ expanded use of market mechanisms.

Partnerships between institutions with complementary resources and strengths can be a synergistic way to provide the resources needed for the scaling-up process. For example, the public sector frequently has political legitimacy, but lacks technical expertise, financial resources, or the ability to operate flexibly at the local level. The private for-profit sector often has financial resources and technical expertise, but lacks political legitimacy. The non-profit sector has technical expertise and the capacity for flexible local implementation, but usually

lacks political legitimacy and large-scale organizational capacity. Local communities and community-based organizations are often overlooked as potential sources for in-kind resources, and can also help create legitimacy. Partnerships that bring together the best of each partner can be a powerful and efficient way to mobilize the resources needed for the scaling-up process and are increasingly fashionable in development circles. For all these reasons, the work of assembling and establishing the guidelines for such partnerships often plays a central role during Task 7.

### CRITICAL QUESTIONS AND ISSUES DURING TASK 7

- ❖ What additional human, institutional and financial resources will be needed to support the process of “going to scale,” and what needs to be done to ensure that these resources are available?
- ❖ What human, institutional and financial resources will be needed for “operating at scale,” and what needs to be done to ensure that these resources are available?
- ❖ What, if any, new partnerships need to be established?

Among the most important skills required for realigning and mobilizing resources are budget analysis and the set of skills commonly called “advocacy.” Where the groups involved lack this expertise, donors can be of assistance in providing access to others with such





expertise and/or providing relevant training. The table of contents shown in Figure 5, drawn from an existing advocacy training manual, is typical of the skills taught in such programs.<sup>37</sup>

The culmination of Tasks 5, 6, and 7—if successful—is a set of decisions by adopting organizations to scale up the model; a set of commitments to provide the resources needed for the scaling-up effort and for operating at scale; and a foundation of legitimacy and support that can help sustain the scaling-up effort through the difficult implementation stage that lies ahead.

### Figure 5. Advocacy Network Training Manual Table of Contents

**Section 1: The Power of Numbers—Networking for Impact**

- Unit 1: What are Advocacy Networks?
- Unit 2: Effective Communication—Understanding One Another
- Unit 3: Cooperation Not Competition—Building a Team
- Unit 4: Decision Making—Reaching Group Consensus
- Unit 5: Mission Statements—Creating a Common Purpose
- Unit 6: Putting It All Together—Managing the Network

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**Section 2: Actors, Issues, and Opportunities: Assessing the Policy Environment**

- Unit 1: The Policy Process—Government in Action
- Unit 2: Decision Making for Reproductive Health—Analyzing the Policy Climate
- Unit 3: Prioritizing Policy Issues—Making the Best Matches

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**Section 3: The Advocacy Strategy—Mobilizing for Action**

- Unit 1: What is Advocacy?
- Unit 2: Issues, Goals, and Objectives: Building the Foundation
- Unit 3: Target Audiences—Identifying Support and Opposition
- Unit 4: Messages—Informing, Persuading, and Moving to Action
- Unit 5: Data Collection—Bridging the Gap
- Unit 6: Fundraising—Mobilizing Resources
- Unit 7: Implementation—Developing an Action Plan
- Unit 8: Monitoring and Evaluation

<sup>37</sup> Developed by the USAID-financed Policy Project managed by The Futures Group in Washington, DC ([www.futuresgroup.com](http://www.futuresgroup.com)).





# Step 3: Implement the Scaling-up Process

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**T**asks 8, 9, and 10 are devoted to implementing the scaling-up effort. First and foremost, these tasks involve creating organizational capacity to transfer and receive the model, or, in the case of expansion, growing the organization. Once this capacity is created, Task 9 involves the actual

transfer, adoption, and adaptation of the model and clearly assigning roles, responsibilities, and accountability for each action and for overall coordination. Task 10 covers monitoring and evaluating progress and feeding that information back into public oversight and modification of the model.

## Task 8: Modify and Strengthen Organizations

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Implementing meaningful large-scale change almost always calls for the creation of new organizational structures or for major changes to existing ones. Some organizations are affected directly in what they do and how they do it. Even when this is not the case, there is greater need for sharing information and resources and for more concerted coordination, particularly during the transition period.

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The need for change is most apparent in the organization expected to implement the model on a scaled-up basis—the adopting organization. Yet, changes are also needed in other organizations. This includes changes in attitudes and behavior within the organization that originated the model and now faces the prospect of either expanding itself or handing off responsibility to others. If

### Step 3: Implement the Scaling-up Process

- ❖ Task 8: Modify and Strengthen Organizations
- ❖ Task 9: Coordinate Action
- ❖ Task 10: Track Performance and Maintain Momentum





this organization is responsible for the scaling-up effort, it must also figure out what actions this requires and how to integrate these actions with its ongoing programmatic responsibilities.

Transfer of knowledge and know-how<sup>38</sup> is one of the most neglected aspects of scaling up. In addition to procedures such as process engineering, developing manuals, and training of trainers, this often requires a substantial simplification of the model because resources necessary for intensive mentoring and capacity building are often not available. Even when the originating and the adopting organization are the same, major organizational obstacles to change are likely, especially when expansion occurs by creating new branches.

In replication, transferring the model's technology, process and know-how can be particularly difficult if the originating and adopting organizations have differing organizational cultures, values, internal structures, and incentives. In cases where the values and norms of the adopting and originating organizations are dissimilar, part of the scaling-up effort requires transforming the model or aligning these values so that transfer can occur. This is especially the case when the originating organization is an NGO and the adopting organization is a

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Transfer of knowledge and know-how is one of the most neglected aspects of scaling up.

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government agency, given the natural differences between these types of organizations and the history of distrust between governments and NGOs in many countries.

Fortunately, the field of organizational development has a wealth of experience and a wide range of useful tools to aid in this process. W. Warner Burke provides a useful overview of organizational development options and issues,<sup>39</sup> and the Institutional Development Framework, referenced above,<sup>40</sup> offers a particularly useful toolkit with which to begin. In addition to changes in systems, structures, and procedures, leadership and management face special challenges during scaling up. Coaching and other leadership development programs can be especially helpful during this stressful period.<sup>41</sup>

Some of the most effective mechanisms and approaches used for this Task include:

**Task 8: Modify and Strengthen Organizations**

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<sup>38</sup> Regarding technical transfer and change, "knowledge" is used to describe information, processes and procedures, which are easily formalized and written down. "Know how" describes the informal, tacit knowledge needed to make formal knowledge work in actual application.

<sup>39</sup> Burke, W. Warner. *Organizational Change: Theory and Practice*. Chicago, IL. Sage Publications. 2002.

<sup>40</sup> Renzi, op. cit.

<sup>41</sup> Useful discussion of leadership and management development and the relationship between leadership and organizational change can be found in: Kotter, John P. *Leading Change*. Boston, MA. Harvard Business School Press. 1996; Bryson, John M. *Bryson Strategic Planning Set*. San Francisco, CA. Joussey-Bass. 2004; and Bennis, Warren. *On Becoming a Leader*. New York. Perseus Press. 2003.





# Establish Preconditions and Implement a Scaling-up Process

- ❖ Apex organizations;
- ❖ Future Search conferences and retreats;
- ❖ Business process reengineering;
- ❖ Leadership development and coaching; and
- ❖ Comprehensive staff retraining.

Each of these processes benefits from the use of independent, third-party facilitators.

## CRITICAL QUESTIONS AND ISSUES DURING TASK 8

- ❖ What, if anything, needs to be done to encourage and assist the originating organization to relinquish

control and make the other changes necessary for successful transfer and scaling up of the model?

- ❖ What changes need to be made in the “adopting organization”?
- ❖ Which organizations are responsible for the transfer process and what changes do they need to make to their own capacity—structure, staffing or operations—to do this successfully?

Task 8 includes developing and executing institutional capacity building and organizational development plans for all of the organizations with major roles to play in either the scaling-up process or in subsequent efforts to operate at scale.

## Task 9: Coordinate Action

Task 9 focuses on establishing and applying the multi-organization management processes, coordination mechanisms, and accountability procedures needed to ensure that decisions are translated into concrete action.

The development management literature provides useful guidance on the subject of multi-party programming and inter-organizational coordination. George Honadle and Lauren Cooper’s

deconstruction of the term “coordination” is particularly relevant to the situation faced by many scaling-up efforts. They distinguish between four aspects or approaches to coordination—sharing information, sharing resources, joint planning, and joint action—and argue that (1) coordination is by its nature very time consuming, and (2) each of the four approaches is successively more difficult.<sup>42</sup> The operational implications for those implementing scaling-up programs are to limit, where possible, the

<sup>42</sup> Honadle, George and Lauren Cooper. “Beyond Coordination and Control: An Interorganizational Approach to Structural Adjustment, Service Delivery and Natural Resource Management.” *World Development*. 1989: No. 10. pp. 1531-1541.





extent of coordination that is necessary; favor less complex forms of coordination; and ensure that responsibilities and resources for coordination are clearly established.

Since coordination and cooperation take time, cost money, and entail loss of autonomy by each of the participating organizations, these efforts only succeed when perceived benefits outweigh the costs for each of the organizations involved. As a practical matter, this puts a premium on designing mechanisms that incorporate tangible incentives for working together or penalties for the failure to do so.

Central to this task is the establishment of transparent and efficient governance structures for networks and coalitions, and here too there is a growing body of published literature and experience upon which to draw. The emerging field of public-private alliances has, for example, developed a wide range of options for managing pooled and parallel resources in ways that are directly applicable to scaling up.<sup>43</sup>

Some of the approaches commonly used to achieve the coordination necessary for effective scaling up are:

- ❖ Multi-party action plans and memoranda of understanding;

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Task 9 focuses on establishing and applying the multi-organization management processes, coordination mechanisms and accountability procedures needed to ensure that decisions are translated into concrete action.

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- ❖ Interim secretariats;
- ❖ Formal joint ventures and partnerships;
- ❖ Performance-based reimbursement plans, grants and contracts; and
- ❖ Virtual networks.

**Task 9: Coordinate Action**

Particularly when a coalition, network or working group forms to support or oversee the scaling-up process, the use of Organizational Responsibility Charts is helpful for disentangling the respective roles of the individuals and groups. Preparing the chart offers a systematic way of brokering agreements about the major activities to be done and, for each activity, clarifies who must approve it, who is responsible for executing it, who should be providing tangible support, and who needs to be kept informed.<sup>44</sup> While the matrix can be completed by

<sup>43</sup> USAID Global Development Alliance. *Tools for Alliance Builders*. Available at: [http://www.usaid.gov/our\\_work/global\\_partnerships/gda/tab.html](http://www.usaid.gov/our_work/global_partnerships/gda/tab.html)

<sup>44</sup> See Annex 3 for links to additional information about Organizational Responsibility Charts and other tools.





one or more analysts, it is most effective when used interactively by the parties directly affected as a way to clarify and streamline their working relationships.

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Task 9 includes the instituting of action plans, coordinating mechanisms and governance procedures for the scaling-up activity and for operating at scale.

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In scaling up pilot activities, Task 9 includes those implementation actions necessary to transfer the model successfully to others, as well as those needed for ongoing operations at a scaled-up level.

**CRITICAL QUESTIONS AND ISSUES DURING TASK 9**

- ❖ Are action plans and budgets in place for implementing the scaling-up effort and, if not, what more needs to be done?
- ❖ Have responsibilities been clearly allocated and efficient mechanisms established for coordinating the scaling-up effort?
- ❖ If more than one organization is involved, who will be responsible for monitoring these efforts and for resolving any conflicts?

Task 9 includes the instituting of action plans, coordinating mechanisms and governance procedures for the scaling-up activity and for operating at scale.





## Task 10: Track Performance and Maintain Momentum

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It is important to track the effects of introducing the new model and to make adjustments if the results differ from what was intended. Such monitoring and evaluation ideally begins early in the process with assessments during Step 1 of the effectiveness of the pilot project. In addition to the usual requirements for sound project management and donor reporting, such studies need to anticipate the questions and concerns of the broader audience involved in approving, funding and implementing the scaling-up process. This puts a particular premium on any such monitoring and evaluation being done in a credible, public and transparent manner, and there is considerable value to involving independent third parties in this effort. Also of critical importance is the creation of avenues for feeding this information back to the public and to decision makers, and for ensuring that it is widely discussed. The press, academia, and non-partisan monitoring organizations can play important roles in this process.

In addition to assessing outcomes, it is important to monitor progress in implementing the scaling-up process. Among other things, this monitoring is a catalyst for maintaining momentum and accountability, and for keeping the scaling-up process on track, following the adage “what gets monitored gets done.”

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It is important to track the effects of introducing the new model and to make adjustments if the results differ from what was intended.

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Such monitoring begins by defining a descriptive list of stages or milestone events in the scaling-up process and a limited number of expected outcomes. This disaggregates the change process into “units” that are more easily understood and tracked, and helps managers better analyze the monitoring and evaluation information collected.

Some of the approaches and techniques used for this Task include:

- ❖ Citizen oversight panels;
- ❖ Public hearings;
- ❖ Blue-ribbon panels;
- ❖ International monitoring groups;
- ❖ Listservs and other Web-based, open-access dissemination;
- ❖ Third-party monitoring and evaluation contracts;
- ❖ Comparative scorecards; and
- ❖ Sustained media coverage.

**Task 10: Track Performance and Maintain Momentum**





### CRITICAL QUESTIONS AND ISSUES DURING TASK 10

- ❖ Are there adequate procedures for documenting the progress, lessons learned and impact of the scaling-up effort?
- ❖ What mechanisms most effectively ensure that this information is fed back to key stakeholders and to the broader public and that the information is used to make necessary course corrections?

The link between monitoring and evaluation, on the one hand, and scaling up on the other, is attracting increased attention. Among Foundations, the MacArthur Foundation has shown particular interest in this connection; several papers on the topic have been presented at the American Evaluation Association, and a variety of tools are under development.<sup>45</sup>

## Conclusion

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Scaling up is drawing the attention of an ever-increasing circle of donors, philanthropists, governments, NGOs, activists, and researchers. As interest grows, so do their concerns regarding the replicability of successful innovations and the challenges of reaching large numbers of those in need. Despite this growing interest and an expanding array of documented cases, relatively little evidence-based advice exists about maximizing the prospects for new and innovative service-delivery models to achieve scale.

Written primarily for officials charged with making funding decisions and implementing programs, this paper seeks to provide concrete advice derived from theory and practice. It is intended to inform decisions about:

- ❖ Selecting projects with the potential to go to scale;
- ❖ Designing projects to maximize their scalability; and
- ❖ Managing the scaling-up process.

The SUM Framework presented in this publication is organized as a series of Steps and Tasks. This approach is based on the conviction that scaling up can be successfully managed and that this process can be carried out most effectively by breaking it down into concrete strategies and actions.

It is our hope that the development and humanitarian communities will be filled in future years with a growing number of entrepreneurial idealists bringing ever-increasing professionalism to the scaling-up process.

<sup>45</sup> For additional information, contact Larry Cooley (lcooley@msi-inc.com) or Richard Kohl (rkohl@msi-inc.com).



# Annex 1: Summary of Field Trial Experience in Mexico and Nigeria



## Mexico

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**F**ollowing initial consultations and workshops with a range of reproductive health NGOs in which needs and objectives were defined, a short-list was prepared of projects showing promise for, and interest in, scaling up their pilot efforts. Beginning in July 2004, MSI assigned a Mexico-based associate to work with the designated local organizations to assist them with their scaling-up efforts, to document those efforts, and to draw observational lessons that could inform revisions to the SUM Framework. The projects and organizations selected for initial attention included:

1. **Organizational Scaling Up of MexFam:** Expansion of MexFam's ability to provide community-based maternal and childcare services.
2. **Government Adoption of an Improved Sexual Education Curriculum:** Supporting a coalition of grantees in securing Government adoption and implementation of improved sexual education curricula in selected States.

3. **Scaling Up Improvements in Sexual Education Curriculum for Indian Populations:** Collaborating with grantees, the Mexican Government and Indian Universities on scaling up improved sexual education content in teacher training programs directed to Mexican Indians.

In addition to its role helping grantees determine strategies and plans for scaling up their efforts, MSI served as a facilitator helping the parties to establish, broker, and sustain effective collaborative arrangements with one another.

### ORGANIZATIONAL SCALING UP OF MEXFAM

MexFam is a well-established, country-wide, and highly professional NGO that has received substantial support from outside donors for a number of years. The need for and success of its model of community-based service provision were well-documented and well-established. Faced with a growing demand for its services, coupled with





## Annex 1: Summary of Field Trial Experience in Mexico and Nigeria

significant reduction in core funding from major donors, MexFam had begun to explore ways to change its business model and become more financially self-reliant. Its goal was to expand the breadth and depth of its services or, at a minimum, continue to provide those community-based maternal and childcare services it was already providing.

It was determined at the beginning of the intervention that the first two steps of the scaling-up process (develop a plan and establish the preconditions for scaling up) had already been initiated by MexFam and that emphasis should be placed on organizational redesign and transformation of MexFam's business model (Tasks 7 and 8 in the SUM Framework). Beginning with an initial assessment of organizational structure and objectives—followed by a rough scalability assessment—the intervention focused on facilitating internal decisions about organizational structures better suited to large-scale operations, given current realities. To do this, MSI was asked to conduct a classic organization-development process. As a result of that process, it became clear that the organization's growth and sustainability depended on its being more responsive to its clientele and more diversified in its revenue sources. This, in turn, resulted in decisions by the organization to move towards a decentralized, fee-for-service, model of service provision. MexFam is implementing this new model through coordinated action (Task 9 of the SUM Framework), and considering the most effective and efficient ways to incorporate the necessary performance monitoring (Task 10).

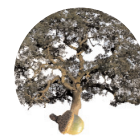
### GOVERNMENT ADOPTION OF AN IMPROVED SEXUAL EDUCATION CURRICULUM

Under the Fox Administration, the Mexican Ministry of Education initiated several major reforms, including making teacher training an important element of education policy reform. A special commission headed by the Ministry of Education was charged with identifying training gaps, reviewing and updating training materials, and designing a career plan for professional development for teachers.

MSI's initial review identified a window of opportunity for reproductive health NGOs, including DEMYSEX, THAIS, MexFam, and AFLUENTES, to participate in this policy reform process and to scale up content and delivery by providing teacher training and new curriculum material based on their existing materials and capabilities in the area of sexual education and reproductive health. Results to date include a signed memorandum of understanding at the national level between the consortium of grantees and the Government of Mexico establishing the legal framework and overall objectives of the effort; establishment of networks of trainers at the State level; agreement between the government and the training network on plans and procedures for implementing and funding teacher training; agreement on training materials; and the initiation of teacher training in selected states.

This effort began with a strategic planning process (Tasks 1–4 of the SUM Framework). This resulted in the development of a cohesive vision and strategy in which partners identified common goals for the scaling-up effort and key roles to be played. A strategy of geographic





expansion at the state level was selected, and the group focused on the initial tasks of legitimizing change (Task 6) and constituency building (Task 7). COESPOS (Mexico's State-level population council) was invited to participate as a linking institution to government entities in the states and to guarantee grantees' representation in population activities and promotion of training teams to disseminate materials. After reviewing factors such as the political environment (including the election calendar and new government transitions); the targeted population; and grantee resources within all states of the Mexican Republic, five states were initially selected to start the collaboration strategy. Nine more were subsequently added to the project.

MSI helped coordinate efforts to identify the financial resources needed to implement this program (Task 7). The grantee network developed a budget, and one member volunteered to function as the network's administrative and financial coordinator. Efforts were then undertaken to establish clear and efficient mechanisms for coordination of the formal network of grantees with the Ministries of Interior and Education and COESPOS (Task 9). This extended network focuses mainly on deepening the legitimization (Task 5) and constituency building (Task 6) that are seen as key elements of going to scale. Significant outputs from this network include, in addition to those noted above:

### *Developing, identifying, redesigning training materials:*

- ❖ Development by the network of grantees of a comprehensive inventory of shared

materials and a database for use by federal government institutions.

- ❖ Agreement from the Ministry of Education that the network of grantees would review their programs and materials in reproductive health and sexual education and suggest new content.
- ❖ Formalization of an MOU with the government to obtain their support for printing grantees' materials.
- ❖ Development by the network of grantees of a common proposal for the revision of training materials, including proposed improvements in both content and format.

### *Training of trainers:*

- ❖ Creation of a national team of sexual and reproductive health specialists to review the current training program and develop a training program for teachers.
- ❖ Creation of training cells in each of the States to train teachers, based on the above-mentioned materials.

## **SCALING UP IMPROVEMENTS IN SEXUAL EDUCATION CURRICULUM FOR INDIAN POPULATIONS**

The Mexican Federal Government considers the Indian population to be at high risk for sexual and reproductive health problems and has targeted this population with specific health policy and educational projects. MSI's initial review identified an opportunity to scale up such efforts through collaboration between MacArthur grantees and the Mexican government on educational programs and materials development.

As with the broader network discussed above, this activity began with a visioning and





## Annex 1: Summary of Field Trial Experience in Mexico and Nigeria

planning exercise (Tasks 1-4) that involved careful identification of goals and objectives for a network that included the Ministry of Public Education and grantees. As the group moved forward to identify additional partners and allies (Task 6), three recently founded Indian universities were identified for further collaboration: Universidad Autónoma Indígena de México “Mochichahui” at Sinaloa, Universidad de Totonacapan at Veracruz, and Universidad Comunitaria Intercultural at San Luis Potosí.

MSI worked with grantees to identify and define program and content, using materials already developed for this purpose. Grantees also participated in the design, content definition and production of 20 radio programs in Indian dialect. MSI also worked with grantees on Task 3: Realign and Mobilize Resources, by helping with a budgeting exercise to assess the need for, and availability of, additional resources, and to determine the possible need for a fundraising strategy.

### Nigeria

**A**s in Mexico, work in Nigeria began with a review of pilot projects implemented by reproductive health NGOs. Two projects were selected as the focus for intensified scaling-up efforts based on a preliminary analysis of their scalability and the organizations’ interest in working with MSI and the SUM Framework. There was a deliberate decision to select one grantee in the North and one in the South of the country, and to select one pilot project that was well established and another that was just beginning. The projects and organizations selected were:

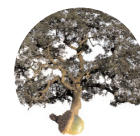
1. **Scaling Up of the Community Life Project (CLP):** Local expansion of CLP’s holistic model of community-based health education, and national replication of the model through the Federal MOH, the Catholic Church, and beyond.
2. **Scaling Up of the Pathfinder Maternal Mortality and Morbidity (MMM) Program:** Integration of the MMM model into a free,

government-sponsored maternal health care program at the state and local level.

Interventions with each of the two organizations began with an in-depth strategic visioning process and scalability assessment (Tasks 1 and 2) to collaboratively assess the potential and future direction for scaling up existing pilot programs. Through a series of workshops facilitated by MSI, the organizations identified a scaling-up vision, as well as those challenges and opportunities that might further or detract from this vision. The workshops included establishing criteria for identifying potential partners and supporters; estimating what resources and training materials would be required; and developing action plans for moving forward.

MSI subsequently facilitated a second round of workshops with both CLP and Pathfinder to create concrete strategies and implementation plans for putting in place the necessary preconditions for effective scaling up (Task 4).





In the course of this planning effort, a variety of gaps were identified in existing documentation and analysis, and these became the focus for additional work (Task 3).

The following provides more detailed discussion on each of the two Nigeria cases:

### SCALING UP OF THE COMMUNITY LIFE PROJECT (CLP)

Founded as a reproductive health education project with the vision of reaching traditionally marginalized populations through a demand-driven, participatory model, the Community Life Project (CLP) focuses on addressing health holistically through education by working in partnerships with community-based organizations. From the outset, CLP's goal was to serve as a pilot project leading to replication elsewhere, and nascent scaling-up efforts were made through expansion into neighboring communities, development of a broader range of health topics, and by growing its network of organizational partners.

In 2001 CLP moved to another stage of scaling up, when it began to transfer its model to Federal Community Development officers in six states, and to design a sexuality curriculum for the Catholic school system. MSI's intervention with CLP began with the organization already in the early stages of this next phase of scaling-up; with an existing model regarded by many as successful; and with Government officials and representatives of both the private and NGO sectors interested in adopting all or parts of the CLP model.

The plan developed with CLP included a two-track approach to scaling up. On the first track, CLP decided to focus its attention on scaling up

with two existing partners: a sexuality education curriculum for the Catholic Church, for use in Catholic schools, and assistance to Federal Community Development Officers in six states to integrate CLP's holistic, grass roots model into their work.

The second track involved an 18-24 month series of activities designed to find additional scaling-up partners with whom to work once the first track was completed. A planning workshops led by MSI laid out several strategies for finding partners and resources for scaling up, including outreach to international reproductive health NGOs; organization of a national summit on grassroots, participatory community development; and soliciting the Nigerian private sector for funding.

Participants in the planning workshop also agreed that several steps were needed for CLP to do the marketing, outreach and publicity necessary to build support for their efforts and attract these new scaling-up partners (Tasks 3, 6 and 7). Among these steps, the most important were to produce better documentation of CLP's model and its components, and to conduct a formal evaluation of CLP's impact.

MSI employed a Nigerian consultant to produce a detailed document describing CLP's model of working with partner organizations in the community. This document provided a step-by-step delineation of the process CLP has used and is intended to serve as the basis for both explaining and transferring the model to potential adopting organizations.

The planning process also indicated that CLP needed a formal evaluation of its impact to convince potential adopting organizations,





especially in the government, of its effectiveness. MSI helped CLP design and conduct the evaluation, with financial support obtained from the Ford Foundation. At MSI's suggestion, CLP has also commissioned a written history of the organization.

*A detailed analysis of MSI's efforts to support scaling up at CLP and the lessons learned from that experience are available as a stand-alone case study.*

### SCALING UP OF THE PATHFINDER MATERNAL MORTALITY AND MORBIDITY (MMM) PROGRAM

The Pathfinder Maternal Mortality and Morbidity (MMM) Program, which focuses on reducing maternal mortality through an education and outreach-based model, began as a pilot project in three states in Nigeria in 2004. MSI entered at the beginning of a three-year project to help put in place a pre-scaling-up foundation so that, once the project proved successful, scaling up could proceed rapidly.

In November 2004, MSI conducted a scaling-up planning workshop (Tasks 1 and 4) for the Minjibir, Kano State project. Initial discussions had made it clear that Pathfinder was not interested in scaling up these projects as "Pathfinder projects" but instead wanted to transfer the model to appropriate government institutions at the local and state levels. With this in mind, the workshop was strategically timed to coincide with an effort by Kano State Ministry of Health officials to expand free maternal care in Kano. Participants in the workshop included representatives of both the state Ministry of Health and Ministry of Local Government, identified as the two key players

in the State's efforts to expand and improve maternal health services. The workshop resulted in a strategy to integrate the Pathfinder education and outreach model into the government's efforts to scale up free maternal health care and for establishing a committee to implement this collaborative effort. A representative from the Ministry of Health emerged as a policy champion to lead that effort.

Unfortunately, shortly after the planning workshop took place, Pathfinder put the project temporarily on hold. Pathfinder management recognized—partially as a result of the workshop and scalability assessment conducted by MSI in preparation for the workshop—that several problems with the existing model needed to be addressed before scaling up could proceed. One problem was a lack of local ownership: Operating the project's three field sites with staff flown in from Lagos was resulting in activity only occurring when Pathfinder staff planned a visit. Another problem was that the poor quality of public health facilities undermined the effectiveness of awareness-raising and educational activities. Accordingly, Pathfinder decided to address these issues by partnering more closely with local public health officials; moving the locus of Pathfinder staff closer to the three locations; hiring local staff; and partnering with a CEDPA project engaged in a similar exercise, allowing for greater leveraging of funds. A new model uses local staff seconded by the State MOH.

MSI is in contact with the Pathfinder management about resuming the scaling-up work once the new approach to managing the project is in place.



# Annex 2: Steps, Tasks, and Questions for Developing and Implementing a Detailed Scaling-up Plan



## Step 1: Develop a Scaling-up Plan

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### Task 1: Create a Vision

- ▲ What organizational, process, and technical factors were critical to success on a pilot scale?
- ▲ Can the model be simplified without undermining its effectiveness? Is it absolutely necessary to replicate all elements of the model on a large scale?
- ▲ Does the organization that carried out the pilot project have the desire and organizational capacity to expand its operations and deliver services on a substantially larger scale?
- ▲ If not, which organization(s) are best suited and motivated to implement the model on a scaled up basis or to serve as partners in implementing the model?
- ▲ Should the scaling-up effort include policy change by the government or rely exclusively on voluntary adoption by private and non-governmental organizations?
- ▲ Is there need for one or more intermediary organizations to support the scaling-up process? If so, what help is needed and which organizations are best suited to performing these roles?
- ▲ Along what dimension(s) should scaling up take place?
- ▲ What would scaling up look like if it were successful?

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### Task 2: Assess Scalability

- ▲ Do relevant stakeholders, potential partners, and intended beneficiaries perceive a need for this kind of model?
- ▲ Has the model been documented, including the process component, and has its cost-effectiveness been objectively assessed? Is there any evidence that the model is more cost-effective than other approaches?
- ▲ Are there obvious economies or diseconomies of scale?
- ▲ How easily can the institutional characteristics that were key to the outcomes achieved be replicated or enlarged?
- ▲ Is there anything special or unique about the social context, political context, or general circumstances of the pilot project (e.g., cultural, ethnic, or religious values/characteristics; distribution of power; homogeneity; economic conditions), and that would need to be present for the model to be replicated successfully?
- ▲ Does the adopting organization have the appropriate organizational and implementation capacity, or the means to develop that capacity?
- ▲ Does needed funding exist for replicating the model on a large scale?
- ▲ Are the central mission, organizational culture, and values of the proposed adopting organization sufficiently compatible with those necessary to adopt and implement the model successfully?





## Annex 2: Steps, Tasks, and Questions for Developing and Implementing a Detailed Scaling-up Plan

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**Task 3: Fill Information Gaps**      ▲ What additional information or documentation is needed as basis for planning and to address stakeholder concerns?

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**Task 4: Prepare a Scaling-up Plan**      ▲ Does the plan summarize the need, the vision, and the evidence for scaling up the model?  
 ▲ Does the plan include a clear description of proposed actions, timetable, roles and responsibilities, and resources?

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### Step 2: Establish the Preconditions for Scaling Up

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**Task 5: Legitimize Change**      ▲ What more needs to be done to persuade relevant decision makers, funders, and opinion leaders that new solutions are necessary and desirable?  
 ▲ What more needs to be done to persuade relevant decision makers, funders, and opinion leaders that the proposed model is successful, cost-effective, and feasible?  
 ▲ Which spokespersons, conveners, messages, and methods are most likely to have an impact on these audiences?

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**Task 6: Build a Constituency**      ▲ Which organizations, organizational units, or individuals are responsible for key decisions regarding the funding and implementation of scaling up? Who has authority to make the decisions within these organizations?  
 ▲ What arguments, appeals, or advocacy strategies are likely to have access and be persuasive to these decision makers?  
 ▲ What are the most effective networks and alliances for carrying out this advocacy, and how can they be most efficiently mobilized and organized?  
 ▲ How can buy-in from the leadership and staff of potential implementing organizations best be achieved?

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**Task 7: Realign and Mobilize Resources**      ▲ What additional human, institutional, and financial resources will be needed to support the process of “going to scale,” and what needs to be done to ensure that these resources are available?  
 ▲ What human, institutional, and financial resources will be needed for “operating at scale,” and what needs to be done to ensure that these resources are available?  
 ▲ What, if any, new partnerships need to be established?

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### Step 3: Implementing the Scaling-up Process

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**Task 8: Modify  
and Strengthen  
Organizations**

- ▲ What, if anything, needs to be done to encourage and assist the originating organization to relinquish control and make the other changes necessary for successful transfer and scaling up of the model?
  - ▲ What changes need to be made in the “adopting organization”?
  - ▲ Which organizations are responsible for the transfer process and what changes do they need to make to their own capacity—structure, staffing, or operations—to do this successfully?
- 

**Task 9:  
Coordinate  
Action**

- ▲ Are action plans and budgets in place for implementing the scaling-up effort and, if not, what more needs to be done?
  - ▲ Have responsibilities been clearly allocated and efficient mechanisms established for coordinating the scaling-up effort?
  - ▲ If more than one organization is involved, who will be responsible for monitoring these efforts and for resolving any conflicts?
- 

**Task 10: Track  
Performance  
and Maintain  
Momentum**

- ▲ Are there adequate procedures for documenting the progress, lessons learned, and impact of the scaling-up effort?
  - ▲ What are the most effective mechanisms for ensuring that this information is fed back to key stakeholders and to the broader public and that the information is used to make necessary course corrections?
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# Annex 3: Useful Tools for Planning and Implementing a Scaling-up Strategy

## Step 1: Develop a Scaling-up Plan

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Future Search	A systematic and highly participatory process for developing a shared vision of future directions for programs, organizations, and communities	Weisbord, Marvin R. and Sandra Janoff. <i>Future Search: An Action Guide to Finding Common Ground in Organizations and Communities</i> . San Francisco: Berrett-Koehler, 1995.
Force-Field Analysis	A technique for identifying forces supporting and restraining specific changes	Hall, C. S. and Lindzey, G., 1978. <i>Theories of Personality</i> , 3rd Ed. New York: John Wiley & Sons
Deliberative Dialogue	A technique for organizing and channeling widespread debate of public policy issues	McCoy, Martha L. and Patrick L. Sully. "Deliberative Dialogue to Expand Civic Engagement." <i>Civic Review</i> . Vol. 91, no. 2. Summer 2002.

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## Step 2: Establish the Preconditions for Scaling Up

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Political and Policy Mapping	A graphic technique for identifying power dynamics and points of political access to foster policy or systemic change	Crosby, Benjamin L. "Management and the Environment for Implementation of Policy Change: Part Two." <i>Implementing Policy Change Technical Note 5</i> . Washington DC: Management Systems International. 1992.
Stakeholder Analysis	A technique for systematically identifying and analyzing the role various actors are able and willing to play with respect to a given policy issue or intended change	Crosby, Benjamin L. "Stakeholder Analysis: A Vital Tool for Strategic Managers." <i>Implementing Policy Change Technical Note 2</i> . Washington, DC: Management Systems International and USAID, March 1991. <a href="http://www.msiworldwide.com/ipc">www.msiworldwide.com/ipc</a>

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**Step 3: Implementing the Scaling-up Process**

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<b>Institutional Development Framework</b>	A set of tools for collaboratively identifying and tracking key elements of organizational maturation or change	Renzi, Mark. "An Integrated TOOLKIT for Institutional Development." <i>Public Administration and Development</i> . Vol. 16, pp. 469-483. 1996.
<b>Organizational Responsibility Charting</b>	A graphic technique for identifying and assigning roles and responsibilities within multi-organization teams, networks, and coalitions	Management Systems International. "Organizational Responsibility Charts." <i>MSI Technical Note</i> . Prems. Unpublished, 1990.
<b>Logical Framework</b>	A widely used project-planning framework summarizing intended objectives, performance measures, and key assumptions	Cooley, Larry. "The Logical Framework: Program Design for Program Results." <i>The Entrepreneurial Economy</i> . July/August 1989. pp. 8-15.





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